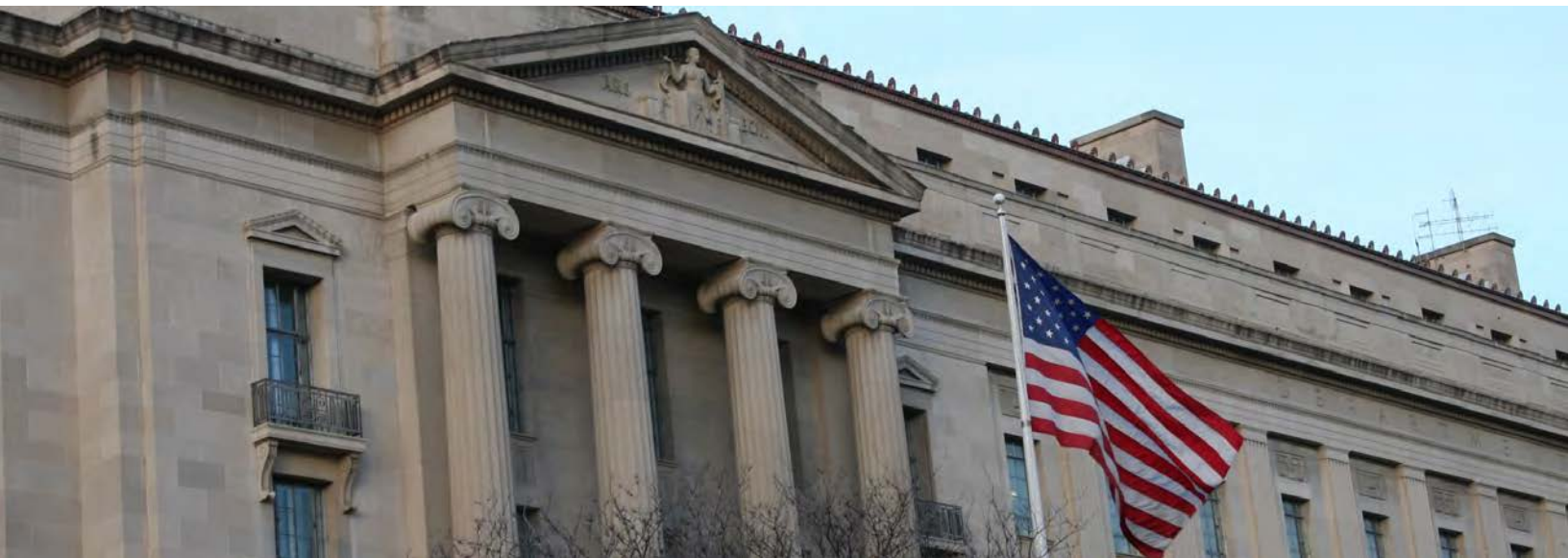




# **Office of the Inspector General** U.S. Department of Justice

**OVERSIGHT ★ INTEGRITY ★ GUIDANCE**



## **Reviews of the Accounting of Drug Control Funds and Related Performance Fiscal Year 2019**



# Executive Summary

## *Reviews of the Accounting of Drug Control Funds and Related Performance Fiscal Year 2019*

### Objectives

Pursuant to 21 U.S.C. § 1704(d), as implemented by the Office of National Drug Control Policy (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, the Department of Justice (Department) is required to submit to the Director of ONDCP a detailed accounting of all funds expended for National Drug Control Program activities during the previous fiscal year, as well as the results of performance measures that show the outcomes associated with those expenditures. Additionally, the Office of the Inspector General (OIG) is required to express a conclusion about the reliability of the Department's submission.

### Results in Brief

The OIG concluded that it is not aware of any material modifications that should be made to either the Department's Detailed Accounting Submissions or the Performance Summary Reports for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

### Recommendations

No recommendations were provided in the report.

### Review Results

The OIG performed an attestation review of the Department's ONDCP Detailed Accounting Submissions and the Performance Summary Reports for the fiscal year ended September 30, 2019, in accordance with the attestation standards contained in *Government Auditing Standards*. The purpose of our review was to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submissions and Performance Summary Reports. Specifically, we:

- Obtained an understanding of the processes used to prepare the FY 2019 Detailed Accounting Submissions and Performance Summary Reports.
- Evaluated the reasonableness of the drug methodology process for detailed accounting submissions.
- Evaluated the reasonableness of the methodology used to report performance information for National Drug Control Program activities.
- Performed sufficient verifications of reported performance information to support our conclusion on the reliability of the assertions.

This report contains the attestation review reports of the Department's Assets Forfeiture Fund, Criminal Division, Drug Enforcement Administration, Federal Bureau of Prisons, Office of Justice Programs, Offices of the United States Attorneys, Organized Crime Drug Enforcement Task Forces Program, and United States Marshals Service's accounting of drug control funds and related performance for the fiscal year ended September 30, 2019. The Department of Justice components reviewed and reported approximately \$8.4 billion of drug control obligations and 29 related performance measures for fiscal year 2019.

REVIEWS OF THE ACCOUNTING OF  
DRUG CONTROL FUNDS AND RELATED PERFORMANCE  
FISCAL YEAR 2019

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ASSETS FORFEITURE FUND



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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Director  
Assets Forfeiture Management Staff  
U.S. Department of Justice

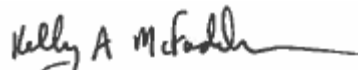
We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's Assets Forfeiture Fund (AFF) for the fiscal year ended September 30, 2019. The AFF's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding*

*and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of AFF management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in black ink, reading "Kelly A. McFadden". The signature is fluid and cursive, with a long horizontal line extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

Assets Forfeiture Fund  
Detailed Accounting Submission



**U.S Department of Justice**  
Justice Management Division  
Asset Forfeiture Management Staff  
145 N Street, N.E., Suite 5W.511  
Washington, D.C. 20530  
(202) 616-8000

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**Detailed Accounting Submission  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Assets Forfeiture Fund (AFF) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the AFF system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. The drug methodology used by the AFF to calculate obligations of budgetary resources by function and budget decision unit is reasonable and accurate in all material respects.
2. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
3. The data presented are associated with obligations against a financial plan that did not require revision for reprogrammings or transfers during FY 2019.
4. The AFF did not have any ONDCP Fund Control Notices issued in FY 2019.

Craig Sabo, Acting Assistant Director  
Asset Forfeiture Management Staff

22 JANUARY 2020

Date



**U.S. Department of Justice  
Assets Forfeiture Fund  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

	<b>FY 2019 Actual Obligations</b>
<b>Drug Obligations by Budget Decision Unit and Function:</b>	
<b>Decision Unit: Asset Forfeiture</b>	
Investigations	\$ 146.39
State and Local Assistance	<u>76.37</u>
<b>Total Asset Forfeiture</b>	<u><u>\$ 222.76</u></u>
 <b>Total Drug Control Obligations</b>	 <u><u>\$ 222.76</u></u>

**U.S. Department of Justice  
Assets Forfeiture Fund  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

Disclosure 1: Drug Methodology

The Assets Forfeiture Fund (AFF) was established to be a repository of the proceeds of forfeiture and to provide funding to cover the costs associated with forfeiture. These costs include, but are not limited to seizing, evaluating, maintaining, protecting, and disposing of an asset. Public Law 102-393, referred to as the 1993 Treasury Appropriations Act, amended title 28 U.S.C. 524 (c) and enacted new authority for the AFF to pay for “overtime, travel, fuel, training, equipment, and other similar costs of state or local law enforcement officers that are incurred in a joint law enforcement operation with a Federal law enforcement agency participating in the Fund.” Such cooperative efforts have significant potential to benefit Federal, state, and local law enforcement efforts. The Department of Justice supports state and local assistance through the allocation of Asset Forfeiture Program (AFP) monies, commonly referred to as Joint Law Enforcement Program Operations Expenses. All AFP funded drug investigative monies for the Drug Enforcement Administration (DEA) and Organized Crime Drug Enforcement Task Forces (OCDETF) are allocated in the following program operations expenses: Investigative Costs Leading to Seizure, Awards Based on Forfeiture, Contracts to identify Assets, Special Contract Services, and Case Related Expenses. The funding provided for these particular program expenses are identified below and aid in the process of perfecting forfeiture.

Investigative Costs Leading to Seizure – These expenses are for certain investigative techniques that are used for drug related seizures.

Awards Based on Forfeiture - These expenses are for the payment of awards for information or assistance leading to a civil or criminal forfeiture.

Contracts to Identify Assets – These expenses are incurred in the effort of identifying assets by accessing commercial database services. Also included in this section is the procurement of contractor assistance needed to trace the proceeds of crime into assets subject to forfeiture.

Special Contract Services – These expenses are for contract services that support services directly related to the processing, data entry, and accounting for forfeiture cases.

Case Related Expenses – These are expenses incurred in connection with normal forfeiture proceedings. They include fees, advertising costs, court reporting and deposition fees, expert witness fees, courtroom exhibit costs, travel, and subsistence costs related to a specific proceeding. If the case involves real property, the costs to retain attorneys or other specialists under state real property law are also covered. In addition, the Deputy Attorney General may approve expenses for retention of foreign counsel.

All AFF accounting information is derived from the Unified Financial Management System. Obligations that are derived by this system reconcile with the enacted appropriations and carryover balance.

#### Disclosure 2: Methodology Modifications

There have been no changes to the drug methodology from the previous year. The drug methodology disclosed has been consistently applied from prior years.

#### Disclosure 3: Material Weaknesses or Other Findings

For the FY 2019 Financial Statements Audit, the Assets Forfeiture Fund /Seized Asset Deposit Fund (AFF/SADF) received an unmodified audit opinion. However, the *Independent Auditors' Report* noted one material weakness in the AFF/SADF's internal controls related to improvements needed in the controls over reporting budget related information presented in financial statement notes. Specifically, the auditors noted that improvements are needed in financial reporting processes including documenting the specific requirements for the supervisory review of the AFF/SADF financial statements, and reviewing financial statement amounts and disclosures to ensure they agree to the relevant crosswalks to financial statements. In addition, there is a need to implement effective risk assessment controls over new financial reporting requirements.

Asset Forfeiture Management Staff (AFMS) noted that the underlying transactions supporting the principal financial statements were complete and accurate and provided a sound basis for decision-making by management and the public who rely upon the financial information. Regarding the review of financial statements, AFMS and Justice Management Division Finance Staff will update procedures and revise edit checks used during Financial Statements Package management reviews.

#### Disclosure 4: Reprogrammings or Transfers

There were no reprogrammings or transfers that affected drug-related budgetary resources.

Assets Forfeiture Fund  
Performance Summary Report



**U.S Department of Justice**  
Justice Management Division  
Asset Forfeiture Management Staff  
145 N Street, N.E., Suite 5W.511  
Washington, D.C. 20530  
(202) 616-8000

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**Performance Summary Report  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Assets Forfeiture Fund (AFF) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the AFF system of performance reporting provides reasonable assurance that:

1. The AFF uses the Unified Financial Management System (UFMS) to capture performance information accurately and UFMS was properly applied to generate the performance data.
2. The AFF met the reported performance targets for FY 2019.
3. The methodology described to establish performance targets for the current year is reasonable given past performance and available resources.
4. The AFF has established at least one acceptable performance measure for each budget decision unit, as agreed to by ONDCP, for which a significant amount of obligations (\$1 million or 50 percent of the agency drug budget, whichever is less) were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.

Craig Sabo, Acting Assistant Director  
Asset Forfeiture Management Staff

27 JANUARY 2020

Date

**U.S. Department of Justice  
Assets Forfeiture Fund  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measure: Achieve Effective Funds Control as Corroborated by an Unmodified Opinion on the Assets Forfeiture Fund and Seized Asset Deposit Fund Annual Financial Statements.**

The accomplishment of an unmodified audit opinion reflects favorably on the execution and oversight of the Assets Forfeiture Fund/Seized Asset Deposit Fund (AFF/SADF) by the Asset Forfeiture Management Staff and all the agencies that participate in the Department's Asset Forfeiture Program.

<b>Decision Unit: Asset Forfeiture</b>						
<b>Performance Report &amp; Target</b>						
<b>Performance Measure:</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>		<b>FY 2020</b>
	<b>Actual</b>	<b>Actual</b>	<b>Actual</b>	<b>Target</b>	<b>Actual</b>	<b>Target</b>
Achieve effective funds control as corroborated by an unmodified opinion on the AFF/SADF financial statements.	100%	100%	100%	100%	100%	100%

***Data Validation and Verification***

Due to the nature of this performance measure, the standard procedure is to undergo an extensive annual financial statements audit. The results of the audit will indicate if the measure has been met. An unmodified audit opinion will result in satisfying the performance measure; therefore a modified audit opinion (i.e., qualified, disclaimer, or adverse) would indicate that the performance measure has not been met.

CRIMINAL DIVISION



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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Assistant Attorney General  
Criminal Division  
U.S. Department of Justice

We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's Criminal Division (CRM) for the fiscal year ended September 30, 2019. The CRM's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

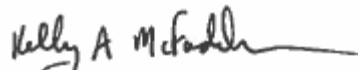
Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding*



*and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of CRM management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in dark ink, appearing to read "Kelly A. McFadden", with a long horizontal flourish extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

Criminal Division  
Detailed Accounting Submission



**U.S. Department of Justice**

**Criminal Division**

Office of Administration

Washington, D.C. 20530

**Detailed Accounting Submission  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Criminal Division (CRM) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the CRM system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. The drug methodology used by CRM to calculate obligations of budgetary resources by function and budget decision unit is reasonable and accurate in all material respects.
2. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
3. The data presented are associated with obligations against a financial plan that did not require revision for reprogrammings or transfers during FY 2019.
4. CRM did not have any ONDCP Fund Control Notices issued in FY 2019.

A handwritten signature in cursive script, reading "Tracy Melton", is written over a horizontal line.

Tracy Melton, Executive Officer

January 22, 2020

Date

**U.S. Department of Justice  
Criminal Division  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

	<b>FY 2019 Actual Obligations</b>
<b>Drug Obligations by Budget Decision Unit and Function:</b>	
<b>Decision Unit: Enforcing Federal Criminal Laws</b>	
Prosecution	\$ 40.05
<b>Total Enforcing Federal Criminal Laws</b>	<u>\$ 40.05</u>
 <b>Total Drug Control Obligations</b>	 <u>\$ 40.05</u>

**U.S. Department of Justice  
Criminal Division  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

Disclosure 1: Drug Methodology

The Criminal Division (CRM) develops, enforces, and supervises the application of all Federal criminal laws except those specifically assigned to other divisions. In executing its mission, the CRM dedicates specific resources in support of the National Drug Control Strategy that focus on disrupting domestic drug trafficking and production, and strengthening international partnerships. CRM's drug budget is the funding available for the Division's drug-related activities. The CRM Sections and Offices contributing to this budget are:

- Appellate Section (APP)
- Computer Crimes and Intellectual Property Section (CCIPS)
- Capital Case Section (CCS)
- Human Rights and Special Prosecutions Section (HRSP)
- International Criminal Investigative Training Assistance Program (ICITAP)
- Money Laundering and Asset Recovery Section (MLARS)
- Narcotic and Dangerous Drug Section (NDDS)
- Organized Crime and Gang Section (OCGS)
- Office of Enforcement Operations (OEO)
- Office of International Affairs (OIA)
- Office of Overseas Prosecutorial Development, Assistance and Training (OPDAT)
- Office of Policy and Legislation (OPL)

Since CRM's accounting system, Department of Justice's (DOJ's) Unified Financial Management System (UFMS), does not track obligation and expenditure data by ONDCP's drug functions, CRM's drug resources figures are derived by estimating the level of involvement of each Division component in drug-related activities. Each component is required to estimate the percentage of work/time that is spent addressing drug-related issues. This percentage is then applied against each component's overall resources to develop an estimate of resources dedicated to drug-related activities. Component totals are then aggregated to determine the Division total. For FY 2019, the Division's drug resources as a percentage of its overall actual obligations were 20.7%.

Data – All accounting information for CRM is derived from DOJ's Unified Financial Management System (UFMS).

Financial Systems – UFMS is DOJ's financial system that provides CRM with obligation data. Obligations in this system can also be reconciled with the enacted appropriation.

Disclosure 2: Methodology Modifications

No modifications were made to the methodology from the prior year.

### Disclosure 3: Material Weaknesses or Other Findings

CRM is a component within the DOJ Offices, Boards and Divisions (OBDs). For FY 2019, the OBDs were included in the DOJ consolidated audit and did not receive a separate financial statement audit. The FY 2019 audit resulted in an unmodified opinion on the financial statements. However, the auditors reported one material weakness in which they noted that the emphasis placed on the Department's financial statement compilation and review processes had not achieved the level of rigor that is necessary to prepare timely and accurate financial statements in accordance with generally accepted accounting principles, and OMB Circular No. A-136, *Financial Reporting Requirements*.

CRM did not contribute directly to the material weakness identified above and this audit's findings did not impair CRM's ability to report complete and accurate obligation data in the FY 2019 Table of Drug Control Obligations.

### Disclosure 4: Reprogrammings or Transfers

No reprogrammings or transfers occurred that affected the CRM's drug-related budgetary resources.

Criminal Division  
Performance Summary Report



U.S. Department of Justice

Criminal Division

Office of Administration

Washington, D.C. 20530

**Performance Summary Report  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Criminal Division (CRM) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the CRM system of performance reporting provides reasonable assurance that:

1. CRM uses the Automated Case Tracking System (ACTS), the Division's Performance Dashboard, and the Extradition and Mutual Legal Assistance Tracking System to capture performance information accurately and these systems were properly applied to generate the performance data.
2. Explanations offered for failing to meet a performance target and for any recommendations concerning plans and schedules for meeting future targets or for revising or eliminating performance targets is reasonable.
3. The methodology described to establish performance targets for the current year is reasonable given past performance and available resources.
4. CRM has established at least one acceptable performance measure for each budget decision unit, as agreed to by ONDCP, for which a significant amount of obligations (\$1 million or 50 percent of the agency drug budget, whichever is less) were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.

  
Tracy Melton, Executive Officer

January 22, 2020

Date



**U.S. Department of Justice  
Criminal Division  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measure 1: Number of New Drug-Related Investigative Matters and Cases**

The Criminal Division's Narcotic and Dangerous Drug Section (NDDS) investigates and prosecutes priority national and international drug trafficking groups, and other transnational criminal organizations. These efforts support the National Drug Control Program activities: Disrupt Domestic Drug Trafficking and Production, and Strengthen International Partnerships. The Division quantifies its new drug-related investigative matters and cases, which is a measure of the work achieved by NDDS during a fiscal year.

<b>Number of New Drug-Related Investigative Matters and Cases</b>					
<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
34	39	36	30	34	30

In FY 2019, NDDS exceeded its target by 13%, opening a combined 34 new drug-related investigative matters and cases. NDDS set its FY 2019 targets for new drug-related prosecutions and investigations based on historical trend analysis, while taking into account the available litigation resources.

For FY 2020, NDDS' target for the number of new drug-related investigative matters and cases is 30. This target was set based on historical trend analysis, in addition to the assumption of staffing and resources similar to FY 2019.

***Data Validation and Verification***

All investigative matters and cases are entered and tracked in the Division's Automated Case Tracking System (ACTS). System and policy requirements for tracking litigation data in ACTS are captured in its manual. The policy for data validation and verification is as follows: within ten business days following the close of the quarter, Sections Chiefs or their designee are required to validate in the Division's Performance Dashboard confirming that their Section's ACTS performance data are valid. A verification email is sent from the system to the Division's Executive Officer.

**Performance Measure 2: Number of OCDETF Title III Wiretaps Reviewed**

The Criminal Division's Office of Enforcement Operations (OEO) is responsible for reviewing and approving all applications submitted by federal prosecutors to intercept wire, oral, and electronic communications to obtain evidence of crimes. A subset is applications relating to investigations and prosecutions of Organized Crime Drug Enforcement Task Force (OCDETF) cases. These efforts support the National Drug Control Program activities: Disrupt Domestic

Drug Trafficking and Production, and Strengthen International Partnerships. The Division quantifies its number of OCDETF Title III wiretaps reviewed, which is a measure of the drug-related Title III wiretap work achieved by OEO during a fiscal year.

<b>Number of OCDETF Title III Wiretaps Reviewed</b>					
<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
2,398	2,382	2,138	2,225	2,220	2,225

In FY 2019, OEO reviewed a significant number of OCDETF wiretaps. Of the total facilities reviewed by OEO during that time period, 75% were for OCDETF investigations. Although in FY 2019 OEO reviewed five (0.2%) fewer OCDETF Title III wiretaps than its projected target, OEO's workload is wholly dependent on the needs of the field. Federal prosecutors and agents continued to face numerous challenges associated with new and emerging communications technologies, most notably end-to-end encryption. End-to-end encryption has had a significant impact on the implementation of Title III wiretaps in numerous investigations. Notwithstanding these challenges, OEO has continued to be flexible and responsive to the needs of the field; most notably, OEO continued to increase the number of cases where they consulted with prosecutors on suppression motions and appellate matters involving wiretaps. OEO also provided a substantial number of trainings and outreach events to better serve the field, the vast majority of which were directly to OCDETF agents and prosecutors. In FY 2020, OEO will continue its strong commitment to providing effective and targeted training and outreach, producing a robust review of Title III materials along with efficient turnaround times, increasing the ability to provide support to the field for suppression motions and appellate matters, and keeping abreast of issues important to the preservation and successful use of this important investigative tool. For FY 2020, OEO's target for the number of OCDETF Title III wiretap reviews will remain at 2,225. This target was based on analysis of recently implemented Department initiatives and the resulting increase in staffing and resources in priority areas around the country and taking into account the increasing challenges facing the fielding regarding emerging technologies. OEO also relied on a review of historical trends and the assumption that staffing and resources within OEO remain similar to FY 2019 levels.

### ***Data Validation and Verification***

The total number of OCDETF Title III wiretaps reviewed is entered each quarter in the Division's Performance Dashboard. The policy for data validation and verification is as follows: within ten business days following the close of the quarter, Sections Chiefs or their designee are required to validate in the Division's Performance Dashboard confirming that their Section's performance data are valid. A verification email is sent from the system to the Division's Executive Officer.

### **Performance Measure 3: Number of Drug-Related Mutual Legal Assistance Treaties (MLAT) Requests Closed**

The Criminal Division's Office of International Affairs (OIA) secures the return of fugitives from abroad and obtains from foreign countries evidence and other assistance (e.g., freezing of

accounts and forfeiture of funds) needed in criminal investigations and prosecutions. These efforts support the National Drug Control Program activities: Disrupt Domestic Drug Trafficking and Production, and Strengthen International Partnerships. The Division quantifies its drug-related MLAT requests closed, which is a measure of OIA's drug-related work during a fiscal year.

<b>Number of Drug-Related Mutual Legal Assistance Treaties (MLAT) Requests Closed</b>					
<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
407	444	313	N/A	417	N/A

This measure cannot be targeted. This measure is a subset of an overall measure. The Division can target the entire measure, but is not able to target any specific subset of the measure.

### ***Data Validation and Verification***

All MLAT requests are tracked in OIA's Extradition and Mutual Legal Assistance Tracking System, including drug-related requests. The total MLAT requests closed is entered each quarter in the Division's Performance Dashboard. The policy for data validation and verification is as follows: within ten business days following the close of the quarter, Sections Chiefs or their designee are required to validate in the Division's Performance Dashboard confirming that their Section's performance data are valid. A verification email is sent from the system to the Division's Executive Officer.

### **Performance Measure 4: Number of Drug-Related Extradition Requests Closed**

The Criminal Division's Office of International Affairs (OIA) secures the return of fugitives from abroad, and obtains from foreign countries evidence and other assistance (e.g., freezing of accounts and forfeiture of funds) needed in criminal investigations and prosecutions. These efforts support the National Drug Control Program activities: Disrupt Domestic Drug Trafficking and Production, and Strengthen International Partnerships. The Division quantifies its drug-related extradition requests closed, which is a measure of OIA's drug-related work during a fiscal year.

<b>Number of Drug-Related Extradition Requests Closed</b>					
<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
168	449 <sup>1</sup>	409	N/A	318	N/A

This measure cannot be targeted. This measure is a subset of an overall measure. The Division can target the entire measure, but is not able to target any specific subset of the measure.

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<sup>1</sup> The FY 2017 value was previously reported, in error, as 168, and has been updated to reflect the actual total of 449. The correct FY 2017 number was reflected in previously-submitted supporting document, but not updated in the FY 2017 Performance Summary Report table.

### ***Data Validation and Verification***

All extradition requests are tracked in OIA's Extradition and Mutual Legal Assistance Tracking System, including drug-related requests. The total extradition requests closed is entered each quarter in the Division's Performance Dashboard. The policy for data validation and verification is as follows: within ten business days following the close of the quarter, Sections Chiefs or their designee are required to validate in the Division's Performance Dashboard confirming that their Section's performance data are valid. A verification email is sent from the system to the Division's Executive Officer.

DRUG ENFORCEMENT  
ADMINISTRATION



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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Acting Administrator  
Drug Enforcement Administration  
U.S. Department of Justice

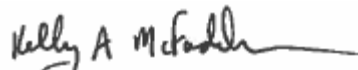
We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's Drug Enforcement Administration (DEA) for the fiscal year ended September 30, 2019. The DEA's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding*

*and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of DEA management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in black ink, appearing to read "Kelly A. McFadden", with a long horizontal flourish extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

Drug Enforcement Administration  
Detailed Accounting Submission





**U. S. Department of Justice**  
**Drug Enforcement Administration**

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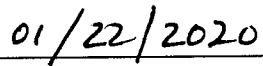
*www.dea.gov*

**Detailed Accounting Submission**  
**Management's Assertion Statement**  
**For Fiscal Year Ended September 30, 2019**

On the basis of the Drug Enforcement Administration (DEA) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the DEA system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. Obligations reported by budget decision unit are the actual obligations from the DEA's accounting system of record for these budget decision units.
2. The drug methodology used by the DEA to calculate obligations of budgetary resources by function is reasonable and accurate in all material respects.
3. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
4. The data presented are associated with obligations against a financial plan that was revised during the fiscal year to properly reflect the changes, including ONDCP's approval for reprogrammings and transfers affecting drug-related resources in excess of \$1 million.
5. DEA did not have any ONDCP Fund Control Notices issued in FY 2019.

  
\_\_\_\_\_  
Jeffrey W. Sutton, Chief Financial Officer

  
\_\_\_\_\_  
Date

**U.S. Department of Justice  
Drug Enforcement Administration  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

	<b>FY 2019 Actual Obligations</b>
<b>Drug Obligations by Budget Decision Unit and Function:</b>	
<b>Diversion Control Fee Account</b>	
Intelligence	\$ 20.12
Investigations	\$ 451.24
Prevention	\$ 5.28
<b>Total Diversion Control Fee Account</b>	<b>\$ 476.64</b>
<b>Domestic Enforcement</b>	
Intelligence	\$ 143.81
Investigations	\$ 1,720.72
Prevention	\$ 3.52
<b>Total Domestic Enforcement</b>	<b>\$ 1,868.05</b>
<b>International Enforcement</b>	
Intelligence	\$ 26.66
International	\$ 449.10
Prevention	
<b>Total International Enforcement</b>	<b>\$ 475.76</b>
<b>State and Local Assistance</b>	
State and Local Assistance	\$ 10.74
<b>Total State and Local Assistance</b>	<b>\$ 10.74</b>
<b>Total Drug Control Obligations</b>	<b>\$ 2,831.19</b>
High-Intensity Drug Trafficking Area (HIDTA) Obligations	\$ 14.73

**U.S. Department of Justice  
Drug Enforcement Administration  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

Disclosure 1: Drug Methodology

The mission of the Drug Enforcement Administration (DEA) is to enforce the controlled substances laws and regulations of the United States and to bring to the criminal and civil justice system of the United States or any other competent jurisdiction, those organizations, and principal members of organizations, involved in the growing, manufacture, or distribution of controlled substances appearing in or destined for illicit traffic in the United States; and to recommend and support non-enforcement programs aimed at reducing the availability of illicit controlled substances on the domestic and international markets. In carrying out its mission, the DEA is the lead agency responsible for the development of the overall Federal drug enforcement strategy, programs, planning, and evaluation. The DEA's primary responsibilities include:

- Investigation and preparation for prosecution of major violators of controlled substances laws operating at interstate and international levels;
- Management of a national drug intelligence system in cooperation with Federal, state, local, and foreign officials to collect, analyze, and disseminate strategic and operational drug intelligence information;
- Seizure and forfeiture of assets derived from, traceable to, or intended to be used for illicit drug trafficking;
- Enforcement of the provisions of the Controlled Substances Act and the Chemical Diversion and Trafficking Act as they pertain to the manufacture, distribution, and dispensing of legally produced controlled substances and chemicals;
- Coordination and cooperation with Federal, state and local law enforcement officials on mutual drug enforcement efforts and enhancement of such efforts through exploitation of potential interstate and international investigations beyond local or limited Federal jurisdictions and resources;
- Coordination and cooperation with other Federal, state, and local agencies, and with foreign governments, in programs designed to reduce the availability of illicit abuse-type drugs on the United States market through non-enforcement methods such as crop eradication, crop substitution, and training of foreign officials;
- Responsibility, under the policy guidance of the Secretary of State and U.S. Ambassadors, for all programs associated with drug law enforcement counterparts in foreign countries;
- Liaison with the United Nations, Interpol, and other organizations on matters relating to international drug control programs; and

- Supporting and augmenting U.S. efforts against terrorism by denying drug trafficking and/or money laundering routes to foreign terrorist organizations, as well as the use of illicit drugs as barter for munitions to support terrorism.

The accompanying Table of Drug Control Obligations was prepared in accordance with the Office of National Drug Control Policy (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018 showing function and decision unit. The table represents obligations incurred by the DEA for drug control purposes and reflects one hundred percent of the DEA's mission.

Since the DEA's accounting system, the Unified Financial Management System (UFMS), does not track obligation and expenditure data by ONDCP's drug functions, the DEA uses Managerial Cost Accounting (MCA), a methodology approved by ONDCP to allocate obligations tracked in DEA's appropriated accounts and decision units to ONDCP's drug functions. The Salaries and Expense appropriated account is divided into three decision units, Domestic Enforcement, International Enforcement, and State and Local Assistance. The Diversion Control Fee Account (DCFA) is fee funded by Registrants and covers the full costs of DEA's Diversion Control Program's operations. Thus, the total DCFA cost is tracked and reported as a decision unit by itself to distinguish it from the appropriated S&E account. Although not appropriated funding, the DCFA as authorized by Congress is subject to all rules and limitations associated with Appropriations Law.

Data: *All accounting data for the DEA are maintained in UFMS. UFMS tracks obligation and expenditure data by a variety of attributes, including fund type, allowance center, decision unit and object class. One hundred percent of the DEA's efforts are related to drug enforcement.*

Financial Systems: *UFMS is the information system the DEA uses to track obligations and expenditures. Obligations derived from this system can also be reconciled against enacted appropriations and carryover balances.*

Managerial Cost Accounting: *The DEA uses allocation percentages generated by MCA to allocate resources associated with the DEA's four decision units to ONDCP's drug functions. The MCA model, using an activity-based costing methodology, provides the full cost of the DEA's mission outputs (performance costs). The table below shows the allocation percentages based on the DEA's MCA data.*

<b>The DEA Budget Decision Unit</b>	<b>Allocation</b>	<b>ONDCP Function</b>
Diversion Control Fee Account	4.22%	Intelligence
	94.67%	Investigations
	1.11%	Prevention
Domestic Enforcement	92.11%	Investigations
	7.70%	Intelligence
	0.19%	Prevention
International Enforcement	94.40%	International
	5.60%	Intelligence
State and Local Assistance	100.00%	State and Local Assistance

Decision Units: *One hundred percent of the DEA's total obligations by decision unit are associated with drug enforcement.* This total is reported and tracked in UFMS.

Full Time Equivalents (FTE): One hundred percent of the DEA FTEs are dedicated to drug enforcement efforts. The DEA's Direct FTE total for FY 2019 including Salaries & Expenses (S&E) and Diversion Control Fee Account (DCFA) appropriations, was 7,829 through pay period 19, ending September 28, 2019.

Transfers and Reimbursements: High Intensity Drug Trafficking Area (HIDTA) transfers and reimbursable obligations are excluded from the DEA's Table of Drug Control Obligations since they are reported by other sources.

#### Disclosure 2: Methodology Modifications

*The DEA's method for tracking drug enforcement resources has not been modified from the prior year methodology.* The DEA uses current MCA data to allocate FY 2019 obligations from four decision units to ONDCP's drug functions.

#### Disclosure 3: Material Weaknesses or Other Findings

DEA was included in the Department of Justice (DOJ) consolidated audit and did not receive a separate financial statement audit. The FY 2019 financial statements audit resulted in an unmodified opinion on the financial statements. However, the auditors reported one material weakness in which they noted that the emphasis placed on the Department's financial statement compilation and review processes had not achieved the level of rigor that is necessary to prepare timely and accurate financial statements in accordance with generally accepted accounting principles, and OMB Circular No. A-136, *Financial Reporting Requirements*.

DEA did not contribute directly to the material weakness identified above and this audit's findings did not impair DEA's ability to report complete and accurate obligation data in the FY 2019 Table of Drug Control Obligations.

#### Disclosure 4: Reprogrammings or Transfers

There were no reprogrammings in FY 2019.

The DEA had eight transfers during FY 2019 (see the attached Table of FY 2019 Reprogrammings and Transfers) with individual transfer amounts that matched or exceeded the \$1M threshold. There were seven internal transfers that met the \$ 1M threshold from DEA's prior year funded unobligated balances to DEA's S&E No-Year account for a total amount of \$73,014,507. DEA received one transfer from HIDTA that met the reporting threshold, in the amount of \$15,036,051. The other transfers did not meet the dollar criteria for reporting. Transfers under the Drug Resources by Function section in the Table of FY 2019 Reprogrammings and Transfers are based on the same MCA allocation percentages as the Table of Drug Control Obligations.

**U.S. Department of Justice  
Drug Enforcement Administration  
Detailed Accounting Submission  
Table of Reprogrammings and Transfers  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

<b>Drug Resources by Budget Decision Unit and Function:</b>	<b>Transfers-in</b>	<b>Transfers-out</b>	<b>Total</b>
<b>Domestic Enforcement</b>			
Intelligence	\$ 4 50	\$ -	\$ 4 50
Investigations	53 80	-	53 80
Prevention	0 11	-	0 11
<b>Total Domestic Enforcement</b>	<u>\$ 58 41</u>	<u>\$ -</u>	<u>\$ 58 41</u>
<b>International Enforcement</b>			
Intelligence	\$ 0 81	\$ -	\$ 0 81
International	13 79	-	13 79
<b>Total International Enforcement</b>	<u>\$ 14 60</u>	<u>\$ -</u>	<u>\$ 14 60</u>
<b>Total</b>	<u>\$ 73 01</u>	<u>\$ -</u>	<u>\$ 73 01</u>
High-Intensity Drug Trafficking Area (HIDTA) Transfers	\$ 15 04	\$ -	\$ 15 04

Drug Enforcement Administration  
Performance Summary Report





**U. S. Department of Justice**  
**Drug Enforcement Administration**

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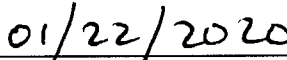
*www.dea.gov*

**Performance Summary Report**  
**Management's Assertion Statement**  
**For Fiscal Year Ended September 30, 2019**

On the basis of the Drug Enforcement Administration (DEA) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the DEA system of performance reporting provides reasonable assurance that:

1. DEA uses Priority Target Activity Resource Reporting System and Controlled Substance Act Database to capture performance information accurately and these systems were properly applied to generate the performance data.
2. Explanations offered for failing to meet a performance target and for any recommendations concerning plans and schedules for meeting future targets or for revising or eliminating performance targets is reasonable.
3. The methodology described to establish performance targets for the current year is reasonable given past performance and available resources.
4. DEA has established at least one acceptable performance measure for each budget decision unit, as agreed to by ONDCP, for which a significant amount of obligations were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.

  
\_\_\_\_\_  
Jeffrey W. Sutton, Chief Financial Officer

  
\_\_\_\_\_  
Date

**U.S. Department of Justice  
Drug Enforcement Administration  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measure 1: Number of Active International and Domestic PTOs Linked to CPOT Targets Disrupted or Dismantled**

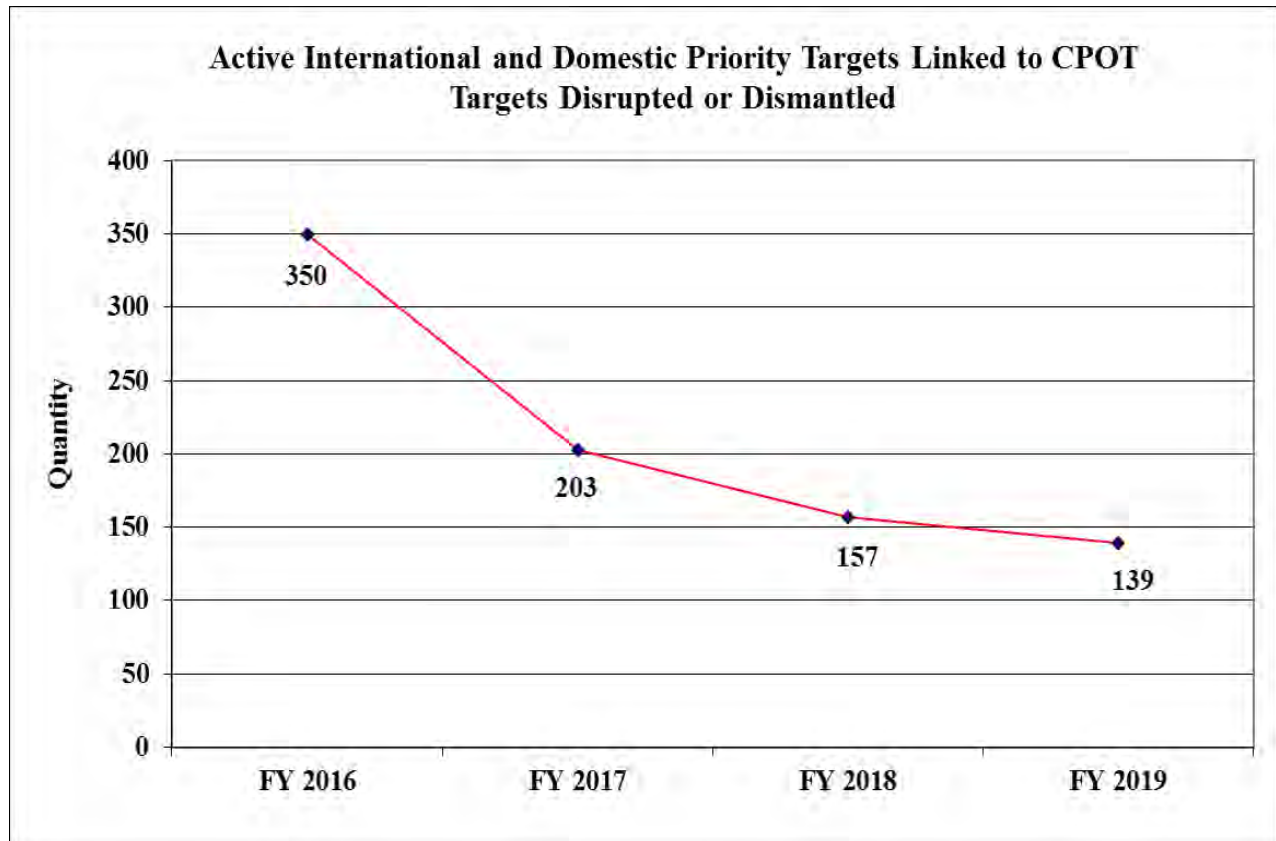
The Drug Enforcement Administration (DEA) is committed to bringing organizations involved in the growing, manufacturing, or distribution of controlled substances to the criminal and civil justice system of the U.S., or any other competent jurisdiction. To accomplish its mission, the DEA targets Priority Target Organizations (PTOs), which represent the major drug supply and money laundering organizations operating at the international, national, regional, and local levels that have a significant impact upon drug availability in the United States. Specifically, the DEA's PTO Program focuses on dismantling entire drug trafficking networks by targeting their leaders for arrest and prosecution, confiscating the profits that fund continuing drug operations, and eliminating international sources of supply. As entire drug trafficking networks from sources of supply to the distributors on the street are disrupted or dismantled, the availability of drugs within the United States will be reduced.

In its effort to target PTOs, the DEA is guided by key drug enforcement programs such as the Organized Crime Drug Enforcement Task Forces (OCDETF) program. The DEA, through the OCDETF program, targeted the drug trafficking organizations on the DOJ's FY 2019 Consolidated Priority Organization Target (CPOT) list – the “Most Wanted” drug trafficking and money laundering organizations believed to be primarily responsible for the Nation's illicit drug supply. The disruption or dismantlement of CPOT-linked organizations is primarily accomplished through multi-agency and multi-regional investigations directed by the DEA and the Federal Bureau of Investigation. These investigations focus on the development of intelligence-driven efforts to identify and target drug trafficking organizations that play a significant role in the production, transportation, distribution, and financial support of large-scale drug trafficking operations. The DEA's ultimate objective is to dismantle these organizations so that reestablishment of the same criminal organization is impossible.

Since the PTO Program is the DEA's flagship initiative for meeting its enforcement goals, including the enforcement goals of DEA's Diversion Control Program (DCP), the performance measures associated with this program are the most appropriate for assessing the DEA's National Drug Control Program activities. The performance measure, active international and domestic priority targets linked to CPOT targets disrupted or dismantled is the same measure included in the National Drug Control Budget Summary. DEA's resources are presented in the Table of Drug Control Obligations in the international and domestic enforcement decision units and Diversion Control Fee Account. Reimbursable resources from the OCDETF program contributed to these performance measures, but are not responsible for specifically identifiable performance.

**Table 1: Measure 1**

FY 2016 <sup>1</sup> Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY 2019 Actual	FY 2020 Target
350	203	157	185	139	195



In the first few years of the DEA's Priority Targeting Program, DEA repeatedly exceeded its annual targets for PTO disruptions<sup>2</sup> and dismantlements<sup>3</sup>. Prior to FY 2005, DEA in conjunction with DOJ components reported its PTO disruptions and dismantlements for closed cases. Thereafter, it included PTOs disrupted pending dismantlements (Category D – PTOs) among its disruption statistics because these cases achieved significant enforcement milestones (arrests, seizures, etc.). However, internally, DEA has never included disruptions pending dismantlement in its year-end reporting. Therefore, in order to align DEA's external and internal reporting,

<sup>1</sup> Beginning FY 2016, DEA no longer included Disrupted Pending Dismantled (Cat Code Ds) in our actual and target totals.

<sup>2</sup> A disruption occurs when the normal and effective operation of a targeted organization is impeded, as indicated by changes in organizational leadership and/or changes in methods of operation, including financing, trafficking patterns, communications, or drug production.

<sup>3</sup> A dismantlement occurs when the organization's leadership, financial base, and supply network are destroyed, such that the organization is incapable of operating and/or reconstituting itself.

DEA decided to exclude disruptions pending dismantlement from its year-end accounting of disruptions and dismantlements, effective FY 2016.

In FY 2019, DEA disrupted or dismantled 139 PTOs linked to CPOT targets, which is 75.1 percent of its FY 2019 target of 185. DEA missed the target by 46 PTOs linked to CPOTs. In general, DEA's FY 2019 PTO performance (CPOT-linked and Not-linked) has been tempered by declining Special Agent work hours and the coincidental, albeit prudent, implementation of a new and plenary drug control strategy called, the Threat Enforcement Planning Process (TEPP).

DEA has opened decreasing number of PTO's over the last several years due in part to declining levels of Special Agents in its field offices. The number of Special Agents on-board<sup>4</sup> in FY 2016 and FY 2019 was 4,539 and 4,408, respectively; a net decrease of 3 percent or 131 Special Agents. Over the same period, DEA reported a corresponding reduction in the number of PTO investigations opened from 2,477 in FY 2016 to 1,858 in FY 2019. Similar disparities in the overall number of non-PTO cases initiated were reported during the same period. Nevertheless, since DEA started reporting significant declines in number of PTO investigations opened in FY 2017 (1,138), there have been successive increases in the number of PTOs opened in FY 2018 (1,634) and FY 2019 (1,858); increases of 496 or 44 percent and 224 or 14 percent, respectively. This is a clear indication that the impact of DEA's more stringent PTO initiation, classification and reporting criteria has been, in fact, temporal. Also based on historical trends, DEA anticipates that its PTO dispositions (disruptions/dismantlements) will rebound accordingly with greater validity and increased credibility as intermediate outcomes.

In support of PTO outcomes, the TEPP seeks to refine and develop DEA's drug control strategy and shift agency performance evaluations from a quantitative based approach to a more, qualitative approach that focuses on outcomes. The TEPP establishes agency wide, national level threat priorities that guide field enforcement strategies and the allocation of limited resources. Field offices, at the Division/Region level identify threats in their Area of Responsibility (AOR) that fall under DEA-wide National Level Threats, and document their efforts to mitigate those threats through enforcement planning, operations, and initiatives. Though still in its exploratory and deliberative phase, the FY 2019 TEPP identified four DEA-wide National Level Threats that are in alignment with the President's Executive Orders and the Departments FY 2018-2022 Strategic Plan:

- Transnational Criminal Organizations (organized crime/drug networks)
- Opioid Threats (e.g., Heroin, Fentanyl, controlled prescription drugs)
- Violent Domestic Drug Gangs (e.g., MS-13)
- Cyber Drug Threats

This comprehensive effort, rooted in performance-based management with tangible outcomes and resource efficiencies, is a testament to DEA's commitment to thwart drug-related threats that endanger the health and public safety of residents and communities throughout the United States.

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<sup>4</sup> Special Agents on board excludes new hires enrolled in Basic Agent Training (BAT).

In FY 2020, DEA anticipates that it will inaugurate a new era of coordinated enforcement and efficient resource management, supported by data analytics in a manner that adapts to new and evolving threats with an enhanced capability to report Agency-wide effectiveness in real time.

DEA routinely evaluates the performance of its programs as well as their functional capabilities to include its PTO case management and reporting system, PTARRS (Priority Target Activity Resource and Reporting System). DEA acknowledges that there may be a temporal fluctuation and nominal decline in performance (PTO cases initiated) with corresponding declines in PTO Dispositions reported (CPOT-linked and Not) during the implementation of any new strategy. In fact, DEA is presently reviewing/re-evaluating its PTO program and the utility of PTARRS in the context of the TEPP, PTO designations, and PTO reporting criteria to facilitate seamless integration and ensure that investigations are being re-aligned to includes evolving constructs and performance measures that address the aforementioned threats to our nation.

### Target Forecast Methodology

DEA's FY 2020 target for International and Domestic Dispositions for PTOs linked to CPOTs is 195. The target was computed using a cascading algorithm that utilizes prior year PTO disposition distributions (FY 2016 through FY 2019), as well as the metrics that account for the overall inventory of potential cases worked within the period of interest to include the current inventory of cases open and a projected estimate of new cases initiated during that same period. The final target estimate is correlated to and supported by a corresponding analysis of the work hours (Special Agent and Total Core) dedicated to PTOs as an aggregate and by subcategory – CPOT/Not, Disrupted/Dismantled [closed], Administratively Closed [closed] and Still Active [open].

### ***Data Validation and Verification***

PTOs identified by the DEA's domestic field divisions and foreign country offices are tracked using the *Priority Target Activity Resource Reporting System* (PTARRS), an Oracle database used to track operational progress and the resources used in the related investigations (i.e., investigative work hours and direct case-related expenses). Through PTARRS, DEA assesses and links PTOs to drug trafficking networks, which address the entire continuum of the drug conspiracy. Once an investigation meets the criteria for a PTO, the investigation can be nominated as a PTO submission through PTARRS. PTARRS provides a means of electronically validating, verifying and approving PTOs through the chain of command, beginning with the case agent in the field and ending with the headquarters' Operations Division. The roles in the electronic approval chain are as follows:

#### *In the Field*

- Special Agent – The Special Agent, Task Force Officer, or Diversion Investigator collects data on lead cases proposed as PTOs. They can create, edit, update, and propose a PTO record.

- Group Supervisor – The Group Supervisor/Country Attaché coordinates and plans the allocation of resources for a proposed PTO. The Group Supervisor/Country Attaché can create, edit, update, propose, resubmit, and approve a PTO record.
- Assistant Special Agent in Charge– The Assistant Special Agent in Charge /Assistant Regional Director reviews the PTO proposed and approved by the Group Supervisor/Country Attaché, ensuring that all the necessary information meets the criteria for a PTO. The Assistant Special Agent in Charge /Assistant Regional Director can also edit, update, resubmit, or approve a proposed PTO.
- Special Agent in Charge – The Special Agent in Charge /Regional Director reviews the proposed PTO from the Assistant Special Agent in Charge /Assistant Regional Director and is the approving authority for the PTO. The Special Agent in Charge /Regional Director can also edit, update, resubmit, or approve a proposed PTO.

#### *At Headquarters*

- Operations Division (OC) – The Section Chief of the Data and Operational Accountability Section (OMD), or his designee, is the PTO Program Manager, and is responsible for the review of all newly approved PTO submissions and their assignment to the applicable Office of Global Enforcement (OG) or Office of Financial Operations (FO) section. The PTO Program Manager may request that incomplete submissions be returned to the field for correction and resubmission. OMD is also responsible for tracking and reporting information in the PTO Program through PTARRS; and is the main point-of-contact for the PTO program and PTARRS related questions.
- OMD will assign PTO's based on the nexus of the investigation to organizations located in specific geographic areas of the world, or to specific program areas. After assignment of a PTO, the appointed HQ section becomes the point-of-contact for that PTO and division/region personnel should advise appropriate HQ section personnel of all significant activities or requests for funding during the course of the investigation. The Staff Coordinator (SC) assigned to the PTO will initiate a validation process to include a review for completeness and confirmation of all related linkages (e.g., CPOTs). In the unlikely event that the documentation submitted is insufficient to validate reported linkages; the SC will coordinate with the submitting office to obtain the required information.
- All PTO cases that are reported as disrupted or dismantled must be validated by OMD or the Organized Crime Drug Enforcement Task Force – OCDETF Section (OMO). OMD will validate all non-OCDETF related PTO cases and OMO will validate all OCDETF related cases. These disruptions and dismantlements are reported to the Executive Office of OCDETF via memo by OMO.

#### **Performance Measure 2: Number of Active International and Domestic PTOs Not Linked to CPOT Targets Disrupted or Dismantled**

Although there is a primary emphasis on international and domestic PTOs linked to CPOT Targets, the PTOs not linked to CPOT targets disrupted or dismantled are just as important to DEA's mission. Specifically, the DEA's PTO Program focuses on dismantling entire drug

trafficking networks by targeting their leaders for arrest and prosecution, confiscating the profits that fund continuing drug operations, and eliminating international sources of supply. As entire drug trafficking networks from sources of supply to the distributors on the street are disrupted or dismantled, the availability of drugs within the United States will be reduced. The performance measure, active international and domestic priority targets not linked to CPOT targets disrupted or dismantled, is the same measure included in the National Drug Control Budget Summary.

In the first few years of the DEA's Priority Targeting Program, DEA repeatedly exceeded its annual targets for PTO disruptions<sup>5</sup> and dismantlements<sup>6</sup>. Prior to FY 2005, DEA reported its PTO disruptions and dismantlements for closed cases. Thereafter, it included PTOs disrupted pending dismantlements (Category D – PTOs) among its disruption statistics because these cases achieved significant enforcement milestones (arrests, seizures, etc.). However, internally, DEA has never included disruptions pending dismantlement in its year-end reporting. Therefore, in order to align DEA's external and internal reporting, DEA decided to exclude disruptions pending dismantlement from its year-end accounting of disruptions and dismantlements, effective FY 2016.

This decision by DEA will restore tracking end-points (dates closed) uniformly across all PTO case work analyzed and reported. In turn, this will enhance DEA's ability to identify, categorize and evaluate the efficacy of its PTO investigations and their corresponding resource allocations. In addition, limiting PTO case reporting to closed cases will result in efficiencies that augment statistical accuracy and as such, restore the ability to replicate reports now and into the future.

As of September 30, 2019, the DEA disrupted or dismantled 1,114 PTOs not linked to CPOT targets, which is 88.8 percent of its FY 2019 target of 1,254. DEA missed the target by 140 PTOs not linked to CPOTs. In general, DEA's FY 2019 PTO performance (CPOT-linked and Not-linked) has been tempered by declining Special Agent work hours and the coincidental, albeit prudent, implementation of a new and plenary drug control strategy called, the Threat Enforcement Planning Process (TEPP).

DEA's FY 2020 target for International and Domestic Dispositions for PTOs not linked to CPOTs is 1,281. The target was computed using a cascading algorithm that utilizes prior year PTO disposition distributions (FY 2014 through FY 2019), as well as the metrics that account for the overall inventory of potential cases worked within the period of interest to include the current inventory of cases open and a projected estimate of new cases initiated during that same period. The final target estimate is correlated to and supported by a corresponding analysis of the work hours (Special Agent and Total Core) dedicated to PTOs as an aggregate and by subcategory – CPOT/Not, Disrupted/Dismantled [closed], Administratively Closed [closed] and Still Active [open].

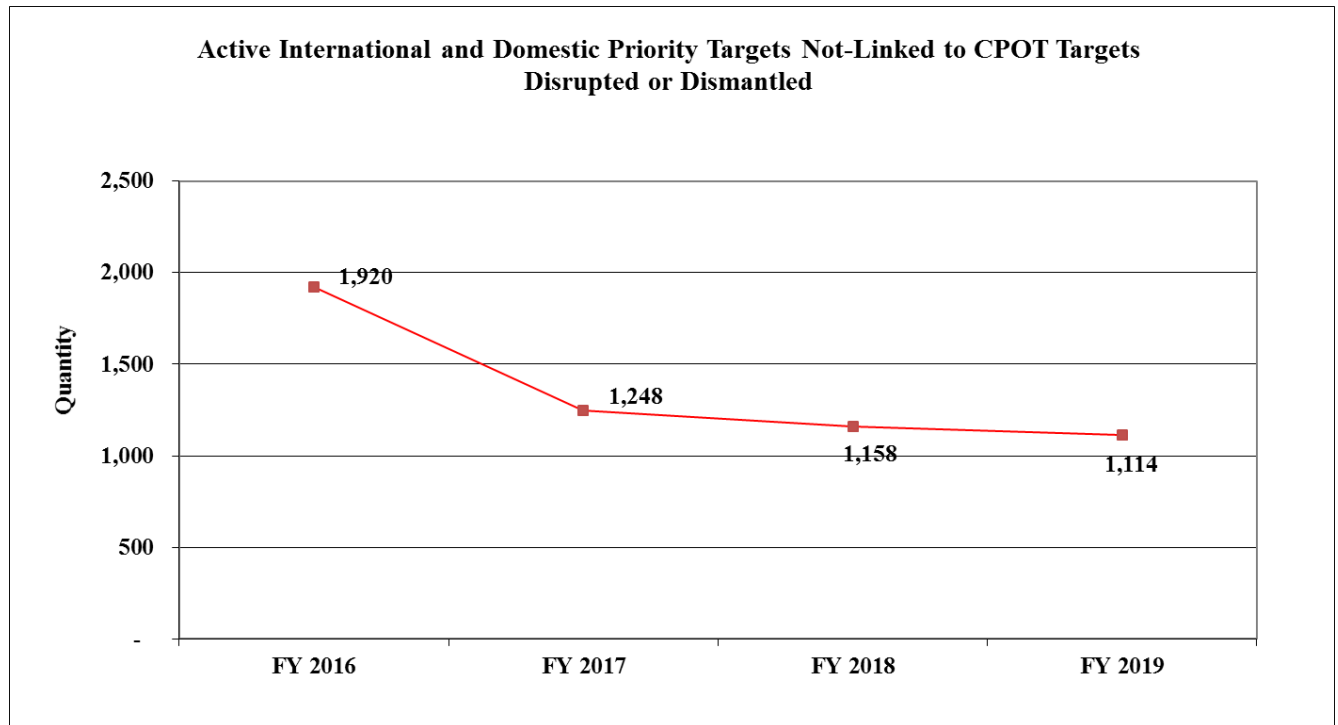
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<sup>5</sup> A disruption occurs when the normal and effective operation of a targeted organization is impeded, as indicated by changes in organizational leadership and/or changes in methods of operation, including financing, trafficking patterns, communications, or drug production.

<sup>6</sup> A dismantlement occurs when the organization's leadership, financial base, and supply network are destroyed, such that the organization is incapable of operating and/or reconstituting itself.

**Table 2: Measure 2**

FY 2016 <sup>7</sup> Actual	FY 2017 Actual	FY 2018 Actual	FY2019 Target	FY 2019 Actual	FY 2020 Target
1,920	1,248	1,158	1,254	1,114	1,281



### ***Data Validation and Verification***

PTOs not linked to CPOT targets use the same data validation and verification and PTOs linked to CPOT targets. They are in the same system, PTARRS, and identified with a code of “NO” for not linked.

### **Performance Measure 3: Number of DCP-related PTOs Disrupted/Dismantled**

The Diversion Control Program (DCP) has been working diligently to address the growing problem of diversion and prescription drug abuse. Criminal entrepreneurs have, over the past few years, leveraged technology to advance their criminal schemes and reap huge profits while diverting millions of dosages of powerful pain relievers such as hydrocodone. One such method was the use of rogue Internet pharmacies. Investigations involving Internet pharmacies required the DEA to retool and retrain investigators. Most of these investigations involved several jurisdictions and involved voluminous amounts of electronic data. Compounding the problem

<sup>7</sup> Beginning FY 2016, DEA no longer included Disrupted Pending Dismantled (Cat Code Ds) in our actual and target totals.



was the fact that many of the laws under which investigators worked were written years prior to today's technological advances.

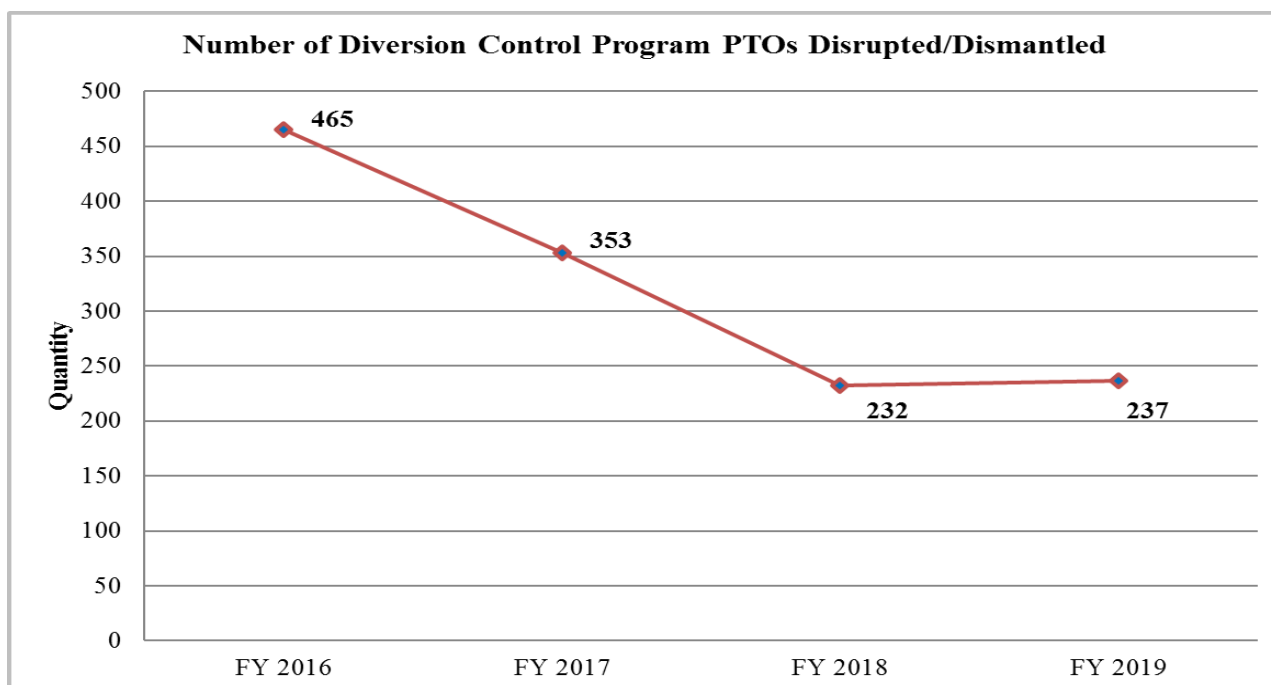
The DEA also developed and implemented the Distributor Initiative Program designed to educate and remind registrants of their regulatory and legal responsibilities. This program has been very successful and has moved the pharmaceutical industry to install new and enhanced measures to address their responsibilities and due diligence as registrants. Despite these efforts, the prescription drug abuse problem continues to be a major problem. Many state and local law enforcement agencies have devoted limited, if any resources, in the area of pharmaceutical diversion. To effectively attack this problem, the DEA, beginning in FY 2009, began establishing Tactical Diversion Squads (TDS) across the United States to tackle the growing problem of diversion and prescription drug abuse. These TDS groups, which incorporate Special Agents, Diversion Investigators and state and local Task Force Officers, have begun to show very successful investigations. Some of these investigations have resulted in multi-million dollar seizures. Beginning in FY 2011, DEA reported its DCP PTOs separately under the Diversion Control Fee Account. As a participant in the PTO program, the DCP is required to report PTOs linked to CPOT and not linked to CPOT. However, with the nature of the DCP, CPOT linkages are a rare event. Beginning in FY 2010, with the creation of Tactical Diversion Squads (TDS) in every domestic field division, the DCP began focusing on the identification of PTOs and their eventual disruption and dismantlement. As the DCP continues to work to fully staff its TDS groups, PTO performance is expected to increase.

**Table 3: Measure 3**

<b>FY 2016<sup>8</sup> Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
465	353	232	246	237	252

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<sup>8</sup> Beginning FY 2016, DEA no longer included Disrupted Pending Dismantled (Cat Code Ds) in our actual and target totals.



In the first few years of the DEA's Priority Targeting Program, DEA repeatedly exceeded its annual targets for PTO disruptions<sup>9</sup> and dismantlements<sup>10</sup>. Prior to FY 2005, DEA reported its PTO disruptions and dismantlements for closed cases. Thereafter, it included PTOs disrupted pending dismantlements (Category D – PTOs) among its disruption statistics because these cases achieved significant enforcement milestones (arrests, seizures, etc.). However, internally, DEA has never included disruptions pending dismantlement in its year-end reporting. Therefore, in order to align DEA's external and internal reporting, DEA has decided to exclude disruptions pending dismantlement from its year-end accounting of disruptions and dismantlements.

For FY 2019, the DEA disrupted or dismantled 237 DCP PTOs linked/not linked to CPOTs, which is 96.3 percent of its FY 2019 target of 246. DEA missed the target by 9 PTOs linked/not linked to CPOTs. In general, DEA's FY 2019 PTO performance (CPOT-linked and Not-linked) has been tempered by declining Special Agent work hours and the coincidental, albeit prudent, implementation of a new and plenary drug control strategy called, the Threat Enforcement Planning Process (TEPP).

DEA's FY 2020 target for Diversion PTO Dispositions (CPOT linked or not) is 252. The target was computed using a cascading algorithm that utilizes prior year PTO disposition distributions (FY 2016 through FY 2019), as well as the metrics that account for the overall inventory of

<sup>9</sup> A disruption occurs when the normal and effective operation of a targeted organization is impeded, as indicated by changes in organizational leadership and/or changes in methods of operation, including financing, trafficking patterns, communications, or drug production.

<sup>10</sup> A dismantlement occurs when the organization's leadership, financial base, and supply network are destroyed, such that the organization is incapable of operating and/or reconstituting itself.

potential cases worked within the period of interest to include the current inventory of cases open and a projected estimate of new cases initiated during that same period. The final target estimate is correlated to and supported by a corresponding analysis of the work hours (Special Agent and Total Core) dedicated to PTOs as an aggregate and by subcategory – CPOT/Not, Disrupted/Dismantled [closed], Administratively Closed [closed] and Still Active [open].

### ***Data Validation and Verification***

DCP PTOs use the same data validation and verification system as the domestic and international PTOs linked and not linked to CPOT targets. They are in the same system, PTARRS, and identified by a 2000 series case file number and certain fee fundable GEO – Drug Enforcement Program (GDEP) drug codes.

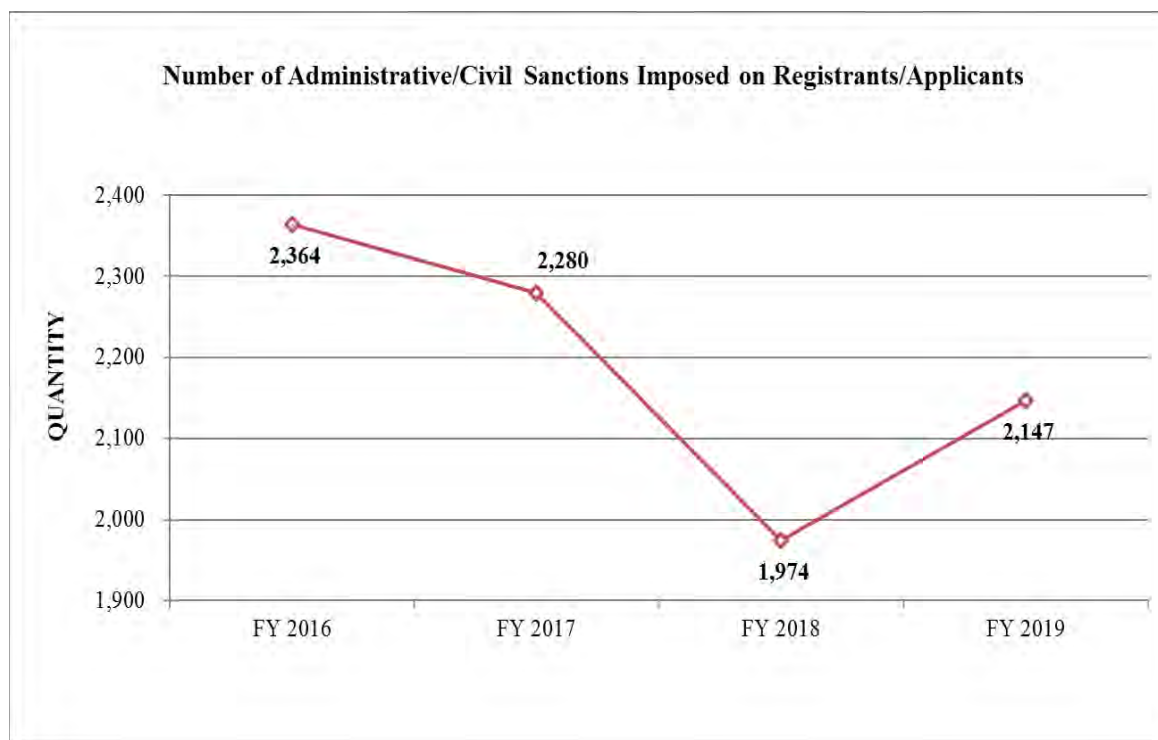
### **Performance Measure 4: Number of Administrative/Civil Sanctions Imposed on Registrants/Applicants**

In addition to the DCP’s enforcement activities, a large component of the DCP is regulatory in nature. Specifically, DEA’s DCP is responsible for enforcing the Controlled Substances Act (CSA) and its regulations pertaining to pharmaceutical controlled substances and listed chemicals. The DCP actively monitors more than 1.3 million individuals and companies that are registered with DEA to handle controlled substances or listed chemicals through a system of scheduling, quotas, recordkeeping, reporting, and security requirements. The DCP implements an infrastructure of controls established through the CSA and ancillary regulations. This system balances the protection of public health and safety by preventing the diversion of controlled substances and listed chemicals while ensuring an adequate and uninterrupted supply for legitimate needs. Because of this regulatory component, an additional performance measure, the number of Administrative/Civil Sanctions Imposed on Registrants/Applicants, is included in this report, which is indicative of the overall regulatory activities supported by the DCP.

Projections for the number of Administrative/Civil Sanctions levied are derived using a Microsoft Excel algorithm that compiles and computes a trend (usually linear) utilizing actual data from the preceding periods (e.g., fiscal years) and predicts data estimates for subsequent fiscal years.

**Table 4: Measure 4**

FY 2016	FY 2017	FY 2018	FY 2019	FY 2019	FY 2020
Actual	Actual	Actual	Target	Actual	Target
2,364	2,280	1,974	2,095	2,147	2,095



For FY 2019, the DCP imposed 2,147 Administrative/Civil Sanctions on its registrants/applicants, which is 102.5 percent of its FY 2019 target of 2,095. For FY 2020, DCP's target for Administrative/Civil Sanctions is 2,095.

### ***Data Validation and Verification***

The CSA Database (CSA2) is an Oracle database, which maintains all of the historical and investigative information on DEA registrants. It also serves as the final repository for punitive actions (i.e., sanctions) levied against CSA violators. During the reporting quarter, the domestic field divisions change the status of a registrant's CSA2 Master Record to reflect any regulatory investigative actions that are being conducted on the registrant. The reporting of the regulatory action by each field division is available on a real-time basis through the reporting system within CSA2, as the investigative status change occurs. The regulatory investigative actions that are collected in a real-time environment are as follows: letters of admonition/MOU, civil fines, administrative hearing, order to show cause, restricted record, suspension, surrender for cause, revocations, and applications denied.

The Diversion Investigators and Group Supervisors/Diversion Program Managers are tasked to ensure that timely and accurate reporting is accomplished as the registrant's investigative status changes. Group Supervisors/Diversion Program Managers have the ability to view the report of ongoing and completed regulatory investigation actions for their office/division at any time during the quarter or at the quarter's end, since the actions are in real-time.

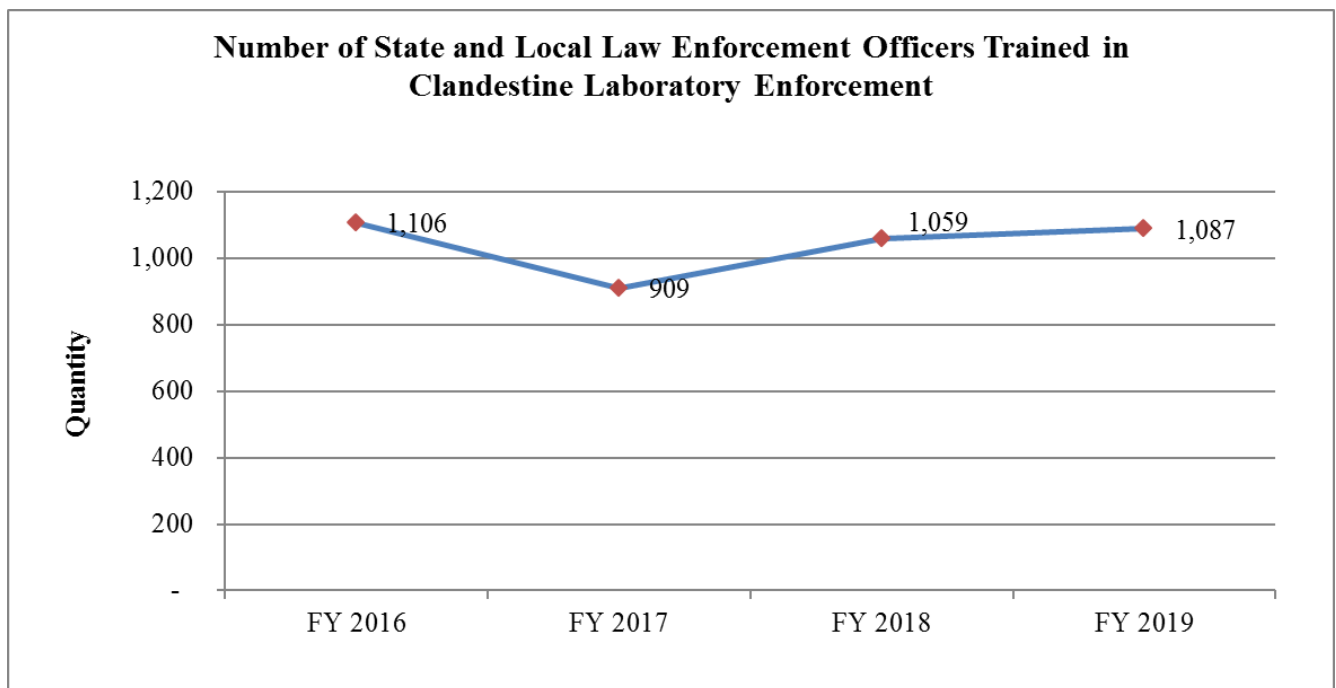
### **Performance Measure 5: Number of State and Local Law Enforcements Officers Trained in Clandestine Laboratory Enforcement**

The DEA supports state and local law enforcement with methamphetamine-related assistance and training, which allows state and local agencies to better address the methamphetamine threat in their communities and reduce the impact that methamphetamine has on the quality of life for American citizens.

One of the most critical, specialized training programs offered by DEA to state and local law enforcement officers is in the area of Clandestine Laboratory Training. Because state and local police encounter the clandestine laboratories with greater frequency, they are tasked to investigate, dismantle, and appropriately dispose of toxic materials, thereby protecting the public's health and safety.

**Table 5:** Measure 5

<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
1,106	909	1,059	900	1,087	900



During FY 2019, DEA conducted training for 1,087 state and local law enforcement officers, which is 120.8 percent of its FY 2019 target of 900. This includes State and Local Clandestine Laboratory Certification Training, Site Safety Training, Tactical Training, and Authorized Central Storage Program Training. The FY 2020 target is 900. Finally, in recognition of the

disparate distribution of its targets and actuals, DEA will utilize more robust analytical methods that use historical patterns to better forecast its annual targets.

### ***Data Validation and Verification***

The DEA Training Academy receives quarterly training data from the field on training provided by Division Training Coordinators (DTC). The field data are combined with the data generated by the DEA's Training Academy for total training provided by the DEA. Data are tabulated quarterly and analyzed as part of an overall evaluation of programs process at the end of the fiscal year.

FEDERAL BUREAU OF PRISONS



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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Director  
Federal Bureau of Prisons  
U.S. Department of Justice

We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's Federal Bureau of Prisons (BOP) for the fiscal year ended September 30, 2019. The BOP's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

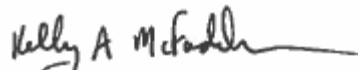
Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding*



*and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of BOP management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in dark ink, appearing to read "Kelly A. McFadden", with a long horizontal flourish extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

Federal Bureau of Prisons  
Detailed Accounting Submission

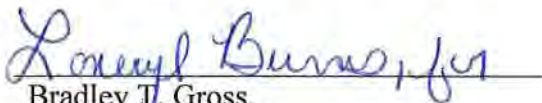


Washington, DC 20534

**Detailed Accounting Submission  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Federal Bureau of Prisons (BOP) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the BOP system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. The drug methodology used by the BOP to calculate obligations of budgetary resources by function and budget decision unit is reasonable and accurate in all material respects.
2. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
3. The data presented are associated with obligations against a financial plan that did not require revision for reprogrammings or transfers during FY 2019.
4. BOP did not have any ONDCP Fund Control Notices issued in FY 2019.



Bradley T. Gross,  
Assistant Director  
for Administration  
Federal Bureau of Prisons  
U.S. Department of Justice

January 22, 2020

Date

**U.S. Department of Justice  
Federal Bureau of Prisons  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

**FY 2019  
Actual Obligations**

**Drug Obligations by Budget Decision Unit and Function:**

**Decision Unit #1: Inmate Care and Programs**

Treatment	\$ 85.39
Corrections	\$ 1,181.13
<b>Total Inmate Care and Programs</b>	<b>\$ 1,266.52</b>

**Decision Unit #2: Institution Security and Administration**

Corrections	\$ 1,550.24
<b>Total Institution Security and Administration</b>	<b>\$ 1,550.24</b>

**Decision Unit #3: Contract Confinement**

Treatment	\$ 30.44
Corrections	\$ 393.55
<b>Total Contract Confinement</b>	<b>\$ 423.99</b>

**Decision Unit #4: Management and Administration**

Corrections	\$ 100.83
<b>Total Management and Administration</b>	<b>\$ 100.83</b>

**Decision Unit #5: New Construction**

Corrections	\$ 0.64
<b>Total New Construction</b>	<b>\$ 0.64</b>

**Decision Unit #6: Modernization and Repair**

Corrections	\$ 56.86
<b>Total Modernization and Repair</b>	<b>\$ 56.86</b>

<b>Total Drug Control Obligations</b>	<b>\$ 3,399.08</b>
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**U.S. Department of Justice  
Federal Bureau of Prisons  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

**Disclosure 1: Drug Methodology**

The mission of the Federal Bureau of Prisons (BOP) is to protect society by confining offenders in the controlled environments of prisons and community-based facilities that are safe, humane, cost-efficient, appropriately secure, and which provide work and other self-improvement opportunities to assist offenders in becoming law-abiding citizens.

The BOP's drug resources are divided into two functions: 1) Treatment; and 2) Corrections.

Treatment Function Obligations are calculated by totaling, actual amount obligated (100%) for Drug Treatment Functions, which includes: Drug Program Screening and Assessment; Drug Abuse Education; Non-Residential Drug Abuse Treatment; Residential Drug Abuse Treatment; and Community Transitional Drug Abuse Treatment. The treatment obligations for Community Transitional Drug Treatment are captured in Contract Confinement Decision unit, where, as all other programs are included in Inmate Care and Program Decision Unit.

Correction Function Obligations are calculated by totaling, all BOP Direct Obligations, subtracting Treatment Functions obligations from it and applying drug percentage to these obligations. Drug percentage is the percentage of inmates sentenced for drug-related crimes (45.2%).

The Table of Drug Control Obligations was prepared in accordance with the Office of National Drug Control Policy (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018. The table represents obligations incurred by the BOP for drug control purposes. The amounts are net of all reimbursable agreements.

**Data** - All accounting information for the BOP is derived from the Department of Justice (DOJ) Financial Management Information System 2 (FMIS2).

**Financial Systems** - The FMIS2 is the DOJ financial system that provides BOP obligation data. Obligations in this system can also be reconciled with the enacted appropriation and carryover balances.

**Disclosure 2: Methodology Modifications**

The overall methodology to calculate drug control obligations has not been changed from the prior year (FY 2018).

### Disclosure 3: Material Weaknesses or Other Findings

In FY 2019, there were no significant deficiencies or material weaknesses identified in OMB Circular A-123 testing or the *Independent Auditors' Report*.

### Disclosure 4: Reprogrammings or Transfers

BOP's FY 2019 obligations include all approved transfers and there were no reprogrammings (see the attached Table of Reprogrammings and Transfers).

### Disclosure 5: Other Disclosures

The BOP allocates funds to the Public Health Service (PHS). The PHS provides a portion of the drug treatment for federal inmates. In FY 2019, \$1,147,432 was allocated from the BOP to PHS, and was designated and expended for current year obligations of PHS staff salaries, benefits, and applicable relocation expenses associated with eight PHS Full Time Equivalents in relations to drug treatment. Therefore, the allocated obligations were included in BOP's Table of Drug Control Obligations.

**U.S. Department of Justice**  
**Federal Bureau of Prisons**  
**Detailed Accounting Submission**  
**Table of Reprogrammings and Transfers**  
**For Fiscal Year Ended September 30, 2019**  
**(Dollars in Millions)**

<b>Drug Resources by Budget Decision Unit and Function:</b>	<b>Reprogrammings</b>	<b>Transfers -in</b>	<b>Transfers-out</b>	<b>Total</b>
<b>Decision Unit: Inmate Care and Programs</b>				
Corrections	\$ 0.00	\$ 48.36	\$ (48.36)	\$ 0.00
<b>Total Inmate Care and Programs</b>	<u>\$ 0.00</u>	<u>\$ 48.36</u>	<u>\$ -48.36</u>	<u>\$ 0.00</u>
<b>Decision Unit: Institution Security &amp; Administration</b>				
Corrections	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>Total Institution Security &amp; Administration</b>	<u>\$ 0.00</u>	<u>\$ 0.00</u>	<u>\$ 0.00</u>	<u>\$ 0.00</u>
<b>Decision Unit: Contract Confinement</b>				
Corrections	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>Total Contract Confinement</b>	<u>\$ 0.00</u>	<u>\$ 0.00</u>	<u>\$ 0.00</u>	<u>\$ 0.00</u>
<b>Decision Unit: Management &amp; Administration</b>				
Corrections	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>Total Management and Administration</b>	<u>\$ 0.00</u>	<u>\$ 0.00</u>	<u>\$ 0.00</u>	<u>\$ 0.00</u>
<b>Total</b>	<u>\$ 0.00</u>	<u>\$ 48.36</u>	<u>\$ -48.36</u>	<u>\$ 0.00</u>

Federal Bureau of Prisons  
Performance Summary Report





Washington, DC 20534

**Performance Summary Report  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Federal Bureau of Prisons (BOP) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the BOP system of performance reporting provides reasonable assurance that:

1. BOP uses SENTRY to capture performance information accurately and SENTRY was properly applied to generate the performance data.
2. BOP, due to declining inmate population, missed the participant performance target for FY 2019.
3. The methodology described to establish performance targets for the current year is reasonable given past performance and available resources.
4. BOP has established at least one acceptable performance measure for each budget decision unit, as agreed to by ONDCP, for which a significant amount of obligations (\$1 million or 50 percent of the agency drug budget, whichever is less) were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.



Bradley T. Gross,  
Assistant Director  
for Administration  
Federal Bureau of Prisons  
U.S. Department of Justice

January 22, 2020

Date

**U.S. Department of Justice  
Federal Bureau of Prisons  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measure 1: Residential Drug Abuse Treatment Program Capacity and Enrollment**

The BOP has established a performance measurement of monitoring the utilization of residential drug treatment program capacity as a performance indicator to measure effective usage of Drug Treatment Programs. This measure complies with the purpose of National Drug Control Program activity and is presented in support of the Treatment function.

The Violent Crime Control and Law Enforcement Act of 1994 requires the BOP to provide residential substance abuse treatment for 100% of "eligible" inmates by the end of FY 1997 and each year thereafter (subject to the availability of appropriations). The BOP established a performance measurement tracking the capacity of the Residential Drug Abuse Program (RDAP) to the number of participants at the end of each fiscal year. The objective is to monitor the utilization of RDAP capacity.

RDAP is offered at 73 BOP locations and one contract facility. Inmates who participate in these residential programs are housed together in a treatment unit that is set apart from the general population. Treatment is provided for a minimum of 500 hours.

Data on inmate capacity and participation is entered in the BOP on-line system (SENTRY). SENTRY Key Indicator reports provide the counts of inmates participating in the RDAP and subject matter experts enter and analyze the data.

In FY 2019, the BOP achieved a total capacity of 6,239 (capacity is based on number of treatment staff) that was available for the fiscal year and 5,940 actual participants (participants are actual inmates enrolled in the program at year end). The BOP missed the participants target due to the decline in the BOP inmate population.

For FY 2020, the capacity of BOP's RDAP is projected to be 6,239 with total participants of 5,940. This is based on past performance of FY 2019.

**Fiscal year-end Residential Drug Abuse Treatment Program Capacity and Enrollment**

Fiscal Year	Capacity	Participants*	Utilization
FY 2016 Actual	7,833	7,410	95%
FY 2017 Actual	7,022	6,781	97%
FY 2018 Actual	6,719	6,435	96%
FY 2019 Target	6,719	6,435	96%
FY 2019 Actual	6,239	5,940	95%
FY 2020 Target	6,239	5,940	95%

\*Participants may exceed Capacity due to overcrowding and demand for the program.

***Data Validation and Verification***

To ensure the reliability of the data, the capacity of the program and the utilization rate is monitored by subject matter experts at the end of each quarter using Key Indicator reports generated from SENTRY.

OFFICE OF JUSTICE PROGRAMS



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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Principal Deputy Assistant Attorney General  
Office of Justice Programs  
U.S. Department of Justice

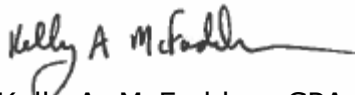
We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's Office of Justice Programs (OJP) for the fiscal year ended September 30, 2019. The OJP's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding*

*and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of OJP management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in black ink, appearing to read "Kelly A. McFadden", with a long horizontal flourish extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

Office of Justice Programs  
Detailed Accounting Submission





U.S. Department of Justice

Office of Justice Programs

Washington, D.C. 20531

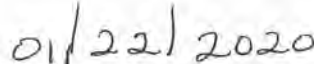
**Detailed Accounting Submission  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Office of Justice Programs (OJP) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the OJP system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. Obligations reported by budget decision unit are the actual obligations from the OJP's accounting system of record for these budget decision units.
2. The drug methodology used by the OJP to calculate obligations of budgetary resources by function is reasonable and accurate in all material respects.
3. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
4. The data presented are associated with obligations against a financial plan that was revised during the fiscal year (FY) to properly reflect the changes, including ONDCP's approval for reprogrammings and transfers affecting drug-related resources in excess of \$1 million.
5. OJP did not have any ONDCP Fund Control Notices issued in FY 2019.



Leigh Benda, Chief Financial Officer



Date



U.S. Department of Justice  
Office of Justice Programs  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)

**FY 2019  
Actual  
Obligations <sup>1/</sup>**

**Drug Obligations by Budget Decision Unit and Function:**

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**Decision Unit #1: Regional Information Sharing System Program**

State and Local Assistance	\$	12.09
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<b>Total, Regional Information Sharing System Program</b>	<b>\$</b>	<b>12.09</b>
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**Decision Unit #2: Drug Court Program**

Treatment	\$	71.86
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<b>Total, Drug Court Program</b>	<b>\$</b>	<b>71.86</b>
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**Decision Unit #3: Justice and Mental Health Collaborations**

Treatment	\$	4.77
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<b>Total, Justice and Mental Health Collaborations</b>	<b>\$</b>	<b>4.77</b>
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**Decision Unit #4: Residential Substance Abuse Treatment Program**

Treatment	\$	28.13
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<b>Total, Residential Substance Abuse Treatment Program</b>	<b>\$</b>	<b>28.13</b>
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**Decision Unit #5: Harold Rogers' Prescription Drug Monitoring Program**

State and Local Assistance	\$	27.59
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<b>Total, Harold Rogers' Prescription Drug Monitoring Program</b>	<b>\$</b>	<b>27.59</b>
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**Decision Unit #6: Second Chance Act Program**

Treatment	\$	23.83
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<b>Total, Second Chance Act Program</b>	<b>\$</b>	<b>23.83</b>
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**Decision Unit #7: Project Hope Opportunity Probation with Enforcement (HOPE)**

State and Local Assistance	\$	0.77
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<b>Total, Project Hope</b>	<b>\$</b>	<b>0.77</b>
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U.S. Department of Justice  
Office of Justice Programs  
Detailed Accounting Submission  
Table of Drug Control Obligations – Continued  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)

**FY 2019  
Actual  
Obligations <sup>1/</sup>**

**Drug Obligations by Budget Decision Unit and Function:**

**Decision Unit #8: Byrne Criminal Justice Innovation Program**

State and Local Assistance	\$	5.24
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<b>Total, Byrne Criminal Justice Innovation Program</b>	<b>\$</b>	<b>5.24</b>
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**Decision Unit #9: Edward Byrne Memorial Justice Assistance Grant Program**

State and Local Assistance	\$	32.16
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<b>Total, Edward Byrne Memorial Justice Assistance Grant Program</b>	<b>\$</b>	<b>32.16</b>
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**Decision Unit #10: Tribal Youth Program <sup>2/</sup>**

Prevention	\$	2.04
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<b>Total, Tribal Youth Program</b>	<b>\$</b>	<b>2.04</b>
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**Decision Unit #11: Veterans Treatment Courts Program**

Treatment	\$	18.01
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<b>Total, Veterans Treatment Courts Program</b>	<b>\$</b>	<b>18.01</b>
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**Decision Unit #12: Comprehensive Opioid Abuse Program**

Treatment	\$	143.27
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<b>Total, Comprehensive Opioid Abuse Program</b>	<b>\$</b>	<b>143.27</b>
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**Decision Unit #13: Tribal Courts Program <sup>2/</sup>**

Treatment	\$	3.98
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<b>Total, Tribal Courts Program</b>	<b>\$</b>	<b>3.98</b>
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**Decision Unit #14: Indian Alcohol and Substance Abuse Program <sup>2/</sup>**

Prevention	\$	16.01
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<b>Total, Indian Alcohol and Substance Abuse Program</b>	<b>\$</b>	<b>16.01</b>
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**U.S. Department of Justice  
Office of Justice Programs  
Detailed Accounting Submission  
Table of Drug Control Obligations – Continued  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

**FY 2019  
Actual  
Obligations <sup>1/</sup>**

**Drug Obligations by Budget Decision Unit and Function:**

**Decision Unit #15: Forensic Support for Opioid and Synthetic Drug Investigations**

State and Local Assistance	\$ 13.36
<b>Total, Forensic Support</b>	<b>\$ 13.36</b>

**Decision Unit #16: Opioid-Affected Youth Initiative**

Prevention	\$ 8.38
<b>Total, Opioid-Affected Youth Initiative</b>	<b>\$ 8.38</b>

**Decision Unit #17: Mentoring for Youth Affected by the Opioid Crisis**

Prevention	\$ 15.34
<b>Total, Mentoring for Youth Affected by the Opioid Crisis</b>	<b>\$ 15.34</b>

<b>Total Drug Control Obligations <sup>3/</sup></b>	<b>\$ 426.83</b>
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Notes:

1/ Actual obligations reflect direct program obligations plus estimated management and administration obligations.

2/ In FY 2019, Congress provided funding for OJP's tribal programs on the Tribal Assistance and Tribal Youth Program line items, rather than under the 7% discretionary tribal justice assistance set aside that was requested in the FY 2019 President's Budget. Therefore, OJP is reporting funding for programs supported by part of the funding provided by the Tribal Assistance line item under the Tribal Courts and Indian Alcohol and Substance Abuse programs. Funding for the Tribal Youth Program is appropriated to OJP as a carveout under the Delinquency Prevention Program.

3/ OJP is not reporting on the Enforcing Underage Drinking Laws program in this table, as there were no obligations for this programs in FY 2019.

**U.S. Department of Justice  
Office of Justice Programs  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

**Disclosure 1: Drug Methodology**

The mission of the Office of Justice Programs (OJP) is to provide leadership, resources and solutions for creating safe, just, and engaged communities. As such, OJP's resources are primarily targeted to providing assistance to state, local, and tribal governments. In executing its mission, OJP dedicates a significant level of resources to drug-related program activities, which focus on breaking the cycle of drug abuse and crime including: drug testing and treatment, provision of graduated sanctions, drug prevention and education, and research and statistics.

The Table of Drug Control Obligations was prepared in accordance with the Office of National Drug Control Policy (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018. The OJP obligations reported for the Fiscal Year (FY) 2019 attestation reflect a revised drug budget methodology established by OJP and ONDCP in January 2018. This methodology was implemented to better reflect OJP contributions to the ONDCP drug strategy.

OJP's Office of the Chief Financial Officer, Budget Formulation and Appropriations Division is responsible for the development and presentation of the annual OJP ONDCP Budget. OJP's FY 2019 drug obligations have a total of 18 decision units identified for the National Drug Control Budget. No new decision units were added to during FY 2019.

The following programs are not being reported, as Congress did not enact the set aside in FY 2019: (1) the 7 percent Tribal Set Aside Coordinated Tribal Assistance Solicitation (CTAS) Purpose Area 3: Justice Systems and Alcohol and Substance Abuse, and (2) the 7 percent Tribal Set Aside - CTAS Purpose Area 9: Tribal Youth Program.

The 18 decision units in FY 2019 include the following:

- Regional Information Sharing System Program
- Drug Court Program
- Justice and Mental Health Collaborations
- Residential Substance Abuse Treatment Program
- Harold Rogers' Prescription Drug Monitoring Program
- Second Chance Act Program
- Project HOPE
- Byrne Criminal Justice Innovation Program
- Edward Byrne Memorial Justice Assistance Grant Program
- Tribal Youth Program
- Veterans Treatment Courts Program
- Comprehensive Opioid Abuse Program
- Tribal Courts Program

- Indian Alcohol and Substance Abuse Program
- Enforcing Underage Drinking Laws Program
- Forensic Support for Opioid and Synthetic Drug Investigations
- Opioid-Affected Youth Initiative
- Mentoring for Youth Affected by the Opioid Crisis

Of the 18 decision units listed above, OJP is not reporting obligations for the Enforcing Underage Drinking Laws Program in FY 2019, as the program has not been funded since FY 2014; however, there are drug-related transfers and recoveries for this program which are being reported.

In determining the level of resources used in support of the remaining 17 active budget decision units, OJP used the following methodology:

#### Drug Program Obligations by Decision Unit

Data on obligations, as of September 30, 2019, were gathered from the Department of Justice's (DOJ's) Financial Management Information System 2 (FMIS2). The total obligations presented for OJP are net of funds obligated under the Crime Victims Fund and Public Safety Officers' Benefits Program.

#### Management and Administration (M&A) Data

M&A funds are assessed at the programmatic level and obligations are obtained from FMIS2 (OJP's Financial System). The obligation amounts were allocated to each decision unit by applying the relative percentage of Full-Time Equivalents (FTE) assigned to the 17 active drug related decision units to the total M&A obligations for OJP.

Overall, OJP program activities support the two goals of the National Drug Control Strategy to: (1) curtail illicit drug consumption in America; and (2) improve the public health and public safety of the American people by reducing the consequences of drug abuse. Functionally, OJP program activities fall under the following functions: State and Local Assistance, Treatment, and Prevention. To determine the function amount, OJP used an allocation method that was derived from an annual analysis of each program's mission and by surveying program officials. OJP then applied that function allocation percentage to the obligations associated with each decision unit line item.

The Table of Drug Control Obligations amounts were calculated as follows:

Function:	The appropriate drug-related percentage was applied to each decision unit line item and totaled by function. For FY 2019, the 17 active budget decision units had a function allocation of 100 percent.
Decision Unit:	In accordance with the ONDCP Circulars and OJP's drug budget methodology, 100 percent of the actual obligations for 7 of the 17 active budget decision units are included in the Table of Drug Control Obligations.

As specified in the current OJP drug budget methodology:

- Only 35 percent of the actual obligations for the Regional Information Sharing System Program are included;
- Only 15 percent of the actual obligations for Justice and Mental Health Collaborations are included;
- Only 35 percent of the actual obligations administered by the Bureau of Justice Assistance (BJA) and 12 percent of the actual obligations administered by the Office of Juvenile Justice and Delinquency Prevention (OJJDP) under the Second Chance Act are included;
- Only 30 percent of the actual obligations for the Byrne Criminal Justice Innovation Program and Tribal Youth Program are included;
- Only 10 percent of the actual obligations for the Edward Byrne Memorial Justice Assistance Grants Program are included;
- Only 80 percent of the actual obligations for the Tribal Courts Program and Indian Alcohol and Substance Abuse Program are included;
- Only 57 percent of total actual obligations for the Paul Coverdell Forensic Science Improvement Grants Program are included to represent the activity under the Forensic Support for Opioid and Synthetic Drug Investigations decision unit; and
- Only 15 percent of total actual obligations for the Youth Mentoring Program are included to represent the activity under the Mentoring for Youth Affected by the Opioid Crisis decision unit.

#### Disclosure 2: Methodology Modifications

As noted above, OJP and ONDCP agreed to a revised drug budget methodology for OJP programs in January 2018. Since the implementation of this methodology in FY 2018, there have been no significant changes to OJP's methodology for reporting drug budget obligations.

Funding for OJP tribal programs in the FY 2019 attestation is reported under:

- The Tribal Courts and Indian Alcohol and Substance Abuse decision units (both of which are funded from the Tribal Assistance line item appropriation); and
- The Tribal Youth Program (which is funded as a carveout from the Delinquency Prevention Program line item appropriation).

#### Disclosure 3: Material Weaknesses or Other Findings

For FY 2019, OJP was included in the DOJ consolidated financial statements audit and did not receive a separate financial statements audit. The DOJ's consolidated FY 2019 *Independent Auditors' Report* revealed no material weaknesses or significant deficiencies directed at OJP. Additionally, the Department's assessment of risk and internal controls in FY 2019 conducted in

accordance with OMB Circular A-123 did not identify any findings which may materially affect the presentation of prior year drug-related obligations data.

Disclosure 4: Reprogrammings or Transfers

In accordance with the ONDCP's Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, OJP has provided the attached Table of Reprogrammings and Transfers. In FY 2019, for the reported decision units and programs, OJP had no reprogrammings, and \$68.9 million and \$97.8 million in drug-related transfers-in and transfers-out, respectively. The transfers-in amounts include OJP's FY 2019 prior-year recoveries associated with the reported budget decision units. The transfers-out amounts reflect the assessments for the 2.5 percent Research, Evaluation, and Statistics (RES) set aside and M&A assessments against OJP programs.

The RES 2.5 percent set-aside was directed by Congress for funds to be transferred to and merged with funds provided to the National Institute of Justice and the Bureau of Justice Statistics to be used for research, evaluation, or statistical purposes. In FY 2019, Congress provided OJP the authority to assess programs for administrative purposes.

Disclosure 5: Other Disclosures

In FY 2019, OJP's drug-related programs were supported by \$38.7 million in unobligated resources carried forward from previous fiscal years.

**U.S. Department of Justice  
Office of Justice Programs  
Detailed Accounting Submission  
Table of Reprogrammings and Transfers  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

<b>Drug Resources by Budget Decision Unit and Function:</b>	<b>Reprogrammings <sup>1/</sup></b>	<b>Transfers-in <sup>2/</sup></b>	<b>Transfers-out <sup>3/</sup></b>	<b>Total</b>
<b>Decision Unit #1: Regional Information Sharing System Program</b>				
State and Local Assistance	\$ -	\$ 34.51	\$ (0.93)	\$ 33.58
<b>Total, Regional Information Sharing System Program</b>	<u>\$ -</u>	<u>\$ 34.51</u>	<u>\$ (0.93)</u>	<u>\$ 33.58</u>
<b>Decision Unit #2: Drug Court Program</b>				
Treatment	\$ -	\$ 3.65	\$ (15.84)	\$ (12.19)
<b>Total, Drug Court Program</b>	<u>\$ -</u>	<u>\$ 3.65</u>	<u>\$ (15.84)</u>	<u>\$ (12.19)</u>
<b>Decision Unit #3: Justice and Mental Health Collaborations</b>				
Treatment	\$ -	\$ 1.00	\$ (4.97)	\$ (3.97)
<b>Total, Justice and Mental Health Collaborations</b>	<u>\$ -</u>	<u>\$ 1.00</u>	<u>\$ (4.97)</u>	<u>\$ (3.97)</u>
<b>Decision Unit #4: Residential Substance Abuse Treatment Program</b>				
Treatment	\$ -	\$ 0.89	\$ (2.77)	\$ (1.88)
<b>Total, Residential Substance Abuse Treatment Program</b>	<u>\$ -</u>	<u>\$ 0.89</u>	<u>\$ (2.77)</u>	<u>\$ (1.88)</u>
<b>Decision Unit #5: Harold Rogers' Prescription Drug Monitoring Program</b>				
State and Local Assistance	\$ -	\$ 1.01	\$ (2.77)	\$ (1.76)
<b>Total, Harold Rogers' Prescription Drug Monitoring Program</b>	<u>\$ -</u>	<u>\$ 1.01</u>	<u>\$ (2.77)</u>	<u>\$ (1.76)</u>
<b>Decision Unit #6: Second Chance Act Program</b>				
Treatment	\$ -	\$ 10.09	\$ (11.66)	\$ (1.57)
<b>Total, Second Chance Act Program</b>	<u>\$ -</u>	<u>\$ 10.09</u>	<u>\$ (11.66)</u>	<u>\$ (1.57)</u>
<b>Decision Unit #7: Project Hope Opportunity Probation with Enforcement (HOPE)</b>				
State and Local Assistance	\$ -	\$ 0.39	\$ (0.37)	\$ 0.02
<b>Total, Project Hope</b>	<u>\$ -</u>	<u>\$ 0.39</u>	<u>\$ (0.37)</u>	<u>\$ 0.02</u>
<b>Decision Unit #8: Byrne Criminal Justice Innovation Program</b>				
State and Local Assistance	\$ -	\$ 1.56	\$ (3.06)	\$ (1.50)
<b>Total, Byrne Criminal Justice Innovation Program</b>	<u>\$ -</u>	<u>\$ 1.56</u>	<u>\$ (3.06)</u>	<u>\$ (1.50)</u>
<b>Decision Unit #9: Edward Byrne Memorial Justice Assistance Grant Program</b>				
State and Local Assistance	\$ -	\$ 6.76	\$ (34.18)	\$ (27.42)
<b>Total, Edward Byrne Memorial Justice Assistance Grant Program</b>	<u>\$ -</u>	<u>\$ 6.76</u>	<u>\$ (34.18)</u>	<u>\$ (27.42)</u>
<b>Decision Unit #10: Tribal Youth Program <sup>4/</sup></b>				
Prevention	\$ -	\$ 1.00	\$ (0.46)	\$ 0.54
<b>Total, Tribal Youth Program</b>	<u>\$ -</u>	<u>\$ 1.00</u>	<u>\$ (0.46)</u>	<u>\$ 0.54</u>
<b>Decision Unit #11: Veterans Treatment Courts Program</b>				
Treatment	\$ -	\$ 0.83	\$ (2.65)	\$ (1.82)
<b>Total, Veterans Treatment Courts Program</b>	<u>\$ -</u>	<u>\$ 0.83</u>	<u>\$ (2.65)</u>	<u>\$ (1.82)</u>
<b>Decision Unit #12: Comprehensive Opioid Abuse Program</b>				
Treatment	\$ -	\$ 0.30	\$ (14.51)	\$ (14.21)
<b>Total, Comprehensive Opioid Abuse Program</b>	<u>\$ -</u>	<u>\$ 0.30</u>	<u>\$ (14.51)</u>	<u>\$ (14.21)</u>



**U.S. Department of Justice  
Office of Justice Programs  
Detailed Accounting Submission  
Table of Reprogrammings and Transfers – Continued  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

<b>Decision Unit #13: Tribal Courts Program <sup>4/</sup></b>				
Treatment	\$ -	\$ 2.21	\$ -	\$ 2.21
<b>Total, Tribal Courts Program</b>	<b>\$ -</b>	<b>\$ 2.21</b>	<b>\$ -</b>	<b>\$ 2.21</b>
<b>Decision Unit #14: Indian Alcohol and Substance Abuse Program <sup>4/</sup></b>				
Prevention	\$ -	\$ 3.40	\$ -	\$ 3.40
<b>Total, Indian Alcohol and Substance Abuse Program</b>	<b>\$ -</b>	<b>\$ 3.40</b>	<b>\$ -</b>	<b>\$ 3.40</b>
<b>Decision Unit #15: Enforcing Underage Drinking Laws Program</b>				
Prevention	\$ -	\$ 0.32	\$ -	\$ 0.32
<b>Total, Enforcing Underage Drinking Laws Program</b>	<b>\$ -</b>	<b>\$ 0.32</b>	<b>\$ -</b>	<b>\$ 0.32</b>
<b>Decision Unit #16: Forensic Support for Opioid and Synthetic Drug Investigations</b>				
State and Local Assistance	\$ -	\$ 1.01	\$ (2.77)	\$ (1.76)
<b>Total, Forensic Support</b>	<b>\$ -</b>	<b>\$ 1.01</b>	<b>\$ (2.77)</b>	<b>\$ (1.76)</b>
<b>Decision Unit #17: Opioid-Affected Youth Initiative</b>				
Prevention	\$ -	\$ -	\$ (0.83)	\$ (0.83)
<b>Total, Opioid-Affected Youth Initiative</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (0.83)</b>	<b>\$ (0.83)</b>
<b>Decision Unit #18: Mentoring for Youth Affected by the Opioid Crisis</b>				
Prevention	\$ -	\$ -	\$ -	\$ -
<b>Total, Mentoring for Youth Affected by the Opioid Crisis</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Total</b>	<b>\$ -</b>	<b>\$ 68.93</b>	<b>\$ (97.77)</b>	<b>\$ (28.84)</b>

**Notes:**

1/ There were no reprogrammings related to the programs displayed in this table in FY 2019.

2/ Transfers-in reflect FY 2019 recoveries for all programs, a Congressionally-directed \$34.51 million transfer from COPS to fund the Regional Information Sharing System program, \$225,000 from COPS and \$300,000 from OVW (totaling \$525,000) to support training and technical assistance under OJP's Tribal Courts program.

3/ Amounts reported for Transfers-out in FY 2019 include all funding assessed from these programs to support the 2.5% Research, Evaluation, and Statistics set aside and OJP Management and Administration.

4/ In FY 2019, Congress provided funding for OJP's tribal programs on the Tribal Assistance and Tribal Youth Program line items, rather than under the 7% discretionary tribal justice assistance set aside that was requested in the FY 2019 President's Budget. Therefore, OJP is reporting funding for programs supported by part of the funding provided by the Tribal Assistance line item under the Tribal Courts and Indian Alcohol and Substance Abuse programs. Funding for the Tribal Youth Program is appropriated to OJP as a carveout under the Delinquency Prevention Program.

Office of Justice Programs  
Performance Summary Report



U.S. Department of Justice

Office of Justice Programs

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Washington, D.C. 20531

**Performance Summary Report  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Office of Justice Programs (OJP) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the OJP system of performance reporting provides reasonable assurance that:

1. OJP uses the Grants Management System and Performance Management tool to capture performance information accurately and these systems were properly applied to generate the performance data.
2. Explanations offered for failing to meet a performance target and for any recommendations concerning plans and schedules for meeting future targets or for revising or eliminating performance targets is reasonable.
3. The methodology described to establish performance targets for the current year is reasonable given past performance and available resources.
4. OJP has established at least one acceptable performance measure for each budget decision unit, as agreed to by ONDCP, for which a significant amount of obligations (\$1 million or 50 percent of the agency drug budget, whichever is less) were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.

  
\_\_\_\_\_  
Leigh Benda, Chief Financial Officer

01/22/2020  
\_\_\_\_\_  
Date

**U.S. Department of Justice  
Office of Justice Programs  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measures:**

The Office of Justice Programs (OJP), established by the Justice Assistance Act of 1984, supports a variety of criminal justice programs. Within OJP's overall program structure, specific resources dedicated to support the National Drug Control Strategy in fiscal year (FY 2019) were found in the:

- Drug Court Program (which includes Veterans Treatment Courts);
- Edward Byrne Memorial Justice Assistance Grant (JAG) program;
- Harold Rogers' Prescription Drug Monitoring Program (PDMP);
- Regional Information Sharing System (RISS) Program;
- Residential Substance Abuse Treatment (RSAT) Program;
- Second Chance Act (SCA) Program.
- Comprehensive Opioid Abuse Program (COAP);
- Tribal Victim Services Set Aside Program (formally CTAS) Purpose Areas Three and Nine;
- Mentoring for Youth Affected by the Opioid Crisis;
- Opioid-Affected Youth Initiative;
- Justice and Mental Health Collaboration Program (JMHCP); and
- Forensic Support for Opioid Synthetics Drug Investigations.

As required by the Office of National Drug Control Policy (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, OJP is reporting on the following performance measures for this Performance Summary Report:<sup>1, 2</sup>

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<sup>1</sup> OJP's January 25, 2018 agreement with ONDCP specified that the FY 2019 attestation would include new or existing measures with FY 2020 targets for: Drug Court, JAG, PDMP, RISS, RSAT, SCA, Comprehensive Opioid Abuse Program, , , Justice and Mental Health Collaboration, Tribal Victim Services Set Aside Purpose Areas 3 and 9 (previously known as CTAS), Mentoring for Youth Affected by the Opioid Crisis, Opioid-Affected Youth Initiative, , and Forensic Support for Opioid and Synthetics Drug Investigation. Since the Innovations in Community Based Crime Reduction Program (previously called the Byrne Criminal Justice Innovation Program) and Project Hope Opportunity with Enforcement Program currently do not have a drug related focus, OJP will not report on them unless their focus changes.

<sup>2</sup> In accordance with this same agreement, OJP is not required to report performance measures for the following legacy programs/decision units: Enforcing Underage Drinking Laws program, Tribal Courts program, Indian Alcohol and Substance Abuse program, and Tribal Youth program.

- 1) FY 2019 sunset measures. OJP will report actuals on these measures and then sunset them. Starting in FY 2020, these measures will be replaced with new measures (see #2 below), which better represent the current programs.
  - Number of PDMP interstate solicited and unsolicited reports produced
  - Percent increase in RISS inquiries
  - Number of participants in the RSAT program
  - Number of participants in the SCA-funded programs
- 2) New FY 2020 measures. These measures are either for (1) new programs just added to the attestation, or (2) programs whose measures are sunsetted and need to be updated to reflect current objectives.
  - Percent of high-risk individuals receiving services and referrals who do not experience a subsequent overdose in six months (COAP)
  - Overall graduation rate of healing-to-wellness court/drug court participants (CTAS) Purpose Area Three and Nine
  - Percent of participants who were tested that did not test positive for the presence of alcohol or illicit substances during the reporting period (JMHCP)
  - Percent of grantees with a registered prescriber rate above 65% in their state PDMPs
  - Percent of conflicts identified from RISS
  - Percent of jail and prison based program participants that successfully completed the RSAT program
  - Percent of participant exits from the “Second Chance Act (SCA): Improving Reentry for Adults with Substance Use Disorders” program that are successful completions
  - Percent of youth who exhibited a reduction in substance use behavior (Mentoring for Youth Affected by the Opioid Crisis; Opioid-Affected Youth Initiative)
- 3) FY 2020 continued measures. OJP will continue to report on these measures because they are still relevant measures for the programs they represent.
  - Overall graduation rate of drug court participants<sup>3</sup>
  - Overall Graduation Rate of JAG-Funded Drug Court Program Participants<sup>4</sup>

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<sup>3</sup> Although appropriated as separate line items, OJP combines the Drug Courts and Veterans Treatment Courts Program funding together under one solicitation. Grantees may choose in their applications to serve veterans. As of September 30, 2019, Veterans Treatment Court participants accounted for approximately 17% of all individuals enrolled in treatment court programs funded by OJP.

<sup>4</sup> Please note: BJA changed the name of this measure in FY 2019, but it measures the same data as previously reported under completion rate for individuals participating in Drug-related JAG programs.

## **Performance Measure 1: Overall Graduation Rate of Drug Court Participants**

### **Decision Unit: Drug Court Program and Veteran's Treatment Courts**

**Table 1: Overall Graduation Rate of Drug Court Participants (BJA)**

<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
56%	48%	52%	55%	55%	55%

The Bureau of Justice Assistance (BJA) administers the Office of Justice Program's (OJP's) adult Drug Court program. The Drug Court program was established in 1995 to provide financial and technical assistance to states, state courts, local courts, units of local government, and federally recognized tribal governments in order to establish new or enhance fully operational drug treatment courts. Drug courts employ an integrated mix of treatment, drug testing, recovery support services, judicial and community supervision, and incentives and sanctions to break the cycle of substance abuse and crime. There are over 3,100 drug courts and problem-solving courts operating throughout all 50 states and U.S. territories.<sup>5</sup>

Based on the success of the drug court model, a number of problem-solving courts are also meeting the critical needs of various populations. These problem-solving courts include Family Dependency Treatment, Driving While Intoxicated/Driving Under the Influence, Reentry, Tribal Healing-to-Wellness, Co-Occurring Disorders, and Veterans Treatment among others.

OJP has a long history of providing resources to break the cycle of drugs and violence by reducing the demand, use, and trafficking of illegal drugs. According to the National Victimization Survey, the number of violent crime victims age 12 and older was 3.3 million in 2018, an increase in 0.6 million from 2015.<sup>6</sup> About 29 percent of victims believed the offender was under the influence of drugs or alcohol when the offense occurred.<sup>7</sup> Further, 58 percent of state prisoners and 53 percent of sentenced jail inmates met the criteria for drug dependence based on the criteria specified in the *Diagnostic and Statistical Manual of Mental Disorders (DSM-IV)* according to a study of inmates in 2007-2009.<sup>8</sup>

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<sup>5</sup> *Drug Courts*. U.S. Department of Justice, Office of Justice Programs. May 2018. NCJ 238527. <https://www.ncjrs.gov/pdffiles1/nij/238527.pdf>.

<sup>6</sup> Morgan, R.E & Ouwerkerk B. A. 2019. *Criminal Victimization, 2018*. U.S Department of Justice, Office of Justice Programs, Bureau of Justice Statistics. <https://www.bjs.gov/index.cfm?ty=pbdetail&iid=6686>

<sup>7</sup> United States Department of Justice. Office of Justice Programs. Bureau of Justice Statistics. National Crime Victimization Survey, Concatenated File, 1992-2014. Ann Arbor, MI: Inter-university Consortium for Political and Social Research [distributor], 2016-03-01. <https://doi.org/10.3886/ICPSR36143.v1>

<sup>8</sup> Bronson, Jennifer, et. al. 2017. Drug Use, Dependence, and Abuse Among State Prisoners and Jail Inmates, 2007- 2009. U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics. NCJ250546. <https://www.bjs.gov/content/pub/pdf/dudasppi0709.pdf>

BJA funds *Enhancement* grants to established drug courts to enhance their operations, and *Implementation* grants for new drug courts, including Veterans Treatment Courts.

BJA's key performance metric for Drug Courts is the overall graduation rate of program participants. For drug courts, the graduation ceremony marks the completion of the program for offenders, signifying that they have met the requirement of the program, including drug treatment, and that the participants refrained from continued drug use. The graduation rate of program participants is calculated by dividing the number of graduates during the reporting period (numerator) by the total number of participants exiting the program, whether successfully or unsuccessfully, during the reporting period (denominator).

The target for FY 2019 was 55 percent, which was achieved. Thus, the FY 2020 target is set at 55%.

#### ***Data Validation and Verification***

BJA implemented the Performance Management Tool (PMT) on January 1, 2009, to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to OJP's Grants Management System (GMS), and reviewed by BJA program managers. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by program managers, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.

#### **Performance Measure 2: Overall Graduation/Completion Rate of JAG-Funded Drug Court Program Participants<sup>2</sup>**

**Decision Unit: Edward Byrne Memorial Justice Assistance Grant Program**

**Table 2: Overall Graduation/Completion Rate of JAG-Funded Drug Court Programs**

<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
62%	63%	47%	59%	46%	59%

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<sup>9</sup> JAG funding is not exclusively used towards drug prevention. Approximately 22% percent of JAG funding is linked to a drug nexus and this measure best captures that connection.

The Edward Byrne Memorial Justice Assistance Grant Program (JAG) program, administered by BJA, is the leading source of Federal justice funding to state and local jurisdictions. The JAG program focuses on criminal justice related needs of states, tribes, and local governments by providing these entities with critical funding necessary to support a range of program areas, including law enforcement; prosecution and courts; crime prevention and education; corrections and community corrections; drug treatment and enforcement; program planning, evaluation, and technology improvement; crime victim and witness initiatives; and mental health program and related law enforcement and corrections programs.

The activities conducted under each program area are broad and include such activities as hiring and maintaining staff, overtime for staff, training, and purchasing equipment and/or supplies. More specifically, the drug treatment and enforcement program activities include treatment (inpatient or outpatient) as well as clinical assessment, detoxification, counseling, and aftercare.

The overall graduation rate of JAG-funded drug court program participants measure captures the percentage of total participants who are able to complete all drug treatment program requirements. This measure supports the mission of the National Drug Control Strategy because these programs provide care and treatment for those who are addicted.

The FY 2019 actual graduation rate provided by 22 grantees is 46 percent. The success rate is below the target because one-third of the total participants in drug-related JAG programs are from one jurisdiction with an 11% success rate. If that outlier is removed from the calculation, the success rate for the remaining JAG programs is 62%, which exceeds the target for 2019.

### ***Data Validation and Verification***

BJA implemented the PMT to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to GMS. Program managers review the reports. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and through desk and on-site monitoring of grantee performance.

The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by research associates, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.



**Performance Measure 3: Number of PDMP Interstate Solicited and Unsolicited Reports Produced<sup>10</sup>**

**Decision Unit: Harold Rogers Prescription Drug Monitoring Program**

**Table 3: Total number of interstate solicited reports produced**

<b>CY 2016 Actual</b>	<b>CY 2017 Actual</b>	<b>CY 2018 Target</b>	<b>CY 2018 Actual</b>	<b>CY 2019 Target</b>	<b>CY 2019 Actual</b>
63,840,510	132,430,898	8,600,000	130,086,361	8,600,000	Available March 2020

**Table 4: Total number of interstate unsolicited reports produced**

<b>CY 2016 Actual</b>	<b>CY 2017 Actual</b>	<b>CY 2018 Target</b>	<b>CY 2018 Actual</b>	<b>CY 2019 Target</b>	<b>CY 2019 Actual</b>
3,033,593	903,010	16,208	2,037,807	1,000,000	Available March 2020

The Harold Rogers Prescription Drug Monitoring Program (PDMP), administered by BJA, enhances the capacity of state PDMPs to collect controlled substance prescription data through a centralized database so that doctors can make more informed prescribing decisions and regulatory and law enforcement agencies may proactively investigate suspect subscriber practices and “doctor shopping” activity. The objectives of the PDMP are to build a data collection and analysis system at the state level; enhance existing programs’ ability to analyze and use collected data; facilitate the exchange of collected prescription data among states; and assess the efficiency and effectiveness of the programs funded under this initiative. Funds may be used for planning activities, system improvements, or PDMP data analysis and data sharing projects.

In 2020, BJA will implement a new performance indicator: the percentage of state PDMPs with a registered prescriber’s rate above 65 percent. State PDMPs are working toward increasing the utilization of the system by prescribers and end users for things such as solicited and unsolicited reports (i.e., reports that may indicate suspicions or questionable prescribing practices). As the prescriber registration rates increase, PDMP’s utility across all users also increases which ultimately may improve prescribing practices.

BJA exceeded the CY 2018 target in terms of the number of solicited reports queried from PDMPs partially due to a couple factors. First, there is broadening awareness on the part of prescribers and pharmacists about the need to check to their states PDMP before prescribing opioids. Secondly, many states have passed laws in the last few years requiring prescribers to query the PDMP before dispensing specific drugs. For example, in 2012,

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<sup>10</sup> Per the January 25, 2018 agreement with ONDCP, these measures will be replaced with a new measure for CY 2020. The new measure is Percent of Grantees with a registered prescriber rate above 65% in their PDMPs. The CY 2020 target for this measure is TBD.

only 12 PDMPs (27 percent) mandated PDMP usage; by 2018, 42 PDMPs (79 percent) mandated use of the PDMP for prescribers. About half of the reports came from a few states including Ohio, Pennsylvania, Illinois, Washington, Arizona, and Michigan, many in states with documented opioid issues.

In terms of unsolicited reports, exceeding the target is partially attributed to state law changes. The number of PDMPs with statutory authority to provide unsolicited reports doubled from 24 in 2010 to 48 in 2018 (91 percent; or nearly all of the operating PDMPs). For both solicited and unsolicited reports, it should be noted that these targets are difficult to predict due to a great deal of variance in the data. As such, this measure is being phased out, in place of a measure that better reflects the growing utility of PDMPs in FY 2020.

### ***Data Validation and Verification***

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The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by program managers, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.

### **Performance Measure 4: Percent Increase in Regional Information Sharing Systems (RISS) Inquiries for the RISS Program<sup>11</sup>**

#### **Decision Unit: Regional Information Sharing Systems**

**Table 5: Percent increase in RISS inquiries**

<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>
-8%	-6%	-1%	3%	11%

The Regional Information Sharing Systems (RISS) Program, administered by BJA, provides secure information and intelligence sharing capabilities and investigative support services that directly affect law enforcement's ability to successfully resolve criminal investigations and prosecute offenders, while providing the critical officer safety event deconfliction necessary to keep our law enforcement community safe.

<sup>11</sup> Per the January 25, 2018 agreement with ONDCP, this measure will be replaced with a new measure in FY 2020. The new measure is Percent of Conflicts Identified. The FY 2020 target for this measure is 10 percent.

RISS consists of six regional centers and the RISS Technology Support Center (RTSC). RISS supports an all-crimes approach; not all inquiries to RISS resources are related to narcotics investigations; however, RISS's resources and services support narcotics investigations based on requests for services and inquiries from the field. Numerous narcotics investigators benefit from the RISS Criminal Intelligence Database (RISSIntel), investigative resources, the RISS Officer Safety Event Deconfliction System (RISSafe), and analytical and research services. RISS has strong relationships with the National Narcotics Officers' Associations' Coalition (NNOAC), Bureau of Alcohol, Tobacco, Firearms and Explosives' (ATF), and the High Intensity Drug Trafficking Areas (HIDTA). RISS continues to partner with the HDTAs and the Drug Enforcement Administration in the areas of event and target deconfliction.

The goal for the number of RISS inquiries in FY2019 was 5,185,151. The actual number of inquiries for the year were 5,768,542, which exceeded the target by 11 percent.

In FY 2020, this measure is being phased out and replaced by a new measure related to RISSafe. RISSafe is an officer safety event deconfliction system that identifies possible conflicts between agencies and officers. Authorized users enter law enforcement events into the RISSafe system, and notification of conflicts is immediately provided to the affected parties. In May 2015, RISSafe was integrated with the two High Intensity Drug Trafficking Area (HIDTA) event deconfliction systems: Case Explorer and SAFETNet. Since its inception, more than 2,000,000 operations have been entered into RISSafe, resulting in more than 483,000 identified conflicts. Without the identification of these conflicts, officers may have interfered with another agency's or officer's investigation, links between cases may have been lost, or officers or citizens may have been unintentionally hurt or killed.

BJA will report on the increases in the number of RISSafe events submitted, which is an indicator of increased usage by agencies and officers. The deconfliction partners are diligently working to educate agencies and officers of the importance of deconfliction ultimately to increase usage. Deconfliction maximizes and safeguards resources, improves communications and collaboration among the law enforcement community, and helps to save lives and solve cases.

The target for FY 2020 is 10 percent. There was a slight increase in RISSafe conflicts in FY2019 (28,029) from 25,610 in FY2018. With continued efforts by the event deconfliction partners to advance and increase usage of the event deconfliction systems, additional submissions resulted in additional conflicts. This indicates improved communications among agencies and officers, increased awareness of deconfliction tools, and refined usage of RISSafe's capabilities (i.e., decreased radius to pinpoint fewer but focused results).

### ***Data Validation and Verification***

Data for the RISS Program are not reported in the PMT. The six RISS Centers and the RISS Technology Support Center (RTSC) report their performance information via the RISS Quarterly Database housed at the Institute for Intergovernmental Research (IIR), the technical assistance provider grantee for the RISS Program. IIR reviews and aggregates the data to develop a RISS-wide quarterly report as well as generating RISS Center reports (as part of IIR's reporting requirement for its grant requirements). The RISS Centers submit their individual reports to BJA through GMS. At the end of the fiscal year, performance data for RISS is provided in quarterly reports and a FY-end report via IIR for the RISS program.

Program managers obtain data from these reports, telephone contact, and grantee meetings as a method to monitor IIR, the six RISS Centers, and the RTSC for grantee performance. Data are validated and verified through a review of grantee support documentation obtained by program managers.

### **Performance Measure 5: Number of participants in the RSAT for State Prisoners Program<sup>12</sup>**

#### **Decision Unit: Residential Substance Abuse Treatment Program**

**Table 6: Number of Participants in the RSAT Program**

<b>CY 2016 Actual</b>	<b>CY 2017 Actual</b>	<b>CY 2018 Target</b>	<b>CY 2018 Actual</b>	<b>CY 2019 Target</b>	<b>CY 2019 Actual</b>
24,029	19,628	25,000	22,684	22,000	Available March 2020

The Residential Substance Abuse Treatment (RSAT) for State Prisoners Program, administered by BJA and created by the Violent Crime Control and Law Enforcement Act of 1994 (Public Law 103- 322), assists state and local governments in developing and implementing residential substance abuse treatment programs (individual and group treatment activities) in correctional and detention facilities. The RSAT program must be provided in residential treatment facilities, set apart from the general correctional population, focused on the substance abuse problems of the inmate, and develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.

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<sup>12</sup> Per the January 25, 2018 agreement with ONDCP, this measure will be replaced with a new measure for CY 2020. The new measure is Percent of Jail and Prison Based Program Participants that Successfully Complete the RSAT Program. The CY 2020 target for this measure is TBD.

The RSAT program formula grant funds may be used for three types of programs; jail-based programs, residential (e.g., prison-based) programs, or aftercare/programs services. For all programs, at least 10 percent of the total state allocation is made available to local correctional and detention facilities, provided such facilities exist, for either residential substance abuse treatment programs or jail-based substance abuse treatment programs as defined below.

The three types of programs are: 1) residential substance abuse treatment programs provide individual and group treatment activities for offenders in facilities that are operated by state correctional agencies; 2) jail-based substance abuse programs provide individual and group treatment activities for offenders in jails and local facilities; and 3) an aftercare component that requires states to give preference to providers who will offer aftercare services to program participants. Aftercare services must involve coordination between the correctional treatment program and other human service and rehabilitation programs, such as education and job training, parole supervision, halfway houses, self-help, and peer group programs that may aid in rehabilitation.

The target for CY 2018 was 25,000 participants; however, the actual number of participants in CY 2018 was 22,684, so the goal was not met by 2,316 participants (9%). The missed target is due to reduced funding from 2016 and 2017, so State Administering Agencies awarded fewer and/or lower amounts of subawards. (Note that awards are made in the fiscal year of the appropriation and can be expended during the following 3 years for a total of 4 years.) As in previous years, the reduction in funding has resulted in smaller caseloads. This number is also impacted by states ability to provide matching funds. Note that this effect should phase out since FY 2018 and FY 2019 appropriations are significantly higher than previous years. So BJA anticipates larger subawards will result in increasing the number of participants in RSAT programs.

Note: This measure is being phased out and replaced by a new measure that is less dependent upon appropriations. Rather, the new measure will reflect how the programs successfully operate.

In FY 2020, BJA will report on a metric that is less sensitive to year-to-year funding fluctuations. A larger portion of RSAT grant funding is used for jail-based and residential programs. Thus, BJA will report on the percentage of jail- and prison-based program participants that successfully complete the RSAT program. A requirement of the RSAT program is for participants to participate at least 3-months (jail programs) to 6-months (residential programs). Consequently, this is a measure of program retention and fidelity to substance use treatment models while ensure a minimum level of dosage/retention, which when combined with certain evidence-based practices show improved outcomes among participants.<sup>13</sup>

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<sup>13</sup> Advocates for Human Potential. (2017) *Promising Practices Guidelines for Residential Substance Abuse Treatment*. Advocates for Human Potential. Sudbury, MA. BJA-funded.

### ***Data Validation and Verification***

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### **Performance Measure 6: Number of Participants in SCA-funded Programs<sup>14</sup>**

#### **Decision Unit: Second Chance Act Program**

**Table 7: Number of participants in SCA-funded programs**

<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>
6,222	5,352	5,042	4,356	2,538

The Second Chance Act of 2007 (Public Law 110-199) reformed the Omnibus Crime Control and Safe Streets Act of 1968. Subsequently, the First Step Act of 2018 included the reauthorization of the Second Chance Act (SCA) of 2007. The SCA is an investment in programs proven to reduce recidivism and the financial burden of corrections on state and local governments, while increasing public safety. The bill authorizes grants to units of state, local, or tribal government, and non-profit community organizations to provide employment and housing assistance, substance use treatment, and other services that help people returning from prison and jail to safely and successfully reintegrate into the community. The legislation provides support to eligible applicants for the development and implementation of comprehensive and collaborative strategies that address the challenges posed by reentry to increase public safety and reduce recidivism.

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<sup>14</sup> Per the January 25, 2018 agreement with ONDCP, this measure will be replaced with a new measure in FY 2020. The new measure is Percent of participant exits from the SCA Improving Reentry for Adults with Substance Use Disorders program that are successful completions. The FY 2020 target for this measure is 60 percent.

While BJA funds several separate SCA grant programs, for the purposes of both the sun-setting and the new performance measures, data from only the Improving Reentry for Adults with Substance Use Disorders Program<sup>15</sup> grant program (previously known as the SCA Co-Occurring Program) has been reported since FY 2017. This SCA grant program provides funding to units of state, local, or tribal government, and non-profit community organizations to implement or expand treatment in both pre- and post-release programs for individuals with substance use disorders.

The total number of participants in the Improving Reentry for Adults with Substance Use Disorders Program (previously known as the SCA Co-Occurring program) is a measure of the grant program's goal of helping those previously incarcerated successfully reenter the community following criminal justice system involvement, by addressing their substance use and related challenges. The total number of participants measure demonstrates how many of those reentering the community have participated in substance use-focused reentry services.<sup>16</sup>

The FY 2019 actual values fell 42% below the target. This program has shifted focus away from primarily using resources toward providing programming to re-entering individuals and toward building up institutional capacity and organization-wide processes (for instance, screening and potential assessments of all inmates within a correctional facility for substance use and mental health issue, improving organization-wide corrections and supervision practices, etc.). The cohort of grantees that actively worked with reentering participants enrolled in FY 2019 was smaller in number than in previous years. A large portion of grantees were in early stages focused on planning rather than implementation of programs. A few key grantees with larger participant pools in previous fiscal years completed using grant funding around the end of the previous fiscal year.

In FY 2020, a new measure will replace the sun-setting *total number of participants* measure. The new measure is: percent of participants successfully completed the co-occurring program. This is a process measure, which generally indicatives the grantee's ability to implement programs providing substance use and mental health services for participants. While there may be baseline factors or other factors potentially out of the control of the grantee that affect the percentage of program exits that are successful (e.g. relocations and case transfers, deaths and serious illnesses, etc.), the measure is an initial indicator for how well grantees engage participants and ensure completion of program requirements.

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<sup>15</sup> This Improving Reentry for Adults with Substance Use Disorders program was previously known as the Second Chance Act Improving Reentry for Adults with Co-Occurring Substance Abuse and Mental Illness (or SCA Co-Occurring) in FY 2019).

<sup>16</sup> Please note: Because participants sometimes receive services in more than one reporting period, it is possible that some participants will have been counted more than once in the total number of participants who received services.

### ***Data Validation and Verification***

BJA implemented the Performance Management Tool (PMT) on January 1, 2009, to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to OJP's Grants Management System (GMS), and reviewed by BJA program managers. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

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## **New programs that OJP will report measures for in the FY 2020 ONDCP Drug Attestation (per January 25, 2018 agreement with ONDCP)**

### **Performance Measure 1: The Percent of High-Risk Individuals Receiving Services and Referrals through COAP who do not Experience a Subsequent Overdose in Six Months**

FY 2020 Target: 90%

#### **Decision Unit: Comprehensive Opioid Abuse Program**

The goal of the Comprehensive Opioid Abuse Program (COAP) is to reduce the misuse of opioids and the number of overdose fatalities. The COAP program started in FY 2017 to combat the number of overdose deaths from opioids. According to the Centers for Disease Control and Prevention (CDC), approximately 91 Americans die every day from an opioid related overdose,<sup>17</sup> which led the President of the United States to declare the epidemic a public health crisis.<sup>18</sup>

The key performance metric for the COAP program is the percent of individuals receiving services and referrals through COAP who do not experience a subsequent overdose in six months. The proposed measure is directly related to the goal of COAP, which is to help reduce opioid abuse and subsequent overdose events. Individuals who have experienced at least one overdose event (i.e., high-risk users) are more likely to experience subsequent overdoses, often fatal. By targeting high risk users (as well as other users), the COAP program may be more effective at reaching those most at risk.

In the first fiscal year, the percentage was about 2 percent of program participants that experience a subsequent overdose. In the second full year, it was 4 percent. As grantees mature and establish mechanisms to track and collect this data, it is expected that the percentage of individuals that experienced a subsequent overdose event (fatal or nonfatal) within the first 6-months of program contact will increase and then likely stabilize in subsequent years to about 10 percent. Thus, the target for those individuals that do not experience a subsequent overdose event is set at 90%.

#### ***Data Validation and Verification***

BJA implemented the Performance Management Tool (PMT) on January 1, 2009, to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to OJP's Grants Management System (GMS), and reviewed by BJA program managers. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

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<sup>17</sup> Center for Disease Control. "Understanding the Epidemic." Access online at: <https://www.cdc.gov/drugoverdose/epidemic/index.html>

<sup>18</sup> <https://www.whitehouse.gov/the-press-office/2017/10/26/president-donald-j-trump-taking-action-drug-addiction-and-opioid-crisis>

The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by program managers, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.

### **Performance Measure 2: Overall Graduation Rate of Healing-to Wellness Court/Drug Court Participants**

FY 2020 Targets: 43%

#### **Decision Units: Tribal Victim Services Set Aside Program Purpose Area Three (BJA) and Purpose Area Nine (OJJDP)**

The Coordinated Tribal Assistance Solicitation (CTAS) has nine separate Purpose Areas. The overall goal of these purpose areas are to establish adult and juvenile healing-to-wellness court/drug courts. Purpose Area number three has an overall goal to provide funding to tribes to develop, support, and enhance adult tribal justice courts and prevent crime, including crime related to opioid, alcohol, and other substance abuse.

Purpose area number nine supports OJJDP's Tribal Youth Program (TYP), which seeks to support and enhance tribal efforts to prevent and reduce juvenile delinquency and strengthen a fair and beneficial juvenile justice system response for American Indian and Alaska Native youth. A major goal of this purpose area is to create initiatives that will enhance public safety, ensure that youth are held appropriately accountable to both victims and communities, and empower youth to live productive, law-abiding lives.

The graduation rates from both adult and juvenile tribal healing to wellness and drug court programs provides a means to determine the extent to which tribes develop, implement, and enhance substance abuse and crime prevention, interventions, and alternatives to incarceration to address crime related to the opioid epidemic. Additionally, the measure provides a way to illustrate how tribes enhance the tools and resources to respond to crime and public safety.

The FY 2020 target for BJA-funded Tribal Healing-to-Wellness Courts is set at 43% for FY 2020, which is estimated by taking the three-year average from FY 2017-2019. The target graduation rate is lower than most targets for traditional drug courts. This is appropriate given the unique needs of Tribal communities and the disparity in treatment resources when compared to non-Tribal drug courts.

#### ***Data Validation and Verification***

BJA and OJJDP implemented the Performance Management Tool (PMT) on January 1, 2009, to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to OJP's Grants Management System (GMS), and reviewed by BJA and OJJDP program managers. Program

managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by program managers, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.

### **Performance Measure 3: Percent of Program Youth Who Exhibited a Reduction in Substance Use Behavior**

FY 2020 Targets: TBD<sup>19</sup>

#### **Decision Units: 1) Mentoring for Youth Affected by the Opioid Crisis/and 2) Opioid-Affected Youth Initiative (OJJDP)**

Established in 2018 as a component of OJJDP's larger Youth Mentoring program, the Mentoring for Youth Affected by the Opioid Crisis program focuses specifically on providing mentoring services to youth impacted by the opioid crisis. The purpose of OJJDP's Youth Mentoring program is to reduce juvenile delinquency, gang involvement, academic failure, victimization, and school dropout rates through one-on-one, group, and peer mentoring.

A goal of the program is to improve outcomes (such as improved academic performance and reduced school dropout rates) for youth at-risk or involved with the juvenile justice or tribal justice systems, and reduce negative outcomes (including delinquency, substance use, and gang participation) through mentoring. The program also looks to support innovative research and evaluation-based efforts that respond to gaps and needs of the mentoring field and examine strategies to improve and increase mentor recruitment.

Awards are made through the comprehensive Mentoring Opportunities for Youth program solicitation which includes two opioid-focused categories: (a) Mentoring Strategies for Youth Impacted by Opioids/Project Sites, which makes awards to local and regional organizations including nonprofit and for-profit organizations, and tribal nonprofit and for-profit organizations, and (b) Statewide and Regional Mentoring Initiative for Youth Impacted by Opioids which makes awards to national organizations, states and territories, and federally recognized tribal governments. Since first established, OJJDP has made a total of 26 awards under the Mentoring for Opioid Impacted Youth program.

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<sup>19</sup> Both of these programs were newly established in FY 2018, and as a result, OJJDP has not had adequate time to collect and analyze data in order to develop accurate targets. OJP expects to report actuals for FY 2020, as well as targets for FY 2021.

Established in FY 2018, the purpose of the Opioid Affected Youth program is to assist states, local units of government, and federally recognized tribal governments develop a data-driven, coordinated response to opioid abuse-related challenges that impact youth and community safety. The program support efforts that will address public safety concerns, intervention, prevention, and diversion services for children, youth, and families directly impacted by opioid abuse.

Funded sites work in partnership with representatives from law enforcement, education, probation and community supervision, juvenile court, mental health service providers, medical physicians/examiners, prosecutors, community-based organizations that address substance abuse, child welfare agencies, child protective services, first responders, and other community health agencies. Over the past 2 years, a total of 13 sites have received funding, as well as a Training and Technical Assistance provider.

Goals of the program are to (1) Support comprehensive cross-system planning and collaboration among officials who work in law enforcement, pretrial services, the courts, probation and parole, child welfare, and reentry. Other stakeholders include emergency medical services and health care providers, public health partners, and agencies that provide substance abuse treatment and recovery support services; (2) Expand law enforcement and court diversion programs to intervene with youth and family opioid abuse.; (3) Develop and enhance public safety, behavioral health, and public health information-sharing that leverage key public health and safety data sets. Develop interventions based on this information.; and (4) Implement wraparound services that facilitate meaningful coordination between the justice system and family support agencies, especially child welfare, to safeguard the wellbeing of affected children and families and address public safety concerns by improving coordination of services such as training, intervention, prevention, and diversion programs for affected populations.

### ***Data Validation and Verification***

OJJDP implemented the Performance Management Tool (PMT) on January 1, 2009, to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to OJP's Grants Management System (GMS), and reviewed by OJJDP program managers. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by program managers, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.

**Performance Measures 4&5: Overall Graduation Rate of Juvenile Drug Court Participants and Overall Graduation Rate of Family Drug Court Participants (OJJDP)**

FY 2020 Target: 50% (Juvenile Drug Courts)

FY 2020 Target: 41% (Family Drug Courts)

**Decision Units: Juvenile Drug and Family Treatment Courts**

The Office of Juvenile Justice Delinquency and Prevention (OJJDP) funds the juvenile drug treatment courts (JDTC). The courts are designed for youth with substance use disorders who come into contact with the juvenile justice system. Guidelines provide juvenile courts with an evidence-based, treatment-oriented approach that emphasizes family engagement, and addresses the substance use and often co-occurring mental health disorders experienced by the youth.

In addition to JDTC, OJJDP funds family drug courts (FDCs), which handle cases of child abuse and neglect that involve substance use by the child's parents or guardians. FDCs address parental substance use disorders and parenting issues within the court and child welfare systems, using a collaborative, family-centered approach. FDCs operate as alternatives to traditional family courts or dependency courts and work to balance the rights and needs of both parents and children

OJJDP's performance metric for Drug Courts is the overall graduation rate for program participants. This measure will be calculated by dividing the number of graduates during the reporting period (numerator) by the total number of participants exiting the program, whether successfully or unsuccessfully, during the reporting period (denominator).

***Data Validation and Verification***

OJJDP implemented the Performance Management Tool (PMT) on January 1, 2009, to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to OJP's Grants Management System (GMS), and reviewed by OJJDP program managers. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by program managers, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.

**Performance Measure 6: Percent of Participants Who Were Tested That Did Not Test Positive for the Presence of Alcohol or Illicit Substance during the Reporting Period**

FY 2020 Target: 76%

**Decision Unit: Justice and Mental Health Collaboration Program (JMHCP/BJA)**

The Bureau of Justice Assistance (BJA)'s Justice and Mental Health Collaboration Program (JMHCP) aims to increase public safety by aiding collaboration between the criminal justice system and its behavioral health care service partners. The program seeks to improve responses to and outcomes for people with mental illnesses (MI) or co-occurring mental illness and substance abuse (CMISA) who come in contact with the justice system. JMHCP promotes officer and public safety through coordination of system resources for those accessing multiple services, including hospitals, jails, and mental health crisis services.

A key means to measuring the success of CMISA programs that focus on those who come in contact with the justice system is whether program participants test positive for the presence of alcohol or illicit substances. The goal of JMHCP is to provide funding to criminal justice agencies to partner with mental health agencies, provide specialized training to officers, strengthen connections with health care service providers, and promote universal screening and assessment for mental illness and substance abuse. This measurement is a critical component to assess the performance of grantees funded by the JMHCP.

The FY 2020 target is set at 76%, which is established by looking at the 3-year average (FY 2017-FY 2019). This estimate is appropriate for this population as they are typically served in a community setting and are typically a high risk/high need population.

***Data Validation and Verification***

BJA implemented the Performance Management Tool (PMT) on January 1, 2009, to support grantees' ability to identify, collect, and report performance measurement data online for activities funded under their award. Grantees report data in the PMT and create a report, which is uploaded to OJP's Grants Management System (GMS), and reviewed by BJA program managers. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

The PMT has real-time data accuracy checks for out-of-range and inconsistent values. Data are validated and verified through a review by program managers, which include an additional level of validation conducted by analysts who review the data quarterly using statistical testing methods.

**Performance Measure 7: Percent of all (formula and competitive) Coverdell awards utilizing “drug funds”\* for some portion of their award activities.**

FY 2020 Target: TBD

**Decision Unit: Forensic Support for Opioid and Synthetics Drug Investigations (Paul Coverdell Forensic Science Improvements Grant Program)**

OJP made more than \$13 million available to support forensic activities related to opioids under the Paul Coverdell Forensic Science Improvement Grant Program. The National Institute of Justice (NIJ) expects Coverdell grant funds to be used, in part, by medical examiners/coroners and forensic laboratories to address the dramatic increase in deaths and the backlogs of seized drugs as a result of the opioid crisis. Laboratories are overwhelmed with drug seizures and requests for toxicological analysis in opioid-related crimes and deaths, which in turn puts pressure on other laboratory sections. In addition, medical examiners and coroners are required to conduct unprecedented levels of autopsies and expend resources in opioid deaths.

Performance measures for this program are currently in the development stage. Once measures are developed, NIJ will report on the measures in future reporting cycles.

***Data Validation and Verification***

Grantees report data into the OJP’s Grants Management System (GMS), and reviewed by NIJ program managers. Program managers obtain data from reports submitted by grantees (including the performance measures), telephone contact, and on-site monitoring of grantee performance.

OFFICES OF THE  
UNITED STATES ATTORNEYS





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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Acting Director  
Executive Office for U.S. Attorneys  
U.S. Department of Justice

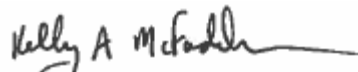
We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's Executive Office for United States Attorneys (EOUSA) for the fiscal year ended September 30, 2019. The EOUSA's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding*

*and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of EOUSA management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in dark ink, appearing to read "Kelly A. McFadden", with a long horizontal flourish extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

Offices of the United States Attorneys  
Detailed Accounting Submission



**U.S. Department of Justice**

Executive Office for United States Attorneys

Resource Management and Planning Staff

Suite 6.500, 3CON Building  
175 N Street, NE  
Washington, DC 20530

(202) 252-5600  
FAX (202) 252-5601

**Detailed Accounting Submission  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the United States Attorneys management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the United States Attorneys' system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. The drug methodology used by the United States Attorneys to calculate obligations of budgetary resources by function and budget decision is reasonable and accurate in all material respects.
2. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
3. The data presented are associated with obligations against a financial plan that did not require revision for reprogrammings or transfers during FY 2019.
4. The United States Attorneys did not have any ONDCP Fund Control Notices issued in FY 2019.

Jonathan Pelletier  
Chief Financial Officer

Date

**U.S. Department of Justice  
United States Attorneys  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

**FY 2019  
Actual Obligations**

**Drug Obligations by Budget Decision Unit and Function:**

**Decision Unit: Criminal**

Prosecution	\$ 107.898
<b>Total Criminal Decision Unit</b>	<b>\$ 107.898</b>

<b>Total Drug Control Obligations</b>	<b>\$ 107.898</b>
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High-Intensity Drug Trafficking Area (HIDTA) Obligations	\$ 0.619
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**U.S. Department of Justice  
United States Attorneys  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

Disclosure 1: Drug Methodology

The United States Attorneys work in conjunction with law enforcement to disrupt domestic and international drug trafficking and narcotics production through comprehensive investigations and prosecutions of criminal organizations. A core mission of each of the United States Attorneys' Offices (USAOs) is to prosecute violations of Federal drug trafficking, controlled substance, money laundering, and related Federal laws in order to deter continued illicit drug distribution and use in the United States. This mission includes utilizing the grand jury process to investigate and uncover criminal conduct and subsequently presenting the evidence in court as part of prosecution of individuals and organizations who violate Federal law. USAOs also work to dismantle criminal drug organizations through asset forfeiture, thereby depriving drug traffickers of the proceeds of illegal activities.

In addition to this traditional prosecutorial role, efforts to discourage illegal drug use and to prevent recidivism by convicted drug offenders also form important parts of the USAO's drug control mission. Each USAO is encouraged to become involved in reentry programs that may help prevent future crime, including drug crimes. Reentry programs, such as reentry courts, typically include access to drug treatment and support for recovery. Prosecutors and USAO staff also participate in community outreach through initiatives that educate communities about the hazards of drug abuse.

The United States Attorneys community does not receive a specific appropriation for drug-related work in support of the National Drug Control Strategy. The United States Attorneys drug resources are part of, and included within, the United States Attorneys annual Salaries and Expenses (S&E) Appropriation. As a result of not having a specific line item for drug resources within our appropriation, the United States Attorneys have developed a drug budget methodology based on workload data. The number of workyears dedicated to non-OCDETF drug related prosecutions is taken as a percentage of total workload. This percentage is then multiplied against total obligations to derive estimated drug related obligations.

Data – In FY 2019, all financial information for the United States Attorneys was derived from Department of Justice's (DOJ's) Unified Financial Management System (UFMS). Workload information was derived from the United States Attorneys' USA-5 Reporting System.

Financial Systems –UFMS is DOJ's financial system. Obligations in this system can also be reconciled with the enacted appropriation.

## Disclosure 2: Methodology Modifications

No modifications were made to the drug methodology from prior years.

## Disclosure 3: Material Weaknesses or Other Findings

The United States Attorneys community is a component within the DOJ Offices, Boards and Divisions (OBDs). For FY 2019, the OBDs were included in the DOJ consolidated audit and did not receive a separate financial statement audit. The fiscal year 2019 audit resulted in an unmodified opinion on the financial statements.

However, the FY 2019 *Independent Auditors' Report* noted one material weakness related to inadequate financial statement compilation and review controls. KPMG noted that the emphasis placed on the Department's financial statement compilation and review processes had not achieved the level of rigor that is necessary to prepare timely and accurate financial statements in accordance with generally accepted accounting principles, and OMB Circular No. A-136, *Financial Reporting Requirements*.

USAOs did not contribute directly to the material weakness identified above and this audit's findings did not impair USAOs ability to report complete and accurate obligation data in the FY 2019 Table of Drug Control Obligations.

## Disclosure 4: Reprogrammings or Transfers

There were no drug related reprogrammings or transfers that affected drug-related budgetary resources in FY 2019.

Offices of the United States Attorneys  
Performance Summary Report





**U.S. Department of Justice**

Executive Office for United States Attorneys

Resource Management and Planning Staff

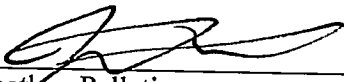
Suite 6.500, 3CON Building  
175 N Street, NE  
Washington, DC 20530

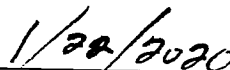
(202) 252-1000  
FAX (202) 252-1000

**Performance Summary Report  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the United States Attorneys management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the United States Attorneys system of performance reporting provides reasonable assurance that:

1. The United States Attorneys use the United States Attorneys' CaseView (formerly, the Legal Information Online Network System), an electronic national case management system, to capture performance information accurately and was properly applied to generate the performance data.
2. The United States Attorneys do not set drug related targets, but report out actual statistics on two drug related performance measures.
3. The methodology described to report performance measures for the current year is reasonable given past performance and available resources.
4. The United States Attorneys have established at least one acceptable performance measure for each decision unit, as agreed to by ONDCP, for which a significant amount of obligations (\$1 million or 50 percent of the agency drug budget, whichever is less) were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.

  
Jonathan Pelletier  
Chief, Financial Officer

  
Date

**U.S. Department of Justice  
United States Attorneys  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measures: Conviction Rate for Drug Related Offenses & Percentage of Defendants Sentenced to Prison**

The United States Attorneys' Offices (USAOs) investigate and prosecute the vast majority of criminal cases brought by the federal government to include drug related topics. USAOs receive most of their criminal referrals, or "matters," from federal investigative agencies, including the Federal Bureau of Investigation (FBI), the Drug Enforcement Administration (DEA), the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), the United States Immigration and Customs Enforcement (ICE), the United States Secret Service, and the United States Postal Inspection Service. The Executive Office for the United States Attorneys (EOUSA) supported the 2018 National Drug Control Strategy through reducing the threat, trafficking, use, and related violence of illegal drugs. The FY 2019 performance of the drug control mission of the United States Attorneys within the Department of Justice is based on agency Government Performance and Results Act documents and other agency information.

The USAOs do not set conviction rate targets. The USAOs report actual conviction rates to EOUSA through a case management system, known as United States Attorneys CaseView system (formerly the Legal Information Online Network System). EOUSA categorizes narcotics cases prosecuted by the USAOs into two different types -- Organized Crime Drug Enforcement Task Force (OCDETF) cases and non-OCDETF narcotics cases. In light of the attestation by the OCDETF Executive Office, EOUSA provides a summary report for only non-OCDETF narcotic cases in FY 2019:

U.S. Attorneys							
Selected Measures of Performance		FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target*	FY 2019 Actual	FY 2020 Target*
»	Conviction Rate for drug related defendants	93%	93%	93%	NA	93%	NA
»	Percentage of defendants sentenced to prison	88%	88%	90%	NA	89%	NA

\* The USAOs do not set conviction rate targets. Therefore the targets for FY 2020 are not available. Actual conviction rate for FY 2020 will be presented in the FY 2020 submission.

### ***Data Validation and Verification***

The Department of Justice views data reliability and validity as critically important in the planning and assessment of its performance. EOUSA makes every effort to constantly improve the completeness and reliability of its performance information by performing “data scrubs” (routine examination of current and historical data sets, as well as looking toward the future for trends) to ensure the data we rely on to make day-to-day management decisions are as accurate and reliable as possible and targets are ambitious enough given the resources provided.

The Director, EOUSA, with the concurrence of the Attorney General's Advisory Committee, issued a Continuous Case Management Data Quality Improvement Plan on May 1, 1996. This program enhances the accuracy and reliability of data in CaseView, which is used for a wide variety of internal management awareness and accountability, and provides guidance for all personnel involved in the process (docket personnel, system managers, line attorneys and their secretaries, and supervisory attorney personnel), in order to meet current information gathering needs.

Established in 1995, the Data Analysis Staff is the primary source of statistical information and analysis for EOUSA. Beginning in FY 1997, each district was to establish a Quality Improvement Plan. Beginning in June 1996, each United States Attorney must personally certify the accuracy of their data as of April 1 and October 1 of each year.

ORGANIZED CRIME DRUG ENFORCEMENT  
TASK FORCES PROGRAM



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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Director  
Executive Office for the Organized Crime  
Drug Enforcement Task Forces  
U.S. Department of Justice

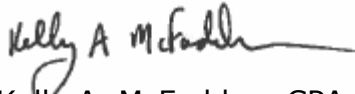
We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's Organized Crime Drug Enforcement Task Forces (OCDETF) for the fiscal year ended September 30, 2019. The OCDETF's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them

to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of OCDETF management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in dark ink, appearing to read "Kelly A. McFadden", with a long horizontal flourish extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

Organized Crime Drug Enforcement  
Task Forces Program  
Detailed Accounting Submission



**U.S. Department of Justice**

**Executive Office for Organized Crime Drug  
Enforcement Task Forces**

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**Detailed Accounting Submission  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Organized Crime Drug Enforcement Task Forces (OCDETF) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the OCDETF system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. Obligations reported by budget decision unit are the actual obligations from OCDETF's accounting system of record for these budget decision units.
2. The drug methodology used by OCDETF to calculate obligations of budgetary resources by function is reasonable and accurate in all material respects.
3. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
4. The data presented are associated with obligations against a financial plan that did not require revision for reprogrammings or transfers during FY 2019.
5. OCDETF did not have any ONDCP Fund Control Notices issued in FY 2019.

Simshindo Msola, Budget Officer

JAN 22 2020



**U.S. Department of Justice  
Organized Crime Drug Enforcement Task Forces (OCDETF) Program  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019**

**Dollars in Millions**

		<b>FY 2019 Actual Obligations</b>	<b>FY 2019 OCDETF Executive Office*</b>	<b>FY 2019 Carryover</b>	<b>Total FY 2019 Actual Obligations</b>
<b>Drug Obligations by Decision Unit and Function</b>					
<b>Investigations:</b>	<b>Fund</b>				
Drug Enforcement Administration (DEA)	\$	188 01	\$ 4 39	\$ 0 00	\$ 192 40
Federal Bureau of Investigation (FBI)		134 65	3 14	0 00	137 79
U S Marshals Service (USMS)		8 72	0 20		8 92
Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)		11 42	0 27	0 00	11 69
OCDETF Fusion Center (OFC)		22 31	0 52	0 00	22 84
International Organized Crime Intelligence and Operations Center (IOC-2)		4 58	0 11	0 00	4 69
<b>TOTAL INVESTIGATIVE DECISION UNIT</b>	<b>\$</b>	<b>369.69</b>	<b>\$ 8.63</b>	<b>\$ 0.00</b>	<b>\$ 378.33</b>
<b>Prosecutions:</b>					
U S Attorneys (USAs)	\$	158 52	\$ 2 47	\$ 0 00	\$ 160 99
Criminal Division (CRM)		2 18	0 03	0 00	2 21
EXO Threat Response Unit (TRU)		0 21	0 00	0 00	0 22
<b>TOTAL PROSECUTORIAL DECISION UNIT</b>	<b>\$</b>	<b>160.91</b>	<b>\$ 2.51</b>	<b>\$ 0.00</b>	<b>\$ 163.41</b>
<b>Total Drug Control Obligations</b>	<b>\$</b>	<b>530 60</b>	<b>\$ 11 14</b>	<b>\$ 0 00</b>	<b>\$ 541 74</b>

(\*Includes funding for the following agencies" HSI \$0.45, DOL, \$0.05; USCG, \$0.95; USSS, \$0.32; IRS, \$0.34; Strike Force, \$0.77 all split among investigations)

**U.S. Department of Justice  
Organized Crime Drug Enforcement Task Forces Program  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

Disclosure 1: Drug Methodology

The Organized Crime Drug Enforcement Task Forces (OCDETF) Program is comprised of member agencies from three different Departments: the Department of Justice (DOJ), the Department of Treasury (Treasury), and the Department of Homeland Security (DHS). Beginning in FY 1998 and continuing through FY 2003, OCDETF member agencies were funded through separate appropriations. (Prior to the creation of DHS, which involved the transfer of the U.S. Coast Guard to DHS from the Department of Transportation, OCDETF was funded in DOJ, Treasury and Transportation appropriations.)

During FY 2004 and FY 2005, the DOJ's Interagency Crime and Drug Enforcement (ICDE) appropriation included funding to reimburse agencies in the DOJ, Treasury and DHS for their participation in the OCDETF Program. The availability of a consolidated budget has been critical to the OCDETF Program's ability both to ensure the proper and strategic use of OCDETF resources and to effectively monitor Program performance across all Departments and participating agencies. However, Congress repeatedly expressed concern with funding non-DOJ agencies via a DOJ appropriations account, and in FY 2005, Congress decreased base funding for non-DOJ program participants.

Recognizing that uncertainty surrounding funding levels for non-DOJ participants posed great difficulties for OCDETF in terms of program planning and administration, the Administration has not submitted a consolidated budget for the program since FY 2007. Instead, funding for the OCDETF Program's non-DOJ partners was requested through direct appropriations for Treasury and DHS. Currently, only DOJ OCDETF appropriated funding comes from the ICDE account.

The OCDETF Program is directly charged with carrying out the DOJ drug supply reduction strategy, and all of its activities are aimed at achieving a measurable reduction in the availability of drugs in this country. The disruption and dismantlement of drug trafficking networks operating regionally, nationally, and internationally is a critical component of the supply reduction effort. In particular, the OCDETF Program requires that in *each* OCDETF case, investigators identify and target the financial infrastructure that permits the drug organization to operate.

The Table of Drug Control Obligations was prepared in accordance with the Office of National Drug Control Policy (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018. The Table represents obligations from the ICDE account incurred by OCDETF for drug control purposes. All amounts are net of reimbursable agreements.

Data - All accounting information for the OCDETF Program is derived from the DOJ United Financial Management System (UFMS). ICDE resources are reported as 100 percent drug-related because the entire focus of the OCDETF Program is drug control.

Financial Systems - UFMS is the financial system used to provide all ICDE obligation data. Obligations that are derived by this system reconcile with the enacted appropriations and carryover balances.

The Administration's request for the OCDETF Program reflects a restructuring that collapses the OCDETF Program's four areas - Investigations, Drug Intelligence, Prosecution, and Administrative Support- into two decision units- Investigations and Prosecutions. Under this methodology, the Administrative Support of the OCDETF Executive Office is pro-rated among decision units based on the percentage of appropriated ICDE Program funding. Additionally, Drug Intelligence Costs is reported as part of the Investigations Decision Unit.

The OCDETF Program's Decision Units are divided according to the two major activities of the Task Force – Investigations and Prosecutions – and reflect the amount of reimbursable ICDE resources appropriated for each participating agency. With respect to the Table of Drug Control Obligations, the calculated amounts were derived from the UFMS system as follows:

- a. Investigations Function - This decision unit includes the reimbursable resources that support investigative activities of the following participating agencies: the Drug Enforcement Administration; Federal Bureau of Investigation; the Bureau of Alcohol, Tobacco, Firearms and Explosives; the U.S. Marshals Service; the OCDETF Fusion Center; and the International Organized Crime Intelligence and Operations Center. The methodology applies 100 percent of the resources that support the OCDETF Program's investigative activities.
- b. Prosecution Function - This decision unit includes the reimbursable prosecution resources for the following participating DOJ agencies: the U.S. Attorneys; the Criminal Division; and the OCDETF Executive Office Threat Response Unit. The methodology applies 100 percent of the OCDETF Program's Prosecution resources to the Prosecution Decision Unit.

#### Disclosure 2: Methodology Modifications

The overall methodology to calculate drug control obligations has not been modified from previous years.

#### Disclosure 3: Material Weaknesses or Other Findings

The OCDETF Program is a component within the DOJ Offices, Boards and Divisions (OBDs). For FY 2019, the OBDs were included in the DOJ consolidated audit and did not receive a separate financial statements audit. The DOJ's consolidated FY 2019 *Independent Auditors' Report* revealed no material weaknesses or significant deficiencies directed at OCDETF. Additionally, the Department's assessment of risk and internal control in FY 2019 conducted in accordance with OMB Circular A-123 did not identify any findings which may materially affect the presentation of prior year drug-related obligations data.

#### Disclosure 4: Reprogrammings or Transfers

There were no reprogrammings or transfers in FY 2019.

Organized Crime Drug Enforcement  
Task Forces Program  
Performance Summary Report



U.S. Department of Justice

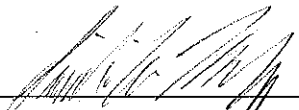
Executive Office for Organized Crime Drug  
Enforcement Task Forces

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**Performance Summary Report  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the Organized Crime Drug Enforcement Task Forces (OCDETF) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the OCDETF system of performance reporting provides reasonable assurance that:

1. OCDETF has a system to capture performance information accurately and that system was properly applied to generate the performance data.
2. OCDETF met the reported performance targets for FY 2019.
3. The methodology described to establish performance targets for the current year is reasonable given past performance and available resources.
4. OCDETF has established at least one acceptable performance measure for each budget decision unit, as agreed to by ONDCP, for which a significant amount of obligations (\$1 million or 50 percent of the agency drug budget, whichever is less) were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.

  
\_\_\_\_\_  
Simshindo Msola, Budget Officer

JAN 22 2020  
\_\_\_\_\_  
Date

**U.S. Department of Justice  
Organized Crime Drug Enforcement Task Forces  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measure 1: Consolidated Priority Organization Target (CPOT)–Linked Drug Trafficking Organizations Disrupted and Dismantled**

The disruption and dismantlement of a drug organization is a very complex operation that begins with investigative and intelligence activities by federal agents and culminates in federal prosecution of the parties involved. Therefore, the Office of National Drug Control Policy (ONDCP) agreed to the OCDETF Program reporting only one measure for both of the OCDETF Decision Units (Investigations and Prosecutions) as the efforts of both are needed to achieve the results tracked by the measure.

The goal of the OCDETF Program is to identify, investigate, and prosecute the most significant drug trafficking and money laundering organizations and their related enterprises, and to disrupt and dismantle the operations of those organizations in order to reduce the illicit drug supply in the United States. By dismantling and disrupting trafficking organizations that are CPOT-linked, OCDETF is focusing enforcement efforts against organizations that include heads of narcotic and/or money laundering organizations, poly-drug traffickers, clandestine manufacturers and producers, and major drug transporters, all of whom are believed to be primarily responsible for the domestic illicit drug supply. Additionally, the financial investigations conducted by OCDETF are focused on eliminating the entire infrastructure of CPOT-linked organizations and permanently removing the profits enjoyed by these most significant drug traffickers. Reducing the nation's illicit drug supply and permanently destroying the infrastructure of significant drug trafficking organizations are critical pieces of the Attorney General's Drug Strategy as well as the National Drug Control Strategy. By reporting on the number of CPOT-linked organizations being disrupted or dismantled, OCDETF clearly indicates the number of significant drug organizations that have been impacted by law enforcement efforts.

**Table:**

	<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Actual</b>	<b>FY 2019 Target</b>	<b>FY 2019 Actual</b>	<b>FY 2020 Target</b>
<b>Dismantlements</b>	115	*	75**	***	***	***
<b>Disruptions</b>	153	*	142	***	***	***
<b>Total</b>	268	*	217	192	245	213

\* Due to changes in DEA's reporting protocols and systems, the entire number for the Performance Measure is not available in FY 2017.

\*\*The breakdown by agency is DEA with 56 and FBI with 20; there is an overlap of one case which reduces OCDETF's total

\*\*\*The Department now lists targets as a single, combined total of dismantlements and disruptions

Despite a policy change, which impacted performance targets, OCDETF achieved impressive results during FY 2019 in dismantling and disrupting CPOT-linked drug trafficking organizations. OCDETF dismantled and disrupted 245 CPOT-linked organizations in FY 2019, which was 28% above the target amount. The annual targets for the OCDETF Program's performance measures are determined by examining current year and prior year actuals. In addition to the historical factors, resources (including funding and personnel) are also taken into account when formulating a respective target.

The FY 2020 OCDETF Dismantlements and Disruptions (D&D) target is based on the percentage of FY 2019 OCDETF D&Ds to FY 2019 Department D&Ds, and the Department's FY 2020 target. In FY 2019, OCDETF D&Ds accounted for 75% of the Department's disruptions and dismantlements. The Department's targets for FY 2020 is 285 disruptions and dismantlements. Therefore, the OCDETF D&D target for FY 2020 is 213 disruptions and dismantlements.

### ***Data Validation and Verification***

The CPOT List is updated semi-annually. Each OCDETF agency has an opportunity to nominate targets for addition to/deletion from the List. Nominations are considered by the CPOT Working Group (made up of mid-level managers from the participating agencies). Based upon the Working Group's recommendations, the OCDETF Operations Chiefs decide which organizations will be added to/deleted from the CPOT List. Once a CPOT is added to the List, OCDETF investigations can be linked to that organization. The links are reviewed and confirmed by OCDETF field managers using the OCDETF Fusion Center, agency databases, and intelligence information. Field recommendations are reviewed by the OCDETF Executive Office. In instances where a link is not fully substantiated, the sponsoring agency is given the opportunity to follow-up. Ultimately, the OCDETF Executive Office "un-links" any investigation for which sufficient justification has not been provided. When evaluating disruptions/dismantlements of CPOT-linked organizations, OCDETF verifies reported information with the investigating agency's headquarters.

UNITED STATES MARSHALS SERVICE





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Washington, D.C. 20530

Office of the Inspector General's Independent Report  
on the Accounting of Drug Control Funds  
and Related Performance

Director  
United States Marshals Service  
U.S. Department of Justice

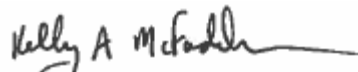
We have reviewed the accompanying Office of National Drug Control Policy (ONDCP) Detailed Accounting Submission, which includes Management's Assertion Statement, Table of Drug Control Obligations, and the related disclosures; and the Performance Summary Report, which includes Management's Assertion Statement and the related performance information of the U.S. Department of Justice's United States Marshals Service (USMS) for the fiscal year ended September 30, 2019. The USMS's management is responsible for the Detailed Accounting Submission and the Performance Summary Report to comply with the requirements of the ONDCP Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP. Our responsibility is to express a conclusion on the Detailed Accounting Submission and the Performance Summary Report based on our review.

Our review was conducted in accordance with attestation standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require us to plan and perform the review to obtain limited assurance about whether any material modifications should be made to the Detailed Accounting Submission and the Performance Summary Report in order for them to be in accordance with the criteria. A review is substantially less in scope than an examination, the objective of which is to obtain reasonable assurance about whether the Detailed Accounting Submission and the Performance Summary Report are in accordance with the criteria, in all material respects, in order to express an opinion. Accordingly, we do not express such an opinion. We believe that our review provides a reasonable basis for our conclusion.

Based on our review, we are not aware of any material modifications that should be made to either the Detailed Accounting Submission or the Performance Summary Report for the fiscal year ended September 30, 2019, in order for them to be in accordance with the ONDCP's Circular, *Accounting of Drug Control Funding*

*and Performance Summary*, dated May 8, 2018, and as otherwise agreed to with the ONDCP.

This report is intended solely for the information and use of USMS management, the ONDCP, and the U.S. Congress, and is not intended to be, and should not be, used by anyone other than these specified parties.

A handwritten signature in dark ink, appearing to read "Kelly A. McFadden", with a long horizontal flourish extending to the right.

Kelly A. McFadden, CPA  
Director, Financial Statement Audit Office  
Office of the Inspector General  
U.S. Department of Justice  
Washington, D.C.

January 22, 2020

United States Marshals Service  
Detailed Accounting Submission



U.S. Department of Justice

United States Marshals Service

*Financial Services Division*

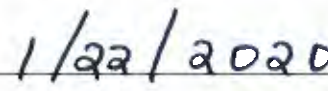
*Washington, D.C. 20530-1000*

**Detailed Accounting Submission  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the United States Marshals Service (USMS) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the USMS system of accounting, use of estimates, and systems of internal controls provide reasonable assurance that:

1. The drug methodology used by the USMS to calculate obligations of budgetary resources by function and budget decision unit is reasonable and accurate in all material respects.
2. The drug methodology disclosed in this statement was the actual drug methodology used to generate the Table of Drug Control Obligations.
3. The data presented are associated with obligations against a financial plan that did not require revision for reprogrammings or transfers during FY 2019.
4. The USMS did not have any ONDCP Fund Control Notices issued in FY 2019.

  
Holley O'Brien  
Chief Financial Officer

  
Date

**U.S. Department of Justice  
United States Marshals Service  
Detailed Accounting Submission  
Table of Drug Control Obligations  
For Fiscal Year Ended September 30, 2019  
(Dollars in Millions)**

**FY 2019  
Actual Obligations**

**Drug Obligations by Budget Decision Unit and Function:**

**Decision Unit #1: Fugitive Apprehension**

International	\$ 1.49
Investigations	\$ <u>147.82</u>

<b>Total Fugitive Apprehension</b>	<b>\$ <u><u>149.31</u></u></b>
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**Decision Unit #2: Judicial & Courthouse Security**

Prosecution	\$ <u>75.68</u>
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<b>Total Judicial &amp; Courthouse Security</b>	<b>\$ <u><u>75.68</u></u></b>
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**Decision Unit #3: Prisoner Security & Transportation**

Prosecution	\$ <u>39.76</u>
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<b>Total Prisoner Security &amp; Transportation</b>	<b>\$ <u><u>39.76</u></u></b>
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**Decision Unit #4: Detention Services**

Corrections	\$ <u>585.34</u>
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<b>Total Detention Services</b>	<b>\$ <u><u>585.34</u></u></b>
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<b>Total Drug Control Obligations</b>	<b>\$ <u><u>850.09</u></u></b>
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High-Intensity Drug Trafficking Area (HIDTA) Obligations	\$ 1.00
Organized Crime Drug Enforcement Task Force (OCDETF)	\$ 8.87

**U.S. Department of Justice  
United States Marshals Service  
Detailed Accounting Submission  
Related Disclosures  
For Fiscal Year Ended September 30, 2019**

**Disclosure 1: Drug Methodology**

The USMS does not receive a specific appropriation for drug-related work in support of the National Drug Control Strategy. Therefore, the USMS uses drug-related workload data to develop drug control ratios for some decision units, and the average daily population (ADP) for drug offenses to determine the drug prisoner population cost for the Detention Services decision unit.

Three decision units, Fugitive Apprehension, Judicial & Courthouse Security, and Prisoner Security & Transportation, are calculated using drug-related workload ratios applied to the Salaries & Expenses (S&E) appropriation. For the Fugitive Apprehension decision unit, the USMS uses drug-related workload ratios based on the number of all warrants cleared, including felony offense classifications for Federal, state, and local warrants such as narcotics possession, manufacturing, and distribution. To calculate the drug-related workload percentage for this decision unit, the USMS divides the number of drug-related warrants cleared by the total number of warrants cleared. For the Judicial & Courthouse Security, and Prisoner Security & Transportation decision units, the USMS uses drug-related workload ratios based only on in custody, drug-related, primary Federal offenses, such as various narcotics possession, manufacturing, and distribution charges. Primary offense refers to the crime with which the accused is charged that usually carries the most severe sentence. To calculate the drug-related workload percentages for these two decision units, the USMS divides the number of drug-related offenses in custody by the total number of offenses in custody. The USMS derives its drug related obligations for these three decision units starting with the USMS S&E appropriation actual obligations at fiscal year-end as reported in the Standard Form-133, *Report on Budget Execution and Budgetary Resources*. The previously discussed drug workload ratios by decision unit are then applied to the total S&E annual appropriation to derive the drug-related obligations.

Detention services obligations are funded through the Federal Prisoner Detention (FPD) Appropriation. The USMS is responsible for Federal detention services relating to the housing and care of Federal detainees remanded to USMS custody, including detainees booked for drug offenses. The FPD appropriation funds the housing, transportation, medical care, and medical guard services for the detainees. FPD resources are expended from the time a prisoner is brought into USMS custody through termination of the criminal proceeding and/or commitment to the Bureau of Prisons. The FPD appropriation does not include specific resources dedicated to the housing and care of the drug prisoner population. Therefore, for the Detention Services decision unit, the methodology used to determine the cost associated with the drug prisoner population is to multiply the ADP for drug offenses by the per diem rate (housing cost per day), which is then multiplied by the number of days in the year.

**Data** – All accounting information for the USMS, to include S&E and FPD appropriations, is derived from the USMS Unified Financial Management System

(UFMS). The population counts and the daily rates paid for each detention facility housing USMS prisoners are maintained by the USMS in the Justice Detainee Information System (JDIS). The data describe the actual price charged by state, local, and private detention facility operators and is updated on an as needed, case-by-case basis when rate changes are implemented. In conjunction with daily reports of prisoners housed, a report is compiled describing the price paid for non-federal detention space on a weekly and monthly basis. Data are reported on both district and national levels. The daily population counts and corresponding per diem rate data capture actuals for the detention population count and for the expenditures to house the population.

Financial Systems – UFMS is the financial system that provides USMS with obligation data. Obligations in this system can also be reconciled with the enacted appropriation.

#### Disclosure 2: Methodology Modifications

The USMS drug budget methodology applied is consistent with the prior year and there were no modifications.

#### Disclosure 3: Material Weaknesses or Other Findings

The USMS is a component within the DOJ Offices. For FY 2019, the USMS was included in the DOJ consolidated financial statements audit and did not receive a separate financial statements audit. The DOJ's consolidated FY 2019 Independent Auditors' Report on the Financial Statements and the Report on Internal Control over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing Standards* revealed no material weaknesses, significant deficiencies or other findings for the USMS. Additionally, the Department's review of the USMS internal controls as well as program activity for FY 2019 conducted in accordance with OMB Circular A-123 did not identify any findings that adversely affected the functioning of existing controls, or the integrity of the data contained in published financial reports.

#### Disclosure 4: Reprogrammings or Transfers

There were no reprogramming or transfers that directly affected drug-related budgetary resources.

#### Disclosure 5: Other Disclosures

None.

United States Marshals Service  
Performance Summary Report





U.S. Department of Justice

United States Marshals Service

*Financial Services Division*

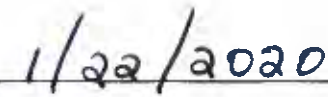
*Washington, D.C. 20530-1000*

**Performance Summary Report  
Management's Assertion Statement  
For Fiscal Year Ended September 30, 2019**

On the basis of the United States Marshals Service (USMS) management control program, and in accordance with the guidance of the Office of National Drug Control Policy's (ONDCP) Circular, *Accounting of Drug Control Funding and Performance Summary*, dated May 8, 2018, we assert that the USMS system of performance reporting provides reasonable assurance that:

1. The USMS uses the Justice Detainee Information System (JDIS) to capture performance information accurately and this system was properly applied to generate the performance data.
2. Explanations offered for failing to meet a performance target and for any recommendations concerning plans and schedules for meeting future targets or for revising or eliminating performance targets is reasonable.
3. The methodology described to establish performance targets for the current year is reasonable given past performance and available resources.
4. The USMS has established at least one acceptable performance measure for each budget decision unit, as agreed to by ONDCP, for which a significant amount of obligations (\$1 million or 50 percent of the agency drug budget, whichever is less) were incurred in the previous fiscal year. Each performance measure considers the intended purpose of the National Drug Control Program activity.

  
Holley O'Brien  
Chief Financial Officer

  
Date

**U.S. Department of Justice  
United States Marshals Service  
Performance Summary Report  
Related Performance Information  
For Fiscal Year Ended September 30, 2019**

**Performance Measure 1: Percent of Warrants Cleared for Drug-Related Charges**

One primary function of the USMS is to execute court orders and apprehend fugitives. The Fugitive Apprehension decision unit undertakes these activities; the portions of which that are respondent to drug-related warrants support the National Drug Control Strategy. Through the development of programs such as the Major Case Fugitive Program, Regional Fugitive Task Forces, and International Fugitive Investigations, the USMS partners with state and local law enforcement and other law enforcement organizations to apprehend wanted individuals. Within the USMS organization, Deputy U.S. Marshals in the 94 federal judicial districts perform the majority of the apprehension work, while receiving support from headquarters divisions and partner organizations. Warrants cleared include felony offense classifications for federal, and state and local warrants. The cleared percentage is calculated by dividing Drug-Related Warrants Cleared by the number of Total Warrants Cleared.

<b>Fiscal Year</b>	<b>% Drug-Related Warrants Cleared</b>	<b>Total Warrants Cleared</b>	<b>Drug-Related Warrants Cleared</b>
2016 Actual	32.0%	121,612	38,938
2017 Actual	28.9%	112,760	32,589
2018 Actual	28.9%	112,077	32,337
2019 Actual	28.0%	115,734	32,390
2020 Estimate	29.5%		

For FY 2020, the USMS estimates 29.5% of Total Warrants Cleared will be drug-related. Since the USMS does not control the warrant workload it receives in any given year, this estimate is calculated as an average of the past four years. It should not be viewed as a target or measure of the effectiveness of resource allocation or effort.

***Data Validation and Verification***

This data is queried from the Justice Detainee Information System (JDIS). System administrators perform a variety of checks and updates to ensure that accurate information is contained. The information on offenses and warrants is live, so information queried for year-end reporting is a snapshot-in-time. Due to continuous user activity in JDIS, the statistics in this report cannot be exactly replicated. The data in JDIS is dynamic, and the statistics are only current as of the date and time the report was compiled.<sup>1</sup>

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<sup>1</sup> JDIS data reports were generated October, 2019.

## **Performance Measure 2: Percent of Offenses in Custody for Drug-Related Charges**

Another primary function of the USMS is to secure courthouses and detain prisoners during the judicial process. This is accomplished through the Judicial & Courthouse Security decision unit, and the portion of these activities respondent to drug-related offenders supports the National Drug Control Strategy. The Prisoner Security & Transportation decision unit carries out the detention-related work, the portion of which that relates to drug-related offenses supports the National Drug Control Strategy. Deputy U.S. Marshals throughout the 94 federal judicial districts perform the majority of the judicial security and detention work, while receiving support from headquarters divisions and coordinating with the Federal Bureau of Prisons for custody transfers. The Drug-Related Offenses in Custody percentage is calculated by dividing primary Drug-Related Offenses in Custody by the number of Total Offenses in Custody. This measure focuses on primary offenses.

<b>Fiscal Year</b>	<b>% Drug-Related Offenses in Custody</b>	<b>Total Offenses in Custody</b>	<b>Drug-Related Offenses in Custody</b>
2016 Actual	19.8%	102,491	20,263
2017 Actual	21.4%	91,133	19,509
2018 Actual	16.3%	118,488	19,367
2019 Actual	16.5%	127,546	21,076
2020 Estimate	18.2%		

For FY 2020, the USMS estimates 18.2% of Total Offenses in Custody will be for drug-related charges. Because the USMS does not control the nature of prisoner offenses in any given year, this estimate is calculated as an average of the past four years. It should not be viewed as a target or measure of the effectiveness of resource allocation or effort.

### ***Data Validation and Verification***

This data is queried from JDIS. System administrators perform a variety of checks and updates to ensure that accurate information is contained. The information on offenses and warrants is live, so information queried for year-end reporting is a snapshot-in-time. Due to continuous user activity in JDIS, the statistics in this report cannot be exactly replicated. The data in JDIS is dynamic, and the statistics are only current as of the date and time the report was compiled.<sup>2</sup>

## **Performance Measure 3: Per Day Jail Cost (non-federal facilities)**

The USMS is responsible for the costs associated with the care of federal detainees in its custody. The Federal Prisoner Detention appropriation, and Detention Services decision unit, provide for the care of federal detainees in private, state, and local facilities, which includes housing, subsistence, transportation, medical care, and medical guard service. The USMS does not have performance measures for costs associated exclusively with housing the drug prisoner population. The USMS has no control over the prisoner population count. While the USMS can

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<sup>2</sup> JDIS data reports were generated October, 2019.

report data on the specific number of detainees and corresponding offense, it cannot set a performance measure based on the size and make-up of the detainee population.

The Per Day Jail Cost is an overall performance measure that reflects the average daily costs for the total detainee population housed in non-federal facilities. Non-federal facilities refer to detention space acquired through Intergovernmental Agreements (IGA) with state and local jurisdictions and contracts with private jail facilities. The USMS established the Per Day Jail Cost performance measure to ensure efficient use of detention space and to minimize price increases. The average price paid is weighted by actual jail day usage at individual detention facilities. The FY 2019 per day jail cost was \$85.23, or \$0.79 above the target level. The difference between the 2019 Target and Actual can be attributed to increases in the detention population in areas where high cost IGA facilities are utilized. This unexpected increase in new detainees in these areas caused the average jail day rate to rise above the FY 2019 Target. To regulate the average daily rate, the USMS negotiates rates with private facilities; limits the frequency of IGA adjustments; and utilizes federal bed space where available.

<b>Fiscal Year</b>	<b>\$ Per Day</b>
FY 2016 Actual	\$81.13
FY 2017 Actual	\$83.54
FY 2018 Actual	\$84.51
FY 2019 Target	\$84.44
FY 2019 Actual	\$85.23
FY 2020 Target	\$86.29

The FY 2020 target is based on the projected average price weighted by the projected prisoner population usage at individual detention facilities.

#### ***Data Validation and Verification***

Data reported are validated and verified against monthly reports describing district-level jail utilization and housing costs prepared by the USMS. This data is queried from JDIS. System administrators perform a variety of checks and updates to ensure that accurate information is contained. The information on prisoner population is live, so information queried for year-end reporting is a snapshot-in-time. Due to continuous user activity in JDIS, the statistics in this report cannot be exactly replicated. The data in JDIS is dynamic, and the statistics are only current as of the date and time the report was compiled.<sup>3</sup>

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<sup>3</sup> JDIS data reports were generated in October, 2019.



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