HIDTA Management

Participant Guide v. 4.3



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Acknowledgments

Many people made significant contributions to the initial development of this course. While it is impossible to mention every person who contributed, we would like to acknowledge the core group of subject matter experts who worked countless hours to contribute, develop, and review the course materials to ensure completeness and accuracy. Their efforts provide a model of best business practices for managing a HIDTA region.

February, 2021

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Before You Begin

This guide is written for senior level management within the HIDTA Program. It supplements the training presentation of the HIDTA Management course, but you will also find it useful as a desk reference to refresh your knowledge as you work. While each HIDTA has its own operating methods, this guide serves as a model for the general business practices of all HIDTAs.

No prior knowledge of HIDTA funding is required for this course, but participants should be familiar with general accounting practices such as budgeting, expense tracking, and record maintenance. Many training participants have already worked with HIDTA grants and program policies and practices prior to attending the training class.

How to Use This Guide

The following icons are used in this guide:

- important: Don't miss this important fact.
- Note: Notice an unusual concept that you shouldn't miss.
- **Warning:** Be careful. You could make a mistake here.
- **Best Practice**: Follow this suggestion to save time, increase efficiency, or improve outcomes.
- **Program Policy**: Refer to this section in *HIDTA Program Policy and Budget Guidance*, January 6, 2020, for more information about this topic.

Agenda

	Day 1	Day 2
	Introductions (.5 hr.)	Review of Day 1 (1 hr.)
Morning	Module 1 History of HIDTA (1 hr.)	Module 4 (continued)
	Module 2 Organization and Structure (2 hrs.)	Module 5 Fiscal Management (1.5 hr.)
Afternoon	Module 3 The Executive Board (2 hrs.)	Module 6 Intelligence & Information Sharing (2 hrs.)
After	Module 4 The HIDTA Director	Module 7 Program Reporting (1.5 hrs.)
	(2 hrs. total)	Final Quiz

Course Learning Outcomes

Upon completion of this course, participants will be able to:

- Describe the HIDTA Program including its
 - statutory history
 - organization and structure
 - guiding policy documents
 - participants, funding, and philosophy
- Describe ONDCP and its support of the HIDTA Program
- Describe the HIDTA Executive Board, including
 - its purpose and responsibilities
 - characteristics for effectiveness
 - challenges and best practices
- Write a vision statement and a mission statement for your **HIDTA**
- Describe the HIDTA Director position and its
 - roles and responsibilities
 - critical success factors
 - role in performance management
- Describe the program's fiscal cycle
 - budgeting and spending cycles
 - characteristics of effective fiscal policy
- Describe intelligence and information sharing initiatives
 - policy requirements
 - core functions
 - variety of structure and staffing among HIDTAs
 - security requirements
 - critical success factors

Course Learning Outcomes (continued)

- Describe HIDTA reporting requirements
- Describe performance management at HIDTA
- For each program document, describe its
 - purpose and general contents
 - process to develop
 - relationship to performance management

About This Training Course

This course presents selected topics that managers and directors should know about the management of a HIDTA. The course is useful to directors, deputy directors, and other senior management staff who deal with HIDTA day-to-day operations and management as well as to the executive board members who oversee and govern a local HIDTA.

The course presumes that participants have a basic understanding of HIDTA, including fiscal management, program policy, and philosophy of the program. The course enriches that basic knowledge with more in-depth challenges and management principles unique to HIDTA participants.

The National HIDTA Assistance Center (NHAC) in Miami, Florida, provides additional training courses that supplement and extend the information of this course. NHAC currently offers the following courses:

- Financial Management of HIDTA Funds
- WebPMP Software and PMP Process Guidelines
- Financial Management System (FMS.net), the online budgeting software for HIDTA funds
- HIDTA Management

To learn detailed information, enroll in one or more of the full courses listed above.



Learning Outcomes

At the end of this module, participants will be able to:

- Describe the history of the HIDTA Program in terms of
 - legislative actions,
 - number of HIDTA designated areas, and
 - funding growth.
- Recall 2 or more presidential proposals to transfer the HIDTA Program to other federal agencies or departments.
- List 3 distinctive features of the HIDTA Program.
- Recall 2 or more recent national initiatives that demonstrate HIDTA devising and implementing effective responses to changing drug threats.

Preview

The High Intensity Drug Trafficking Areas (HIDTA) Program is a grant program created by Congress and administered by the Office of National Drug Control Policy (ONDCP).

Purpose

The purpose of the HIDTA Program is to reduce drug trafficking and drug production in the United States by—

- facilitating cooperation among Federal, State, local, and tribal law enforcement agencies to share information and implement coordinated enforcement activities;
- enhancing law enforcement intelligence sharing among Federal, State, local, and tribal law enforcement agencies;
- providing reliable law enforcement intelligence to law enforcement agencies needed to design effective enforcement strategies and operations; and '
- supporting coordinated law enforcement strategies that maximize use of available resources to reduce the supply of illegal drugs in designated areas and in the United States as a whole.

Goals of the program

The goals of the HIDTA Program are to:

- disrupt the market for illegal drugs by dismantling and disrupting drug trafficking and/or money laundering organizations; and
- improve the efficiency and effectiveness of HIDTA initiatives.

Statutory History

Let's look at several Congressional acts significant to the HIDTA Program.

- The Anti-Drug Abuse Act of 1988¹
- The Office of National Drug Control Policy Reauthorization Act of 1998
- The Office of National Drug Control Policy Reauthorization Act of 2006
- **Support for Patients and Communities Act of 2018**

The Anti-Drug Abuse Act of 1988

The 1988 Act created the Office of National Drug Control Policy (ONDCP) and authorized the Director of ONDCP to designated geographic areas of the United States as "high intensity drug trafficking areas" as part of the implementation of the National Drug Control Strategy.

Criteria for designating areas

The 1988 Act stated the Director of ONDCP must consider 4 factors – and others as he or she deems appropriate – when designating an area as a high intensity drug trafficking area.

- 1. The area is a significant center of illegal drug production, manufacturing, importation, or distribution;
- 2. State, local, and tribal law enforcement agencies have committed resources to respond to the drug trafficking problem in the area, thereby indicating a determination to respond aggressively to the problem;
- 3. Drug-related activities in the area are having a significant harmful impact [in the area, and²] in other areas of the country; and
- 4. A significant increase in allocation of Federal resources is necessary to respond adequately to drug-related activities in the area.

¹ Enacted as Public Law 100-690 on Nov. 18, 1988. The relevant part to our discussion is Title I, Coordination of National Drug Policy.

The 1988 Act was the first of several Congressional acts that shaped the HIDTA Program into its present state.

² Bracketed wording was subsequently added by The Office of National Drug Control Policy Reauthorization Act of 2006.

Powers of the Director

The Director of ONDCP is given authority to provide Federal assistance to the areas designated as high intensity drug trafficking areas. The Director may:

- direct the temporary reassignment of Federal personnel to the area, subject to the approval of the Secretary of the department or head of the agency employing the personnel;
- take any other action authorized under section 1003 to provide increased Federal assistance to such areas; and
- coordinate actions within the high intensity drug trafficking areas with State and local officials.

ONDCP designated the first five HIDTAs in 1990. The five areas included -- Los Angeles, Houston, Miami, New York City, and a Southwest Border HIDTA that stretched along the entire length of our border with Mexico. These five regions are often called "gateway HIDTAs" because they were major centers for the entry of illegal drugs into the United States.

The Office of National Drug Control **Policy Reauthorization Act of 1998**

The 1998 Reauthorization Act³ made three important changes to the prior legislation.

- It established HIDTA as a program within ONDCP; it was no longer simply one of the Director's powers.
- It authorized ONDCP to obligate funds for the HIDTA Program.
- It prohibited obligating HIDTA funds to establish or expand drug treatment programs.

⁽i) Important: Notice that HIDTA is a program, not an agency or part of ONDCP. Moreover, because HIDTAs are not legal entities, they cannot directly hire employees or execute contracts. Instead, ONDCP awards HIDTA funds to fiduciaries (e.g. local governments or universities) that carry out the administrative and financial matters functions for the HIDTA.

³ We use this brief title for convenience. It was enacted and included in the Omnibus Consolidated and Emergency Supplemental Appropriations Act for FY 1999. Codified in Public Law 105-277; 21 U.S.C. 1701 et seq.

Note: This act came at the heels of the Administration's failed efforts (2006) to significantly reduce funding and to transfer the HIDTA Program to the U.S. Department of Justice, so provisions in this act were a clear expression of Congressional support for the HIDTA Program.

The Office of National Drug Control **Policy Reauthorization Act of 2006**

The 2006 Reauthorization Act⁴ provided much of the framework for today's HIDTA Program processes such as program documentation, performance evaluation, and more.

The 2006 Act established the first specific funding levels for the HIDTA Program.

Requirements of ONDCP

The Act gave ONDCP specific requirements regarding:

- Petitions for HIDTA designations
 - establish regulations and a process for petitions
 - regularly review such petitions
 - the Director must consider recommendations from a panel of "qualified, independent experts" who review each petition
- Annual budget submission to Congress
 - amount requested for each HIDTA and justification through [threat] assessment, strategy, and objectives
 - report on the use of funds to investigate and prosecute methamphetamine traffickers
 - assessment of program's effect on illicit drug production and use for the previous funding year

Individual HIDTA organizations

The 2006 Reauthorization Act specified the structure and responsibilities of local executive boards and balanced voting rights between federal and state/local/tribal agencies – codifying the existing practices.

⁴ We use this brief title for convenience. It was enacted as Public Law 109-469 on Dec. 29, 2006.

Funding restrictions

The 2006 Reauthorization Act limited to 5% the amount of HIDTA funds used to establish drug treatment programs.

Note: This restriction is in addition to a provision of the FY 2000 appropriations for the HIDTA Program that requires HIDTAs to fund treatment and prevention programs at no less than the 1999 level.

Summary of Limits for HIDTA-funded Treatment

 \geq 1999 funding level (2000)

 \leq 5% of HIDTA funds (2006)

Relationship between ONDCP and each HIDTA

Finally, the 2006 Reauthorization Act clarified there was no agency relationship between ONDCP and each HIDTA, something that was not clear from the 1988 Act.

The SUPPORT for Patients and Communities Act of 2018

The SUPPORT for Patients and Communities Act reauthorized ONDCP through FY 2023, expanded ONDCP's mandate, and made other changes, including:

- Reauthorizing the HIDTA and Drug Free Communities grant programs at ONDCP;
- Creating an Emerging Threats Committee tasked with proactively identifying and preparing for the next drug crises;
- Allowing a portion of HIDTA funds to be used for prevention and treatment;
- Creating an online Drug Control Data Dashboard with search functions;
- Creating a Grant Tracking System to better track and improve federal drug grants; and
- Creating a cadre of coordinators at ONDCP to lead efforts on key drug issues.

All 50 states have areas designated as high intensity drug trafficking areas.

The 1990 HIDTAs were initially known as the 'gateway HIDTAs' because they were major centers for entry of illegal drugs into the United States.

1990 Houston Los Angeles South Florida New York/New Jersey Arizona* San Diego-Imperial* **New Mexico*** West Texas* South Texas* 1994 Puerto Rico/U.S. Virgin Islands Washington/Baltimore 1995 Atlanta/Carolinas Chicago **Liberty Mid-Atlantic** 1996 **Gulf Coast** Indiana Midwest Northwest **Rocky Mountain** 1997 Michigan **Northern California** 1998 **Appalachia Central Florida North Central Texoma** 1999 **Central Valley** Hawaii **New England** Ohio Oregon/Idaho 2000 Nevada North Florida 2018 Alaska.

*Formerly known as one HIDTA, the Southwest Border HIDTA, one of the 'gateway' HIDTAS.

Growth of the HIDTA Program

The HIDTA Program began with five HIDTAs in 1990 and grew over the next decade to today's 33 HIDTAs located in all 50 states, Puerto Rico, U.S. Virgin Islands and the District of Columbia.

Approximately 18.6% of U.S. counties and more than 67% of the U.S. population are included in a designated high intensity drug trafficking area.

Program Expansion

For the most part, new HIDTA designations between 1994 and 2000 were recommended to ONDCP in Conference Reports accompanying the annual appropriations acts.

Growth of new HIDTA offices halted for almost 20 years

Between 2000 and 2017, no new HIDTAs were designated. On May 1, 2018, ONDCP designated the areas surrounding Anchorage, Fairbanks, and Juneau as the Alaska HIDTA.

Counties added to existing HIDTAs

In 2005, Congress earmarked \$2 million of the HIDTA appropriation for new counties to be added to existing HIDTAs. This practice has continued and today all HIDTAs except PR/VI and Hawaii have expanded beyond their original area.

Note: HIDTA names are also changed from time to time to reflect the HIDTA's revised area.

Congressional Appropriations for HIDTA

Baseline budget – the amount required to continue operations at the prior year's level; Congress requires ONDCP to award each HIDTA this amount.

Supplemental funding – funding above the baseline funding, that ONDCP can award at its discretion based on priority needs, with approval from Appropriations Committees.

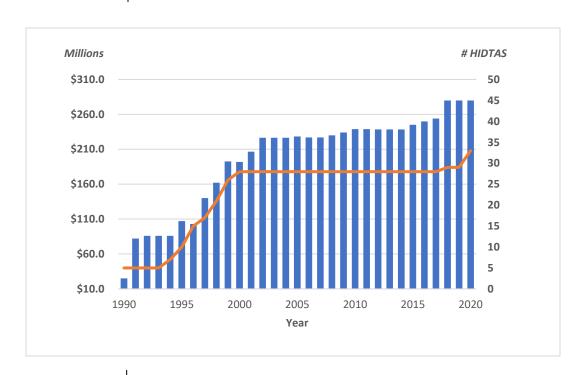
Program Funding

HIDTA funding grew from \$82 million in 1991, the first year the original five HIDTAs were fully operational, to \$281 million for 2020.

HIDTA was appropriated large increases in funding during the high growth years 1991 to 2002, but only modest funding increases between 2003 and 2017.

Growth in HIDTA Funding

The chart below shows the <u>total</u> funding provided to HIDTA: baseline level (based on prior year) and supplemental funding, an amount Congress may appropriate to ONDCP to award at ONDCP's discretion for priority needs.



Earmarks

Congress earmarks funds each year for auditing the HIDTAs, and in some years, earmarks funds for other specific uses—such as funds earmarked for smaller HIDTAs. For 2018, Congress earmarked \$42.4 million above the base level funding and directed ONDCP to prioritize these funds to HIDTAs in states where the opioid addiction is a significant threat. In 2020, HIDTAs received \$15.9 million in discretionary funds to expand its opioid response strategy to all 50 states.

Proposals to Reduce the HIDTA **Program**

The history of the HIDTA Program includes multiple threats to reduce the HIDTA Program – particularly calls to remove its independence from any single federal agency.

2006 / 2007 – Strip independence

The President's budgets for 2006 and 2007 both proposed transferring the HIDTA Program from the ONDCP to the U.S. Department of Justice where it would become part of the Organized Crime and Drug Enforcement Task Force (OCDETF) program.

2006 Significantly cut funding

The President's 2006 budget also proposed reducing HIDTA funding by more than 50%, to \$100 million.

Rationale

The rationale for locating the HIDTA Program under OCDETF would improve coordination with OCDETF and the Drug Enforcement Administration (DEA); shift funds to primary national drug distribution or transit zones; and focus on more significant drug trafficking organizations.

Stirred to Action

These proposals stirred many to action.

The President's 2006 Budget led to the creation of NHDA, the National HIDTA Directors Association. Other law enforcement agencies and associations expressed opposition as well:

- National Narcotics Officers Assoc.
- Major Counties Sheriffs Assoc.
- Nat'l Alliance of State Drug **Enforcement Agencies**
- Many high-ranking individuals of various law enforcement agencies

The President's 2007 Budget led 90 members of the House and 56 Senators to sign letters to the **Appropriations Committees** opposing cuts to HIDTA funding and pleaded for HIDTA to remain with ONDCP.

The two proposals were not seriously entertained by the Congress and stirred many to action. (See side note.) In both years, the Administration's proposal was rejected and the HIDTA Program received full funding.

2019 – Strip independence

The President's budget for 2019 proposes to transfer the HIDTA Program to DEA with no reduction in funding.

Rationale

Proponents say the transfer would improve coordination with the Department of Justice's other drug enforcement efforts.

What Makes HIDTA Unique

The HIDTA Program is distinctively different from other Federal grant programs and from State and local assistance programs administered by Federal law enforcement agencies.

Executive Boards

Balanced membership

Each HIDTA is managed by its own Executive Board, with a balanced voting membership from federal and from state/local/tribal law enforcement agencies within the HIDTA's designated area.⁵

By comparison, other programs may combine multiple law enforcement agencies into a single task force – its work directed by a single agency, not a balanced group as with the HIDTA Executive Boards.

Because HIDTA Executive Boards are equally balanced between federal agencies and state/local agencies and because the HIDTA Program is administered by ONDCP, which does not have an enforcement component, HIDTA is considered an agency-neutral program.

⁵ Although a long-standing policy in HIDTAs, Congress codified this practice as part of the Office of National Drug Control Policy Reauthorization Act of 2006.

Executive leadership and control

The Executive Board in each HIDTA is given broad discretion over the HIDTA's activities.

For example, HIDTA Executive Boards oversee work to assess the drug trafficking threats in their areas, develop strategies to address those threats, design initiatives to implement the strategies, and allocate the funding needed to carry out the initiatives.

This level of local control and discretion ensures that each HIDTA Executive Board can tailor its strategy and initiatives to local conditions and can respond quickly to changes in those conditions. It also leads to wide-ranging and creative approaches to counter the drug traffickers operating in the United States.

All Operations are Joint Operations

At the operational level, HIDTA-funded initiatives are carried out by collocated task forces that include federal law enforcement agents and state/local officers. The interaction among the task force members is heightened by the HIDTA Program's policy of requiring task force members to be housed and commingled at the same location to facilitate a close, barrier-free work arrangement.

Every initiative has an appointed lead agency (sometimes 2) that has specific expertise in the initiative's operations. For example, Homeland Security Investigations may be designated as the lead agency for a money laundering initiative, and a senior HSI agent may supervise the initiative's operations.

ORS (Overdose Response Strategy) Roll-out

The Heroin Response Strategy (HRS) began in 2015 with funding to 5 HIDTAs:

- Appalachia
- New England
- New York/New Jersey
- Liberty Mid-Atlantic
- · Washington/Baltimore

In 2019, the HRS changed its name to the Overdose Response Strategy (ORS) and centered its work on a collaboration between ONDCP, CDC, and CDC Foundation

From 2015 to 2020, ONDCP increased funding for all HIDTAs to have a Drug Intelligence Officer (DIO) in all states and two territories (Puerto Rico and US Virgin Islands).

HIDTA Innovations

Largely because of HIDTA's unique characteristics discussed earlier, individual HIDTAs have established a track record of quickly devising and implementing creative and effective responses to changing drug threats. A few of the more notable accomplishments are described here.

Overdose Response Strategy

The Overdose Response Strategy is an unprecedented and unique collaboration between public health and public safety, created to help local communities reduce drug overdoses and save lives by sharing timely data, pertinent intelligence and innovative strategies.

The ORS is implemented by state teams made up of **Drug** Intelligence Officers and Public Health Analysts, who work together on drug overdose issues within and across sectors and states. By sharing information across sectors, the ORS is growing the body of evidence related to early warning signs and prevention strategies. With the information shared, and programs inspired by the ORS, we are helping communities and individuals make healthier, safer choices.

The mission of the Overdose Response Strategy is to help communities reduce fatal and non-fatal drug overdoses by connecting public health and public safety agencies, sharing information, and supporting evidence-based interventions.

ODMAP - Overdose Detection Mapping Application Program

ODMAP provides near real-time suspected overdose surveillance data across jurisdictions to support public safety and public health efforts to mobilize an immediate response to a sudden increase, or spike in overdose events. It links first responders and relevant record management systems to a mapping tool to track overdoses to stimulate real-time response and strategic analysis across jurisdictions.

Accessed anywhere, any time

ODMAP's mobile-friendly web interface allows users to submit suspected fatal and nonfatal overdose data anywhere there is internet or cellular connectivity on a variety of devices. ODMAP also supports data integration through an Application Programming Interface (API). The API permits participating agencies to integrate data collected through their Record Management Systems into ODMAP.



Real Time Response

Spike alerts can provide vital information to public health and public safety about sudden increases in overdoses. ODMAP users receive notifications for spike alerts when suspected overdoses exceed a predetermined threshold in a 24-hour time period. Many communities utilize the ODMAP spike alerts to support and initiate overdose response teams efforts. ODMAP spike alerts can also be received for neighboring jurisdictions to provide an early warning and help communities prepare.



Use to date

As of January 2021, more than 3,300 agencies across 50 states have submitted data to the platform, with over 410,000 suspected overdoses submitted. Over ten states have active statewide implementation with several others who are active in the planning and implementation process.

Given the wide footprint of the HIDTA Program and the strengths of the participating state and local law enforcement agencies, DHE is a powerful tool for law enforcement.

DHE Accomplishments

During 2020, the DHE HIDTA funded team executed 74 web information-sharing sessions "DHE Corridor Calls" with over 5,000 state, local, tribal, and federal law enforcement participants from over 250 agencies. Officers and analysts enhanced their ability to fulfil public safety priorities and collaborated on hundreds of inter HIDTA criminal investigations involving illicit commodities in transit

Domestic Highway Enforcement (DHE) Initiative

The Domestic Highway Enforcement (DHE) strategy serves as a nationwide platform for unprecedented collaboration among federal, state, local and tribal law enforcement. The effort has led to significant disruption of dangerous drugs, illicit proceeds, human trafficking, and other substantial crime-taking place on and along U.S. transportation corridors. The DHE strategy leverages an "all threats, all crimes, and all hazards" approach to public safety.

DHE pulls drug trafficking information from other smuggling modalities: air, maritime, rail, bus, and package along with traffic safety patrol resources to deny drug traffickers and other criminals the use of American highways. The DHE program incorporates both regional and corridor transportation information models to encourage the gathering, reporting, analysis and sharing of criminal intelligence and threats to public safety.

Since 2005, DHE has assisted the HIDTAs with market disruption through collaborative, intelligence-led policing among the HIDTAs, the El Paso Intelligence Center, the U.S. Department of Homeland Security, the Drug Enforcement Administration, Federal Bureau of Investigation and state, local, and tribal law enforcement, including those in Canada and Mexico. From 2010 to 2020 the DHE program confiscated \$2.2 billion worth of drugs, and identified, disrupted, or dismantled over 1000 drug trafficking organizations.

DHE Resources

The National HIDTA Assistance Center will provide additional information resources on the DHE information sharing platform to include a DHE Brochure, DHE Menu of Services with 21st Century Code of Conduct, a roll call DHE training Video along with information on upcoming national and regional strategy meetings

DHE Vision

The Domestic Highway Enforcement program seeks to provide agencies with innovative, professional, multi-jurisdictional information sharing platforms while promoting nationwide networking. The programs objective is to impact public safety through its annual and regional meetings, corridor calls, and the use of information sharing technology

Deconfliction

In the early days of HIDTA, deconfliction was spotty and narrow in scope.

Today, one of the most essential services provided by HIDTAs is event deconfliction and case/subject/target deconfliction. Event deconfliction services promote officer safety by identifying enforcement actions that are planned to take place in close proximity to one another and notifying the agencies involved of the potential conflict. Case/subject/target deconfliction services alert investigators to other investigations that may also be targeting the same subjects. Consequently, participating agencies can share information, coordinate investigations, and conserve precious resources.

HIDTA perform these deconfliction services through one of three systems: Case Explorer, SAFETNet, or RISSafe. Because these systems are connected to one another and to the Nationwide Deconfliction Pointer Solution (NDPS), local deconfliction queries also search national databases.

In 2019, 3,899 Federal, State, local, and tribal criminal justice agencies used event deconfliction services provided by HIDTAs. These agencies submitted 289,661 event deconfliction checks. In addition, HIDTAs compared more than 1.2 million pieces of case/subject/target information in 2019.

HIDTA Performance Management Process (PMP)

In 2002, the Office of Management and Budget (OMB) reviewed the HIDTA Program and determined the Program could not demonstrate positive results. The principal shortcomings identified by the review were the lack of satisfactory performance goals and measures. In response, ONDCP and the HIDTA Directors formed a Performance Management Committee (PMC) to develop a performance measurement system for HIDTA.

The PMC reviewed previous ONDCP attempts to set performance targets for the HIDTA Program and determined those efforts required HIDTAs to report on outcomes for which they were only marginally responsible, for which no data were available, or which did not reflect program outcomes.

Two goals for HIDTA

The two goals for the Program drove the PMC in determining performance objectives.

- Disrupt the market for illegal drugs by dismantling or disrupting drug trafficking and/or money laundering organizations
- Improve the efficiency and effectiveness of HIDTA initiatives

Key principles of PMP

The Committee used three principles: 1) Say what you do; 2) Do what you say; and 3) Show what you did to guide the development of PMP.

With these principles as a foundation, the Committee developed a list of critical definitions needed to standardize the measurement process. The Committee used definitions agreed upon by the Department of Justice, the FBI, the DEA, OCDETF, and ONDCP whenever possible. When necessary, it created its own definitions or used those from a dictionary.

Recognition for excellence

In 2007, the OMB touted the achievements of the PMP in the President's Budget, noting:

"The HIDTA Program improved the way it measures success by implementing a system for tracking and analyzing performance data. Using this information, more drug trafficking organizations were dismantled for less money."

The PMP system is recognized as a practical and effective method to measure performance of a law enforcement program.

Key Points

- The Anti-Drug Abuse Act of 1988 established the ONDCP and gave the Director of ONDCP the authority to designate areas as high intensity drug trafficking areas and provided the criteria for designation of an area.
- The Office of National Drug Control Policy Reauthorization Act of 1998 established HIDTA as a program within ONDCP, and authorized ONDCP to obligate funds for the HIDTA Program.
- The Reauthorization Act of 2006 provided specific funding for the HIDTA Program and specified the process for submitting ONDCP budget requests to Congress. It defined Executive Board criteria for each HIDTA, set minimum criteria for designating areas as a HIDTA, and clarified the relationship between ONDCP and each HIDTA.
- The SUPPORT for Patients and Communities Act of 2018 gives the ONDCP Director the authority to coordinate funds and management activities in the HIDTA Program.
- The number of HIDTAs grew from five in 1990 to 32 by 2001, with a somewhat proportionate increase in funding during that time. In 2005, Congress began appropriating funds for new counties in existing HIDTAs, and in 2018, the Alaska HIDTA was designated as a HIDTA.
- With HIDTA designations in all 50 states, the current means for area growth is likely to occur by adding counties to existing HIDTAs.
- Congress appropriates HIDTA funds as baseline funding (to maintain the prior year's funding level) and as supplemental funding (which allows ONDCP, with approval from the Appropriations Committees, discretion about how to use the funds).⁶
- In some years, Congress earmarks a portion of the funds to specific needs such as needs of small HIDTAs and the need to address today's opioid epidemic.

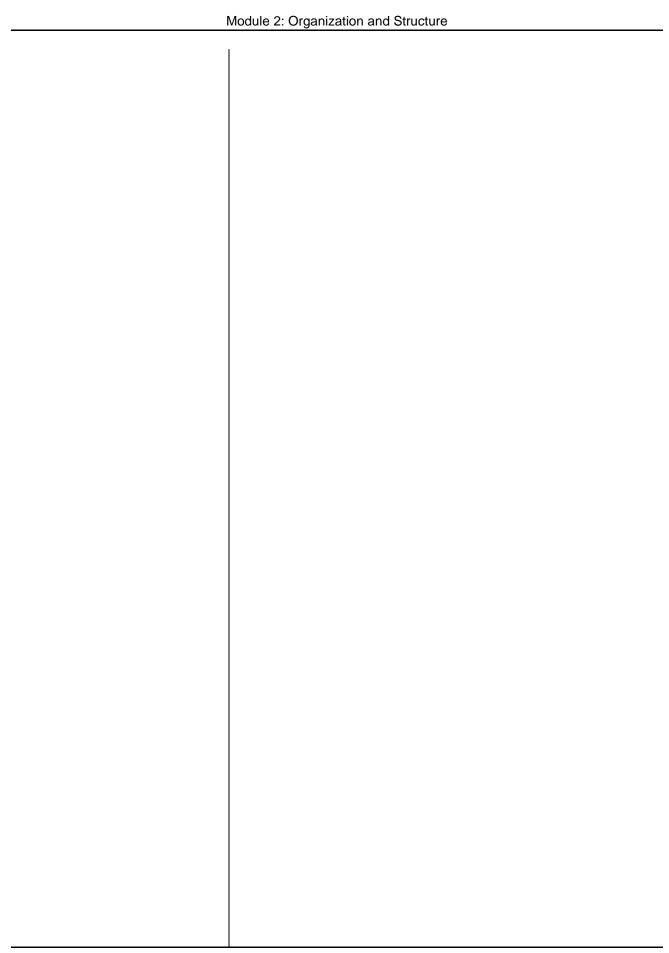
⁶ To learn more about the appropriations process for federal funding, read "The Congressional Appropriations Process: An Introduction," (doc. no. R42388) prepared by the Congressional Research Service, Nov. 30, 2016. This 24-page document is an excellent primer and is available for download at https://fas.org/sgp/crs/misc/R42388.pdf (as of 1/8/2020).

- Unlike other federal grant programs and state and local financial assistance programs, the HIDTA Program is multi-agency at every level of each HIDTA office – from the Executive Board to the initiatives and task forces.
- The HIDTA Program has built a reputation for quick and innovative responses to the changing drug threats. Examples include:
 - The Overdose Response Strategy (ORS),
 - The ODMAP software tool,
 - The Domestic Highway Enforcement initiative, and
 - The Performance Management Process designed to measure individual HIDTA's performance and report on the program's accomplishments.



Identify a few ideas from this module that you intend to implement at the earliest opportunity and write them in the space provided.

1.	
2.	
•	
3.	



Learning Outcomes

At the end of this module, participants will be able to:

- Describe the HIDTA Program including its:
 - purpose and goals
 - structure (national and local level)
 - philosophy
- Describe ONDCP and the support it provides the HIDTA administrative offices
- Describe how HIDTA participants interact with ONDCP, the NHAC, and committees
- Recall two or more policy documents that guide HIDTA participants
- Describe the justification for HIDTA funding, from threat assessment to annual report of accomplishments

ONDCP and HIDTA

As mentioned earlier, the HIDTA Program is organized and administered by the Office of National Drug Control Policy (ONDCP), a component of the Executive Office of the President.

National Drug Control Strategy

The ONDCP produces the annual National Drug Control Strategy, which outlines Administration efforts for the Nation to reduce illicit drug use, manufacturing and trafficking; drugrelated crime and violence; and drug-related health consequences.

The National Drug Control Strategy serves as the nation's blueprint for reducing drug use and its consequences. Based on the national priorities described in the National Drug Control Strategy, the HIDTA Program sets its program goals.

HIDTA Goals

The HIDTA Program's goals direct all HIDTA work. In the performance management process, each HIDTA selects performance measures and sets performance goals to demonstrate the HIDTA's work toward achieving the HIDTA Program goals.

Goal 1

Disrupt the market for illegal drugs by dismantling or disrupting drug trafficking and/or money laundering organizations.

Goal 2

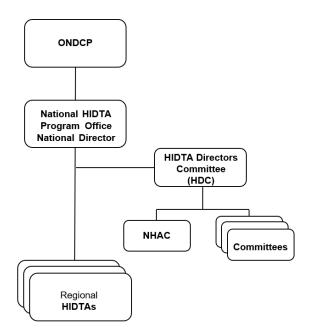
Improve the efficiency and effectiveness of HIDTA initiatives.

National Structure

ONDCP provides program policy and guidance to the HIDTA regional offices and management. The diagram below shows ONDCP's many offices and where the HIDTA Program fits within ONDCP.

ONDCP

- · Director's Office
 - · Policy, Research and Budget
 - Legal Counsel
 - Management and Administration
 - Intelligence
 - External Affairs
 - Programs Office
 - Drug Free Communities
 - National HIDTA Program Office



For efficiency, the HIDTA Directors Committee (HDC) acts as the Executive Board for the National HIDTA Assistance Center (NHAC), various committees, and national initiatives. The NHAC is a service center that provides shared services such as training, financial review and audits, and multimedia graphic design services for all regional HIDTAs.

National HIDTA Program Office (NHPO)

The NHPO within ONDCP, is led by the National HIDTA Director who oversees and administers the HIDTA Program. NHPO is responsible for setting program priorities, issuing program and policy guidance, allocating and administering grant funds, publishing regulations, developing and applying performance standards, reviewing annual budget requests, considering petitions for HIDTA designation, removing designation from areas that no longer meet requirements, or adding a county/counties to an existing HIDTA, conducting program reviews and contracting for external audits, determining compliance with HIDTA Program requirements, and more.

NHPO coordinates with other ONDCP offices to ensure compliance with Federal laws and regulations, to include the Office of General Counsel, the Office of Legislative Affairs and the Office of Performance and Budget.

ONDCP Support and Services

To ensure the accountability of the HIDTA Program, ONDCP monitors and evaluates the success of individual HIDTAS through an annual reporting process, risk-based independent audits and periodic reviews.

By consistently applying standardized guidance, ONDCP is able to assess progress towards achieving the HIDTA Program's goals.

Annual Budget Request (ABR)

DTA Executive Boards provide an annual budget request no later than June 15 for ONDCP review and approval of funding to address drug trafficking threats in the region. The ABR consists of an annual threat assessment and initiative description and budget proposals. The threat assessment guides the development of the strategy which leads to the identification of initiatives to be funded to address the threat. The initiative description and budget proposal, one per

initiative requesting funding, contains mission, threat focus, agencies involved, performance targets, budget request, compliance checklist, waiver(s) and verification of several policy requirements.

Desk Audits

Desk audits are performed by members of the NHAC who are contracted through the Executive Office of the President and authorized by Congress. These audits serve to ensure the accuracy and propriety of the payment request, that all payments to the grantee are for actual costs incurred, receipts and invoices corroborate the claim, payments are covered within the spending plan and are in accordance with the terms of the grant agreement.

Financial Audits

Financial audits are conducted at the fiduciary and are riskbased. Independent, ONDCP-contracted auditors spend approximately 2 weeks onsite examining financial statements and assessing internal controls. The final report of findings and recommendations is delivered to ONDCP, the HIDTA and its fiduciaries.

Performance Audits

Three aspects of the HIDTA's performance reporting are examined in this audit: the reliability of the performance data, the quality of internal controls and compliance with program policy and PMP user guidelines. Onsite reviews are conducted over a 3 to 5-day period, with a final report submitted to ONDCP and the HIDTA. A management letter follows containing recommendations to enhance the quality and consistency of the HIDTA's performance management.

Program Reviews

ONDCP conducts periodic program reviews of regional HIDTAs to ensure compliance with HIDTA grant requirements and to identify strengths and weaknesses across the HIDTA program and provides recommendations in the form of final reports or corrective action plans.

Program policy and guidance

The National HIDTA Program Office develops HIDTA policies and guidelines and provides ongoing recommendations for guidance for ONDCP approval. NHPO works with the HDC and the various HIDTA committees when making decisions about policy and best practices in the areas of finance, performance measurement, intelligence and training.

Meeting and conference planning

NHPO works jointly with the National HIDTA Assistance Center (NHAC) to schedule the National HIDTA Conference. All HIDTA conferences require pre-approval from ONDCP. A "conference" includes a meeting, seminar, symposium or workshop.

This conference is known among HIDTA participants as a key information sharing meeting among different levels of HIDTA offices – selected task force members and commanders, intelligence analysts and ISC commanders, financial managers, and HIDTA directors. HIDTA teams and individuals are recognized for their innovation and diligent work.

Program Policy: Refer to section 3.0 in the Program Policy (2020) for ONDCP's responsibilities to the HIDTA Program.

NHAC

Located in Miami, Florida, the NHAC provides administrative support to the regional HIDTAs. It has its own budget and is governed by the HDC acting as executive board. Also, ONDCP oversees the contracted obligations of the NHAC finance unit.

Services provided include:

- Administrative guidance and consulting services for HIDTA participants (regarding policy compliance, SF-424 applications, etc.)
- Independent external review of expenditure documentation

Note: The Finance Unit provides internal audit services, financial review, and financial guidance to the HIDTAs on behalf of the ONDCP.

- Training in program management and tools, such as software used for fiscal and program management
- Software development and support for internally developed applications specific to the HIDTA Program
- Media services, such as technology support and development of HIDTA-specific software and multimedia production (audio, video, print, and web pages)
- Administrative oversight of national program initiatives:
 - Domestic Highway Enforcement (DHE)
 - National Emerging Threats Initiative (NETI)
 - National Marijuana Initiative (NMI)

Communicating with ONDCP

To avoid miscommunication and to ensure accuracy, it's important to follow the proper communications channel for your questions.

HIDTA directors

The HDC is tasked with facilitating the sharing of information and open communication with ONDCP on all matters of mutual interest related to the HIDTA Program. HIDTA directors may ask questions of committees to learn about common practices, reporting requirements, day-to-day management concerns, policy, and discussion of problematic issues.

HIDTA financial managers

When a HIDTA financial manager has questions about fiscal policies and program guidelines, he begins by contacting the regional HIDTA's assigned accounting staff member at the NHAC's Finance Unit.



Best Practice:

HIDTA Program Office staff are assigned specific functional areas for oversight. Contact the specific staff member for questions.

Similarly, each HIDTA's financial manager has an assigned accounting staff member at the NHAC who serves as the single point of contact for financial questions.

Stay within the HIDTA Program Office

It's very important that HIDTAs do not directly contact other offices within ONDCP. The established channels communication allow funneling and summarizing of information and ensure ONDCP gives a consistent message to all HIDTA participants.

Example

Suppose, for example, the director receives a question about terms of the Grant Agreement. The director would not call the Office of Management and Administration within ONDCP.

Instead, the director would contact the National HIDTA Program Office.

HIDTA Directors Committee (HDC)

The HIDTA Directors Committee (HDC) provides an important communication channel between regional HIDTAs and the ONDCP: the HDC serves as a collective voice for all 33 HIDTAs.

The 6 members of the HDC are HIDTA directors; the committee creates and oversees other committees and groups of HIDTA professionals to address concerns and issues common to all HIDTA participants. Some of the committees are standing committees – those that continue from year to year, and others are ad hoc committees that work on a specific project until resolution.

The HIDTA Directors Committee (HDC) serves as a focus group to express the views, concerns, and issues from individual HIDTA directors, so their collective ideas are funneled to ONDCP as a single voice.

The HDC also serves to disseminate information to and from ONDCP and from committees in other knowledge areas.

Note: Whenever a committee is described as

"... 6 representative members

each member likely represents HIDTA peers in his same role or position. To ensure all are represented, HIDTA offices are grouped into 6 regions of the US.

The committees and professional groups formed by the HDC have different meeting frequencies (often monthly or quarterly), different missions and scope (1 project or ongoing processes and issues), and various numbers of members, but all report to the HDC.

HDC Sub-committees

The HDC may establish sub-committees to discuss topical and substantive matters in the interest of the HIDTA Program. These committees may be standing or ad-hoc, and advise the HDC and ONDCP on matters related to management and oversight of the HIDTA Program. Also, the HDC may directly establish committees and advisory bodies to oversee the National HIDTA Initiatives and programs

HDC sub-committees may also develop additional guidance documents such as handbooks, guidelines, standards, and checklists to assist HIDTA personnel in implementing the PPBG and adopting best practices. The HDC is required to submit such documentation to ONDCP for review and approval prior to the release or dissemination of such guidance to ensure alignment with the PPBG and other Federal regulations pertaining to grantees and the use of grant funds.

HDC is required to notify ONDCP of any additions, removals, or changes to the sub-committees. ONDCP shall have representation on each of the sub-committees, and the National HIDTA Director shall be invited to participate in HDC meetings.

Region **HIDTAs**

Alaska

Central Valley Hawaii

Nevada

Northern California

Northwest Oregon/Idaho

II Arizona

Los Angeles

New Mexico

San Diego / Imperial Valley

South Texas West Texas

Gulf Coast

Ш Houston

Rocky Mountain

Texoma

I۷ Chicago

Indiana

Michigan Midwest

North Central

Ohio

New England

New York/New Jersey Liberty Mid-Atlantic

Washington/Baltimore

۷I Appalachia

Atlanta/Carolinas

Central Florida

North Florida

Puerto Rico/U.S. Virgin

Islands

South Florida

How members are chosen

Often members are representatives of a group of HIDTA offices, such as 1 committee member representing 4 or more HIDTAs within a region of the U.S. The list at the left is one of several ways committee members are selected: each committee member represents several HIDTA offices.

Committees include a HIDTA Director and an ONDCP representation in their meetings to provide immediate answers to questions the group may have.

Committee work is invaluable to the HDC in the discussion with ONDCP about HIDTA Program needs and program policies.

What they do

Members ask for input from the HIDTA offices they represent prior to every meeting. Representatives take those issues to their committee for discussion and resolution.

Examples of standing committees

- **PMP Committee** diverse group of members that collaborate on standards and guidelines for PMP (the management process), as well as guide the developers of WebPMP (the software).
- **Financial Managers Group** (FMG) 6 HIDTA financial managers work with a HIDTA director from the HDC and ONDCP representative to address current issues with processes, techniques, and best practices for financial management and regulation compliance.
- **HIDTA Intelligence and Information Sharing** Committee (HIISC) – explores opportunities and recommends ways HIDTA can foster and improve intelligence and information sharing within the law enforcement community
- **Intelligence Management Advisory Committee (IMAC)** – a sub-committee of the HIISC, 6 members represent ISC managers within their respective regions.
- **Training Coordinators Committee** 6 training coordinators represent all HIDTA training coordinators to exchange best practices for local training programs and efforts, share information and current development projects (for future sharing), and discuss unfilled training needs.
- **Domestic Highway Enforcement (DHE) Coordinator Committee** – members represent DHE initiative commanders within their respective regions. Committee members exchange best practices; discuss regional drug threats and distribution routes; and share information and lessons learned.
- **National Marijuana Initiative (NMI)** 6 members represent their assigned HIDTA offices to exchange best practices and share information and resources for NMIfunded projects.
- National Emerging Threat Initiative (NETI) 6 members represent the HIDTA offices within their regional group to exchange early information about developing trends in new drug threats.

Ad hoc committees

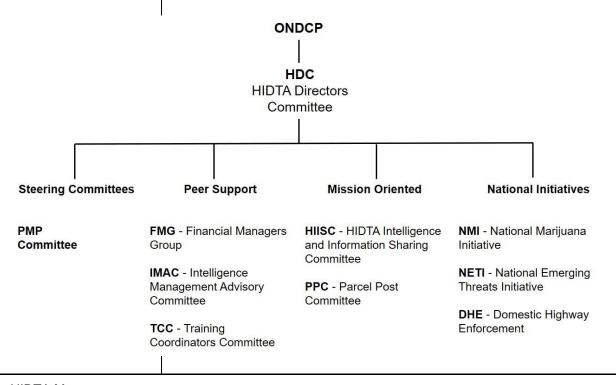
In contrast to standing committees, the HDC also forms ad hoc committees with specific project assignments; they often have a specific, task-oriented assignments.

These committees can be formed to address a particular project or need and dissolve once the need is resolved.

- Crossroads Committee members are HIDTA
 participants and selected external agency members working
 to improve information sharing among various intelligence
 centers such as fusion centers, RISS centers, HIDTA ISCs,
 and other intelligence centers.
- Parcel Post Committee 6 representative members and others work to develop and improve HIDTA relationships with the U.S. Postal Service and common carriers such as UPS, DHL, FedEx, etc.

Summary of HIDTA Committees

The previous list of committees can be regrouped as follows.

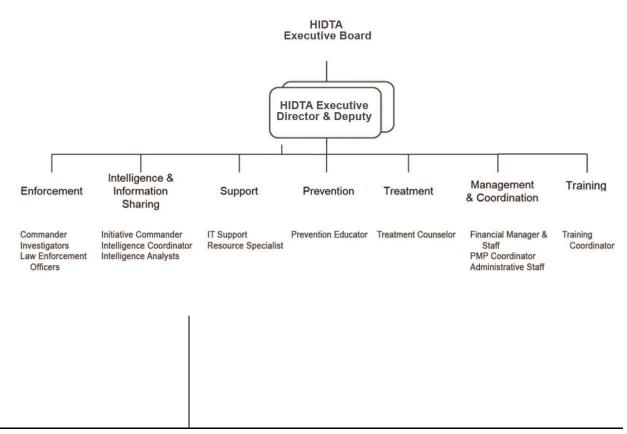


Local Structure

In addition to the program policy and guidelines set by ONDCP, each local HIDTA is guided and managed by its own board of directors. You will read more about the management and operations of regional HIDTAs in Modules 3 and 4, but each regional HIDTA office is organized as shown below.

Executive management at the local level allows each HIDTA to make decisions, set local policies, and implement standard practices that are specific to the HIDTA region's needs, threats, participants, and local environment.

Position titles within initiatives vary among HIDTAs because local HIDTAs determine the number and composition of each initiative required to accomplish the HIDTA's mission.



An initiative is a plan for activities to implement a portion of the HIDTA's strategy.

Strategy and Initiatives

The number and types of initiatives at a HIDTA depend on the local HIDTA's strategy.

The *strategy* is the regional HIDTA's response to a drug threat, and initiatives implement portions of the strategy. Each initiative targets a specific drug threat or problem area, sets measurable goals, and maintains a separate budget within HIDTA.

Some initiatives take years to complete, and each year, the HIDTA Director and other key participants prepare a series of reports to describe the current drug threats in the region, a strategy to address those threats, and one or more initiatives for implementing the strategy.

Initiatives

The HIDTA's strategy is separated into initiatives; recall an initiative is a plan to implement a portion of the HIDTA's strategy, and each initiative is allocated a budget, or a portion of the HIDTA's funds. There are 4 major types of initiatives:

- Enforcement initiatives
- Intelligence and information sharing initiatives
- Support initiatives
- Management and coordination initiatives

Within each initiative type, there are subtypes to further describe the initiative's activities.



Program Policy: Refer to section 6.0 in the Program Policy (2020) for details regarding HIDTA initiatives.

Task forces

The people assigned to an initiative are commonly grouped into task forces, and members come from multiple entities such as federal agencies (e.g., DEA), state agencies (e.g., state bureau of investigation), and local and tribal agencies (e.g., county sheriff's department).

An initiative may have one or more task forces, or work groups, that specialize in certain areas of expertise.	Each initiative is required to have both full-time federal employees and full-time state and local employees assigned to the task force. If not, the HIDTA must obtain a waiver from ONDCP. (Part-time employee assignments do not satisfy the multi-agency requirement.) Program Policy: Refer to Sections 6.1.2 and 6.1.3 in the Program Policy (2020) for more information about multi-agency participation.

Regulations and Guidance

These are the key sources of regulations and guidance for HIDTA participants:

- From ONDCP: HIDTA Program Policy and Budget Guidance
- From OMB: for grantees: 2 CFR, Chapters 1 and 2, Part 200, known as the Uniform Guidance
- From HIDTA Executive Boards: Local HIDTA policies
- From parent agencies: Various state and local regulations, agency policies, and required practices

HIDTA Program Policy

ONDCP sets policy for the HIDTA Program and publishes a compilation of the policies in the HIDTA Program Policy and Budget Guidance. You should consider it your most important reference for answering HIDTA policy questions.

Sample of HIDTA policies

Here is a recap of some of the key policies and guidelines from the HIDTA Program Policy and Budget Guidance that directly affect your HIDTA. Be aware, however, that for almost every item listed below, exceptions are possible.

- HIDTA funds can be used to enhance, but not supplant, other funding.
- HIDTA expenditures must be allowable, reasonable, and allocable.
- HIDTA funds cannot be used for the following expenditures:
 - personal hygiene items (soap, paper towels) unless part of standard office supplies or needed for the mitigation of risks from contact
 - clothing (promotional hats, t-shirts)
 - food
 - purchase of weapons or ammunition

- Every HIDTA must have an intelligence and information sharing initiative to access and share data from various agency databases.
- Full-time task force members of enforcement and intelligence initiatives must be collocated and commingled.
- HIDTA funds must be spent within the authorized award period, not before and not after. (File an extension for nonfederal awards if more time is needed.)
- Overtime paid by HIDTA funds is limited to the lower of applicable state, local and tribal regulations of the officer's parent agency, or 25% of a GS-12, Step 1 salary for law enforcement officers (www.OPM.gov: Law Enforcement Schedules and Locality Pay Tables, "Rest of U.S.")
- Overtime to federal employees is not allowed except in special circumstances. Policy specifically allows overtime for uniformed federal employees:
 - U.S. Customs and Border Protection
 - U.S. Forest Service
- Award recipients (grantees) must keep detailed records of all expenditures reimbursed by HIDTA funds for at least three years.

The Uniform Guidance

On December 19, 2014, the ONDCP, along with many other federal agencies, announced its adoption of the Uniform Guidance, to be effective December 26, 2014. In August 2020, an updated version was released in the federal register. The Uniform Guidance is the common name for the OMB regulation titled:

> 2 CFR Chapter I, Chapter II, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

All HIDTA financial managers and fiduciary agencies are familiar with the Uniform Guidance, so ask your HIDTA financial manager should you need additional information.

Other Policies and Guidelines

In addition to federal policy and guidance for HIDTA funds, there are other sources for policies and guidelines that affect HIDTA work.

- HIDTA Executive Board policies and guidelines; initiative guidelines
- The fiduciary's policies and standard practices
- Each individual's parent agency's policies, guidelines, and standard practices
- Award documents, subaward, and contracts, i.e., signed agreements with specific terms and conditions

The Philosophy of HIDTA

The HIDTA Program provides unique advantages over traditional law enforcement efforts against drug trafficking. The differences can be traced to the HIDTA philosophy.

National governance

ONDCP provides unbiased program policy direction and governance to ensure fiscal responsibility, to provide consistent policy compliance, and to provide program coordination at a national level.

Local freedom

The HIDTA Program intentionally avoids setting policies and rules in some areas, so local HIDTA executive boards can make certain decisions at the local level, according to the needs of the region. This program design encourages innovative approaches. Each HIDTA designs strategies and initiatives for its region's most critical needs. HIDTAs are free to break the mold of traditional, single-agency law enforcement efforts.

Individual HIDTAs, for example, create the initiatives that address their own region's drug threats, and there is great flexibility in the number of initiatives and the composition of each initiative.

Balanced partnerships

The HIDTA Program functions as a coordination umbrella for federal, state, local, and tribal law enforcement agencies as well as other non-federal entities such as institutions of higher education and non-profit organizations. HIDTA participants work as a balanced partnership, with no single participating agency more powerful than another.

When federal officers and local police jointly conduct a criminal investigation funded by HIDTA, each is acting under the law enforcement authority vested in them by their specific agency.

This balanced partnership principle applies to the task force level all the way up to the executive board level.

Because HIDTA is not an agency, it is not a legal entity. All legal contracts are made by its participating agencies.

HIDTA is a program.

Best Practice:

Check your ego at the door. Every member of the HIDTA is working as a team member (of equal status).

Leveraged resources

HIDTA's balanced partnership approach fosters sharing of resources and intelligence. It is very common, for example, for task force participants to say, "We have that capability; let me call" or even, "Let me see if our agency will pay for that."

Innovative drug enforcement

HIDTA initiatives should be innovative drug enforcement initiatives – not at all the traditional approach. Each participating entity brings special expertise to the HIDTA partnership, and the group synergy produces new ideas and innovative approaches to develop new inroads in counter-drug activities. The HIDTA Program supports these efforts with the full understanding that while some efforts may fail, others will exceed expectations. Successful innovations may be subsequently adopted by participating agencies which pay for them with their own appropriated funds.

Flexible funding

As priorities shift, or even as initiatives succeed, fail, or are terminated, the HIDTA Program allows funding to be reprogrammed to other efforts.

Cooperation among agencies and programs

By design, the HIDTA philosophy fosters coordination among the participating agencies. Program Policy, for example, requires participating agencies to be collocated and commingled. The HIDTA Program also encourages sharing and cooperation between the HIDTA and non-participating law enforcement agencies and other drug enforcement and treatment programs such as:

- OCDETF Organized Crime Drug Enforcement Task Force program
- COPS Community Oriented Policing Services
- HIFCA High Intensity Financial Crime Areas
- HUD U.S. Housing and Urban Development
- Asset Forfeiture program
- Byrne Grant program
- Drug-Free Communities program

Sharing information and intelligence

Not only do agencies share financial and human resources, they also share information and intelligence. HIDTA policy requires every HIDTA to have at least one intelligence and information sharing initiative "to develop intelligence, share information, and provide analytical and technical support to the enforcement initiatives." (Program Policy, Section 2.4)

Intelligence and information sharing is discussed in Module 6, but for now, realize that it is a key area of collaboration within the HIDTA.

Training

Additionally, the HIDTA Program philosophy promotes and supports the importance of training. HIDTA policy requires a training and support initiative at every HIDTA.

HIDTA-funded training is always HIDTA-specific rather than general management or generic software tools. Examples of HIDTA-funded training courses include:

- Financial Management of HIDTA Funds
- FMS.net (the software program for HIDTA financial management)
- WebPMP Software and PMP Process Guidelines
- HIDTA Management

Many training courses offer 2 versions of the course guide and other teaching materials:

- Participants Guide
- Instructor Guide which includes notes and suggestions for presenting the material
- Slides
- Handouts such as quick reference sheets

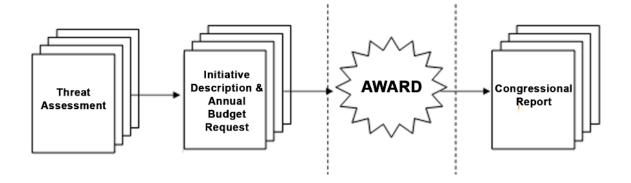
Locate the materials in the HRMS Document Center (main toolbar at top) or phone the NHAC at (305) 715-7600.

(i) Important: All HIDTA-funded training materials developed by the NHAC are available to local HIDTA use. HIDTA training coordinators simply download and print the supplies needed.

Contact the NHAC to assistance locating training materials, if needed.

Building a Case for HIDTA Funds

Congress appropriates funding for HIDTA based on grass-roots data that demonstrates the need, describes a strategy, explains a plan, and reports HIDTA's accomplishments. The process is a sequence of steps, and each step relies on the previous steps.



Every program year's funding begins with the HIDTA's Threat Assessment – every HIDTA's funding depends on the HIDTA's current drug threats and regional needs.

The HIDTA Program emphasizes performance and accountability. Each Executive Board's strategy is submitted to ONDCP in the form of an Annual Budget Request (ABR), and includes both standardized and individualized performance measures in the initiative proposals. ONDCP will annually assess performance against targets established at the beginning of each program year using these measures as reported through the HIDTA Performance Management Process (PMP) system. Accountability is ensured through internal reviews, reviews by ONDCP, and external performance and financial audits. Results of these assessments are considered when determining future funding levels.

Annual Budget Request

Each HIDTA's budget package consists of these documents, and the package is due to the ONDCP on June 15 of each year.

Threat Assessment

- Current drug threats in the region
- Trends, projections, and outlook

<u>Initiative Description and Budget Proposal (IDBP)</u>

- Initiative purpose
- Threat priorities
- Performance goals related to initiative
- Budget needs
- Level of participation (positions, full-time or part-time, collocated members, etc.)

Other Submissions

- Waiver requests
- Policy-required certifications

ONDCP annually provides guidance for the formatting of each document.

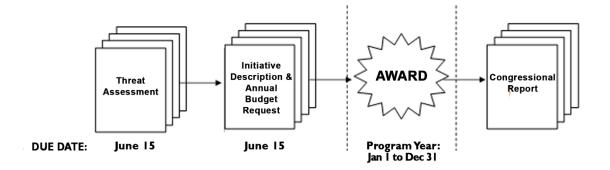
Program year - A 12-month period beginning January 1 for which budget needs are planned, requested, and granted for a HIDTA's operation.

A Year in the Life of a HIDTA

Let's look at the timeline for the HIDTA Program documents. The HIDTA Program operates in program years. A program year is the 12-month period that begins January 1. Funding requests are submitted well before the beginning of the program year, and awards are intended to cover the spending needs for the 12-month program year.

The entire cycle of a program year looks like this.

Program Year



Threat Assessment

HIDTA participants (assigned by the HIDTA Executive Board) review and assess the region's drug threats-both current threats and expected changes in the region's drug threats. This document is used to guide the Executive Board as it develops a strategy for the coming year.

Strategy

The HIDTA's Executive Board considers the threat and the two HIDTA Program goals and develops a strategy. The strategy describes how the HIDTA will address the region's drug threats by way of one or several initiatives, the performance goals for each individual initiative, and the overall performance goals for HIDTA's regional work. The strategy is found in the Initiative Description and Budget Proposals.

Goal 1

Disrupt the market for illegal drugs by dismantling or disrupting drug trafficking and/or money laundering organizations

Goal 2

Improve the efficiency and effectiveness of HIDTA initiatives

Initiative Description and Budget Proposal

To carry out the HIDTA's strategy, the HIDTA participants design an organizational plan-a set of initiatives (with task forces) to accomplish specific activities toward meeting the goals.

Each initiative has specific activities planned, and each initiative has a proposed budget for resources. Keep in mind that not all of an initiative's resources are provided by awards. Participating entities may contribute personnel, facilities, equipment, and other resources to set up and carry out the initiative's activities. The IDBP serves as the strategy submission to ONDCP.

Award

Once ONDCP reviews the entire proposal (threat assessment and analysis, and proposed initiative descriptions and budgets), the numerous individual HIDTA submissions are aggregated and presented to Congress for funding. Award letters announce the grant funds to non-federal⁷ recipients, and MOAs (Memorandum of Agreement) announce the awards to federal agencies.

Final Report

At the conclusion of the program year, ONDCP reports the HIDTA Program's annual performance and results to Congress.

For program year 2021, the annual request will include the 2020 Threat Assessment (current data) and the 2021 Initiative Description and Budget Proposal (IDBP) that describe each initiative and its purpose to carry out a portion of the strategy and contain performance targets. Waiver requests and certifications are also included.

⁷ Non-federal refers to state, local, and tribal law enforcement agencies, institutions of higher education, and non-profit organizations who may receive HIDTA awards.

Key Points

- HIDTA is a program, not a legal entity.
- HIDTA funds enhance coordinated efforts between federal, state, local, and tribal law enforcement agencies fighting drug trafficking.
- ONDCP establishes policies, priorities, and objectives for the HIDTA Program; ONDCP monitors and evaluates the success of individual HIDTAs.
- Each HIDTA develops a strategy, a planned response to the area's drug threats and needs; each designs a set of initiatives to implement portions of the strategy.
- The HIDTA philosophy is demonstrated through local organizational structure, multi-agency participation, program and local policies, and funding for the initiatives.
- HIDTA funding cycle begins with a threat assessment of the region's drug threats and needs and ends with tables available in the PMP software.



Identify a few ideas from this module that you intend to implement at the earliest opportunity and write them in the space provided.

1	
2	
3	



Learning Outcomes

At the end of this module, participants will be able to:

- Describe the purpose and responsibilities of the Executive **Board**
- Write a vision statement and a mission statement for your HIDTA
- Describe the characteristics of an effective HIDTA **Executive Board**
- List three or more policies that direct HIDTA executive boards
- List three or more challenges for HIDTA executive boards
- List three or more ways to improve the performance and effectiveness of the HIDTA Executive Board

Executive Board Requirements

Purpose

The Executive Board provides direction and oversight in implementing the HIDTA Program according to policy and philosophy. In layman's terms, the Executive Board provides governance to the HIDTA. Governance is the process by which interests and values are translated into operational decisions and actions.

Organization Requirements

The Executive Board must be balanced so that 50% of the votes come from state and local participants and 50% from federal participants.⁸ Together these participants make collective decisions regarding the HIDTA's vision, mission, strategy, initiatives/budget, and internal policies and procedures.

Chairmanship

Executive boards must be chaired and vice-chaired by one state or local law enforcement official and one federal law enforcement official for alternating one-year terms. (There are no permanent chair positions.)

Membership

The executive board membership must be balanced between federal and non-federal law enforcement agency members. Most executive boards set a policy to limit each agency to one voting member on the board. HIDTA Program Policy limits an entity's chairmanship position (both chair and vice chair) to two years.

Best Practice: Treat board positions as a precious commodity.

⁸ According to the ONDCP Reauthorization Act of 2006, where it is impractical for an equal number of representatives of federal agencies and state, local, and tribal agencies to attend a meeting of an executive board in person, the executive board may use a system of proxy votes or weighted votes to achieve the voting balance required.

Best Practice:

Board members should be selected based on the agency's committed resources to the HIDTA Program and the agency's ability to affect the drug threat.

Executive board members should be either the heads of the agencies they represent or permanently designated highranking officials with decision-making authority for their departments or agencies. Agencies cannot, for example, send lower-ranking substitutes or delegates in the place of highranking officials to permanently hold the board position.

With the exception of Federal, state, and local prosecutors, only those agencies with a staff member assigned full time in a HIDTA initiative may be a voting member of the Executive Board.

According to Program Policy, Section 3.4.3, the HIDTA Director is a permanent, non-voting member of the board, and the HIDTA Executive Board may allow other agencies or associations non-voting membership.

Note: Ex-officio membership can be used to bring treatment and prevention leaders to the executive board.

Size and Composition

The size of the Executive Board can vary. According to Program Policy, Section 3.4.1, the HIDTA grantee cannot expend HIDTA grant funds unless the HIDTA's executive board apportions "an equal number of votes between representatives of participating federal agencies and representatives of participating state, local, and tribal agencies."

Exceptions can be obtained by proxy votes (where members are geographically disbursed) or by a documented system to weigh board member votes to accomplish the effect of an equally balanced board membership.



Program Policy: Refer to Section 3.4 in the Program Policy for more information about executive boards.

	Discussion Given that a HIDTA region spans multiple judicial districts, how would you handle a situation where more than one prosecutors' office wants to participate in the Executive Board?	

Scope of Responsibilities



Program Policy: The responsibilities of the HIDTA Executive Board are described in Section 3.4 of Program Policy, 2020.

In providing "direction and oversight" to the HIDTA, the Executive Board is responsible for the following tasks.

Select fiduciaries

The Executive Board selects the grantees to serve as fiduciaries, i.e., entities to receive and manage HIDTA funds to be distributed to other HIDTA participating entities. Fiduciary entities hire employees, issue and monitor subawards and contracts, and disburse funds according to HIDTA policies.

Hire and direct the HIDTA Director

The Executive Board selects the HIDTA Director and provides sufficient guidance, authority, and resources to the director to carry out his or her duties and responsibilities.

Review and approve program documents

The Executive Board reviews and approves all programrequired documents submitted to ONDCP: the Threat Assessment, the Strategy, the initiative and budget descriptions, and the Annual Report, if one is produced. The Executive Board guides the development of all of these documents.

Evaluate initiatives

Executive boards are responsible for implementing a process for annually evaluating each initiative year to ensure all initiatives are complying with HIDTA Program requirements, implementing the strategy, and achieving the HIDTA's performance goals identified in the Performance Management Process (PMP). The board establishes the review program, the HIDTA Director establishes the review process and participates in the reviews of each initiative, and the Executive Board must formally review the process results of the Director's review. In addition to ensuring policy and fiscal compliance, the board also terminates and revises initiatives that are not in compliance or are no longer addressing a threat.



Best Practice:

Review the responsibilities and impacts of the Uniform Guidance when selecting a fiduciary. Evaluate the candidate entity's capabilities, available capacity. and historical performance managing other grant funds. Not all that are willing are able.

Set local policies, controls, and procedures

The Executive Board sets local policies to supplement and carry out the directives in the Program Policy. The Program Policy is intentionally silent on several issues to allow each executive board the freedom to self-govern to best meet the needs of the HIDTA. For example, executive boards can (and many do) set local policies for:

- Board membership criteria beyond that provided in the **Program Policy**
- Chair and Vice-Chair elections
- Quorum percentages
- Meeting frequency and schedule
- Press and public relations policy (who tells what to the press)

The HIDTA Program Policy refrains from specifically stating the types of local policies an executive board should set. As a result, some HIDTAs have a robust set of local HIDTA policies while others have very few.

The Executive Board does establish controls and standard operating procedures to ensure that HIDTA participants comply with fiscal and administrative guidelines and policies (e.g., accountability of funds of, reprogramming funds, and inventory system). Other controls and standard operating procedures might document the chain of command, building security, asset forfeiture sharing, personnel issues, and guidelines for the HIDTA Director's duties.

Best Practice:

Appoint a single point of contact to handle the press, if the HIDTA plans to allow press coverage.

Best Practice:

Create standard operating procedures and policies to reflect local issues. Make sure the charter and by-laws reflect the desired organization and structure. Update as needed.

Coordinate contracts on behalf of the HIDTA

Because the HIDTA is not a legal entity and cannot enter into contract agreements, the Executive Board must rely on a fiduciary entity to execute contracts. For example, the fiduciary executes employment contracts to hire the director and other contract positions as needed. During the contracting process, the Executive Board works closely with the fiduciary's procurement officer to ensure agreements are accurate and in compliance with various policies and procurement rules of the fiduciary entity.

Establish committees

The Executive Board establishes its own structure (with permanent committees) and temporary committees (special purpose task forces or advisory boards), as needed, to accomplish its work. A sample organization chart appears on page 3-11.

Be careful about the work delegated to a committee. To stay aligned with the HIDTA philosophy, be sure that both federal and non-federal agencies are equally represented in performing work and making recommendations.

Meet regularly and keep minutes

HIDTA executive boards must meet at least four times per year and keep meeting minutes, should minutes be requested by ONDCP.

Best Practice:

Before setting up advisory boards, be sure the executive board plans to listen to and consider the advice it receives. (Some boards choose not to consider the advice they are provided, thus negating work of the committee.)

Best Practice:

Actively engage the Executive Board to guide your HIDTA and its participants.

Best Practice:

Use committees and subcommittees to free up the work of the board as a whole. Depending on the purpose of the subcommittee, encourage board members to assign subordinates to the subcommittee. Subordinates have more time availability.

Structuring the Executive Board

Because each executive board is free to structure itself to suit its needs, you will find a variety of organizational structures among HIDTA executive boards.

Large HIDTAs

Executive boards for large HIDTAs, for example, tend to have more permanent committees than executive boards at small HIDTAs.

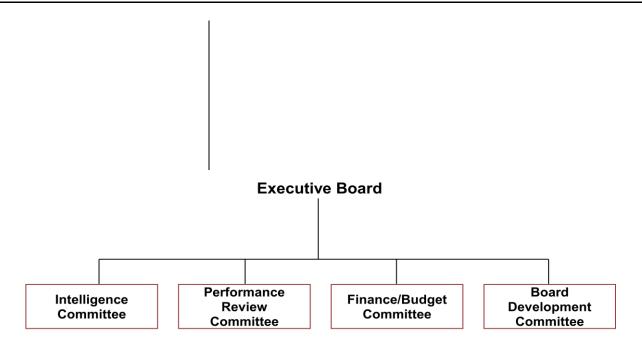
State Boards

Multi-state HIDTAs often establish state boards that review and approve matters prior to submission to the full HIDTA Executive Board. State boards allow more participation in the process and members of the state boards are representatives on the full HIDTA Executive Board.

Committees

Depending on the availability and commitment of board members, some boards frequently use temporary task force committees to accomplish a single purpose, while other boards limit their use of task forces or committees. Temporary task forces, or committees, can be assigned one-time tasks such as the search for candidates to fill the director position.

The following organization chart represents a sample structure for an executive board. Some of the organizational structure is common to all executive boards, but most parts are determined by the executive board's by-laws, preferences, and HIDTA oversight needs.



Best Practice:

The Chairperson and the HIDTA Director should stay in close touch with committee heads.

Best Practice:

Establish a Board Development Subcommittee to provide training and development for board members. The subcommittee might provide a brief presentation at the beginning of each board meeting (15-20 minutes) as well as arrange annual strategic meetings (2 days) for discussion of more indepth issues and training topics.

The Executive Board determines the composition of each committee and each committee's areas of responsibility.

Intelligence Committee

This committee oversees all aspects of the intelligence function including connectivity issues, a standard process for identifying and targeting DTOs, and deciding how funds are committed for intelligence purposes. This committee works closely with the Investigative Support Center supervisor(s) to develop protocols and procedures for handling Investigative Support Center operations.

Finance/Budget Committee

The Finance/Budget Committee oversees the HIDTA budget proactively for future budget needs (strategic budget planning) as well as current spending levels (current budget status). This committee decides how to best use unused funding, reallocating the funds to the greatest current need.

Vision and Mission Statements

The Strategy document states the HIDTA's vision to clarify the direction the HIDTA is intending to go.

The Vision Statement

The vision statement sets the stage for the story that is about to unfold. The vision statement describes the direction in which the HIDTA will go in the next five years, while the mission statement describes the rationale for the HIDTA's existence its core services. The vision statement is usually one or two sentences.

To write a vision statement, first imagine what the future holds for your HIDTA. You do not need to include details about how you plan to accomplish your vision. Merely state where you want to be or what you want to be doing in three to five years. Complete this sentence

In five years, our HIDTA would like to

Useful Keywords

The following keywords may be useful in writing your HIDTA's vision statement: *Coordinate* – key to the HIDTA philosophy Commingle – required by Program Policy Share – key to the HIDTA philosophy Exchange – critical for intelligence Partner – describes the nature of the HIDTA community

Keywords or Phrases to Avoid

You may want to avoid these words or phrases if the meaning is different from your intention. Here are some vague words and the meaning or connotation of each.

Ensure – make sure, guarantee Promote – encourage, support, help, advance to next level *Enhance* – boost, develop, improve Facilitate – needs detail to fully describe; make easy, smooth, make possible, make easy the progress of

Checklist

Use the following list of questions to check your work when drafting a vision statement.

- Does the vision statement reveal where the HIDTA is going? Is it future-oriented?
- Is it meaningful and challenging?
- Is it realistic and attainable?
- Is it clear, concise, and understandable so others can envision it also?
- Does it specify a timeline and a geographical area?
- How long has it been since it was reviewed and revised?



Program Policy: Section 10.3 in Program Policy, 2020, provides guidance for writing vision and mission statements.

Best Practice:

Keep the vision statement to one sentence.



Group Activity 3.1: Writing a Vision Statement

Work in small groups to represent a single HIDTA.

For your HIDTA, prepare a draft of a vision statement that you can take to your executive board for a starting point of discussion. Use the previous checklist to check your work, then post your vision statement on the flipchart for others in the class to see.

The Mission Statement

The mission statement follows the vision statement by providing more detail. The vision statement tells where the HIDTA wants to be in five years, while the mission statement describes how the HIDTA plans to get there. The mission statement justifies the HIDTA's existence.

Writing a Mission Statement

When writing a mission statement, you may want to begin with:

Our HIDTA will

Checklist

Use the following checklist to guide your work when drafting a mission statement.

- Does the mission clearly relate to and support the HIDTA's vision statement?
- Does it fully describe your HIDTA's purpose?
- Does it state what the HIDTA anticipates achieving?
- Is it attainable?
- Is it clearly written and understandable?
- Is it current?



Group Activity 3.2: Writing a Mission Statement

t vision.		

Nature of HIDTA Boards

HIDTA boards are similar to boards of non-profit organizations. These boards have a unique set of characteristics that distinguish them from the boards of forprofit organizations. First of all, board members are expected to bring in resources to the non-profit organization. Similarly, HIDTA executive board members have the power to engage resources from their respective agencies.

While for-profit boards represent the interests of the shareholders and employees of the company, non-profit boards represent the interests of the communities they serve. HIDTA executive boards also represent the interest of stakeholders and communities: In all actions, the board must be following the requirements of grant law and program policy.

Five W's

Non-profit boards rely, collectively, on five talents to succeed in their work.

Work

Participation as a board member requires work (i.e., time and effort).

Wisdom

Board members must have the knowledge and skills to make wise governance decisions.

Wealth

In traditional non-profit boards, board members must donate funds, raise funds, or resign from the board. HIDTA executive boards collectively bring personnel, equipment and resources to the HIDTA that represent costs to them that are usually far greater than the amount of the grant funding they receive.

Wallop

Board members almost always are powerful community or business leaders, with connections to make things happen.

Wit

Successful boards use humor and fun to work as a team to get the job done.

Most non-profit boards struggle with the challenges of raising money and increasing contributions. HIDTA boards, on the other hand, do not raise money since HIDTAs have their own funding.

Perhaps the scarcest of these five resources for high-ranking law enforcement officials is time. This concern for time, then, becomes a primary factor as the board conducts its business.

Unlike private sector boards, HIDTA executive boards generally consist of members who usually are not selected nor volunteers. They are members of the HIDTA Executive Board as a result of committing resources to the HIDTA or as a result of HIDTA Program policy (e.g., prosecutors).

Also, unlike many private sector or government boards, the HIDTA Executive Board is removed from operational decisions by the initiatives. The HIDTA board sets the broad mission and goals and assesses progress and accomplishments. However, most of the executive board's work relates to the administration of the HIDTA Program and its funds.

Best Practice:

Be respectful of the board's time. Keep communications, reports, activities, and time requirements highly efficient.

Discussion

categories? Which are strengths, and which are weaknesses?

How do you rate your executive board in the five W

Characteristics of Highperforming Boards

High-performing HIDTA boards share a number of characteristics and behaviors. As you read this section, consider your own board's work and way of working, and give your HIDTA credit for the areas in which it excels.

Skilled chairperson

High-performing boards almost always rely on a skillful chairperson to guide the team. The chairperson conducts the meetings (extending or restricting discussion) and continuously leads the team in data gathering, analytical discussions, and decision-making. The chairperson represents the executive board in managing the director, and the director should maintain an open relationship with the chair so that the director can go to the chair when problems arise. As the chief operating officer of the HIDTA, the HIDTA Director should help the chairperson to be as effective as possible.

One might use an analogy of a train. The director is the engineer driving the train, but the executive board sets the schedules, the routes, and the timetables. When problems on the board occur, the chairperson is the one who leads the solution, so the ongoing relationship between the director and chair is critical.

Clear direction and priorities

High-performing boards have a clear direction and a set of priorities. Once a year, the executive board develops a list of the priority tasks (perhaps three to five tasks), and develops a strategy for achieving the goals.

Big picture view

High performing boards never lose sight of the big picture. They keep the vision, mission, and strategy in focus as they govern the HIDTA.

Best Practice:

The HIDTA Director should be talking with the chairperson frequently. Maintain a good working relationship.

Best Practice:

Once a year, develop a list of the five most important tasks of the HIDTA.

Teamwork for a common cause

Teamwork is sometimes difficult for HIDTA boards to achieve. When a board is working as a team, no individual agency's concerns are placed above the HIDTA's goals. Members trust one another and feel free to express individual opinions and concerns. Members rely on one another to perform their duties, and everyone performs their assigned duties.

One way to foster and improve teamwork is to plan an annual strategic meeting where board members can work on strategy and team-building exercises.

Another way to foster and improve teamwork is to encourage the executive board to use the HIDTA as neutral ground for working on issues that may affect the HIDTA but go beyond the HIDTA to impact law enforcement in the area. One example might be dealing with policy conflicts between state and local agencies and federal agencies with regard to officerinvolved shootings.

Active participation by all members

High performing boards have 100% active participation. Everyone actively listens and participates in an appropriate manner. Conflicts are resolved by vote if necessary, after hearing all viewpoints. The board makes decisions by vote, and while decisions are made by majority vote, the HIDTA Director, Chair, and Vice Chair should always strive for consensus.

Equal rank of members

Regardless of the individuals' ranks in their respective agencies, HIDTA executive board members have equal rank when they perform their board duties. Of course, each board member carries a single vote. Effective boards do not vote in blocks or special interest groups.

Best Practice:

Record attendance at each board meeting. These records might reveal a need to replace a member too busy to devote the time required.

Best Practice:

Set an agenda in advance and distribute it before the meeting. Indicate which agenda items will require a vote or other action.

Judicious use of limited funds

Many boards develop and maintain a composite "spend plan" for remaining funds. This plan describes the current plan for spending all remaining HIDTA funds, and it reports funds that are not planned for use or funds that are aging and in danger of loss (due to grant expiration). In other words, executive boards should be watchful for idle funds and be quick to redirect unused funds to high priority needs.

Effective meetings

High performing boards conduct effective meetings where everyone has the opportunity to participate. Disagreements are handled in a constructive manner, and participants do not lobby individually or vote in blocks. The board meetings move along at a brisk but thoughtful pace.

Constructive decision-making process

High-performing boards make decisions in a constructive manner. They do not make every decision by consensus, and they rarely use anonymous voting. Board members discuss opinions and disagreements respectfully, and everyone is engaged at all times. Effective boards use ad hoc committees and brainstorming techniques to generate ideas and achieve buy-in.

Judicious use of committees

High-performing boards have few standing committees and use single task committees or task forces to handle ad hoc needs. This practice avoids the bureaucracy and stagnancy that can occur with long-standing committees. They encourage participation by members or their appropriate designees and rotate membership periodically. To keep everyone involved (and no one person overworked), an executive board might limit committee participation to one committee per board member.

Best Practice:

Every agenda should include decision-making activities that require the board to discuss and vote on at least one or two issues. The HIDTA Director should take steps to ensure that the board's time spent together encourages members' active engagement and participation.

Constructive use of clout

When obstacles to the board's goals develop, an effective board utilizes its resources to overcome the obstacle. This might be using one board member's individual clout to get something accomplished more quickly than standard protocol allows. High-ranking power is a strength of HIDTA executive boards. A high-performing HIDTA Executive Board will have energized members who readily volunteer resources, connections, and other support to accomplish an important activity. HIDTA board members are expected to use their positions to make things happen.

Keep in mind that each HIDTA executive board member represents an entire pool of resources and collection of talent at their agency. Energized board members do not hesitate to draw from their talent pool.

Performance measurement

Effective boards rely on performance measurements to check the HIDTA's performance. (Note that the HIDTA's performance reflects the efforts of the executive board, the director, and the task force operations.) Board members need to fully understand the performance indicators, criteria, and measurements, so they can continuously assess how the HIDTA is doing.

The Program Policy states that the board is responsible for establishing an evaluation program for initiatives, and the HIDTA Director is responsible for the process of conducting the evaluations. The executive board is responsible for reviewing the results or findings of the HIDTA Director's initiative performance reviews. High-performing executive boards review performance measurements at each meeting as a way of keeping a check on the HIDTA's progress towards its annual goals.



Best Practice:

One quick assessment for almost any activity (including board meetings) is to poll the participants and ask them to make three short lists:

- 1. What is working well?
- 2. What is not working?
- 3. How should we change things?



Best Practice:

Provide the results of past internal reviews to incoming board members, so they can see the full cycle of performance measurement and its effect on initiatives.



Best Practice:

Include a brief board education topic at the start of each meeting.

Continuous education of board members

High-performing boards are very knowledgeable and skillful in conducting board business. To keep the board up-to-date and continuously improving, each meeting should include a 15- to 20-minute educational topic.

Continuous information flow to board members

Boards are required to meet at least quarterly, but effective boards stay engaged at all times. Regular activity reports and summaries are an excellent way to keep the board current and comfortable with the progress of the HIDTA between quarterly meetings.

Group norms

Whether vocalized or not, every group develops its own set of norms, or rules for acceptable behavior. Most executive boards, for example, have the norms to start on time and to take turns expressing ideas (without interruption from others). Most new group members quickly assimilate to the group's established norms, but it doesn't hurt to formalize the norms and publish them so that everyone acknowledges them (and agrees to abide by them).

At one board meeting, for example, use 10 minutes or so to develop a list of group norms, and document the norms in the minutes or on a flipchart. When new members join the group, share the list of norms with the new members, and refer to the list to control wayward behaviors. An executive board might develop this list of group norms:

- 1. Arrive on time and prepared.
- 2. Respect one another.
- 3. Promote ideas for the good of the entire HIDTA over individual agency interests.
- 4. Check egos at the door.



Best Practice:

Develop and establish a list of norms for the executive board members. Share it with new board members to ease the transition.

Best Practice:

One of the best assurances of compliance is widespread knowledge of HIDTA policies.

Best Practice:

Continue learning; Find books and current online resources by searching for

- Working with executive boards
- Meeting facilitation

Sufficient and effective local policies

Each HIDTA Executive Board is responsible for creating any necessary written operating procedures, guidelines, and other policy documents to guide all HIDTA participants in adhering to the HIDTA Program requirements. (See Program Policy, Section 3.4.6.)

The set of local policies should "fill in the gaps" of the HIDTA Program Policy about how the HIDTA operates, reflecting the local HIDTA's mission, strategy, and value system.

In general, **effective** policy has the following attributes:

- Clearly explains and documents policies; is published and distributed to all HIDTA participants
- Is unbiased and applicable to a wide audience under a given set of conditions without numerous exceptions
- Is reasonable and supportive of HIDTA policies; in line with HIDTA philosophy
- Is authorized and endorsed by the executive board
- Is enforceable and is enforced; verifiable



Natural Challenges for HIDTA Boards

HIDTA executive boards have inherent challenges stemming from the board's composition and from HIDTA policies themselves. Some of the innovative policies have secondary downsides, so knowing in advance about these natural challenges can help the board deal with these issues.

High turnover

Because the HIDTA chair and vice-chair positions are limited to one year each, the HIDTA Executive Board experiences high turnover in its leadership. This turnover stems from planned rotation of incumbents, career changes, retirement, and even elections (in the case of state and federal appointments).

To meet this challenge, it is critical that you have an effective orientation program in place to bring new members quickly up to speed. The written Threat Assessment, Strategy, and Initiatives/Budgets can be supplemented with current status and a summary presentation to the new board member.

Dual allegiance

Because HIDTA executive boards have participants who are employed by local, state, and federal law enforcement agencies, the board members often have trouble stepping outside of their respective agency roles for the good of the HIDTA. For example, one agency participant may be tempted to vote against terminating an initiative in which his agency holds a large stake.



Best Practice:

Even the most efficient executive board can be upset by a single board position replacement. Be ready with an orientation program, and be quick with the relationship building.

Appointed members

While appointing board members has certain advantages, one possible downside is that the board does not have the opportunity to seek and obtain the talent it needs. If you view the board as a self-governing collection of talent, you might prefer to recruit the talent you need to fill deficiencies and optimize board knowledge and experience.

One way to overcome this possible limitation is to seek and obtain temporary talent for only the task at hand. For example, if the board needs to make a decision about a new technology standard and board members are not very knowledgeable about the technology, the board may decide to task a temporary committee to research the technology. The temporary committee can draw talent from the rank and file of the participating agencies to fill the need.

Variety of experience and skill

As much as the variety of experience and skill can be an asset, it can also be a liability to an executive board. Crossfertilization of ideas is important, but shared understanding and adequate field experience are equally important.

One way to handle the liability side of this board characteristic is to self-manage the board's collective decision-making. Those with less field experience or knowledge in a given subject area should readily defer to those with great knowledge or field experience. Recognize each board member's area of expertise and potential contribution, but also be open to fresh ideas from other perspectives.

Distance and schedule

Use teleconferencing or Web-based meetings to allow participation by remote board members.



Best Practice:

Ensure the board is fully informed of issues, alternatives, and recommendations prior to the meeting. Like Congress, the voting should be known before the issue comes to the floor.



Best Practice:

To control absenteeism, set a local policy to review the membership of any board member who misses two consecutive meetings.

Alternates

Most HIDTA executive boards allow alternates to serve temporarily in the place of standing board members. This policy can be either positive or negative in its effect. On the positive side, alternates can reduce absenteeism and, in some cases, bring valuable expertise in a particular subject area. In other cases, however, the alternates might not be as knowledgeable as the absent board member. In those cases, the alternates are merely a figurative placeholder.

If alternate is regularly standing in for the board member incumbent, the board might (informally) encourage the absent board member to permanently name the alternate as a replacement. In some cases, the board may establish a list of principle board members and a list of permanently designated alternates, and allow only the permanently designated alternates power to vote in place of the frequently absent board member.

Tools and Techniques for Improving the Board

The following table provides a list of some of the most common problems experienced by HIDTA directors and executive boards. The following list is not exhaustive, and recommendations have to be considered in light of your own circumstances, but the list does provide ideas for solving problems.

Problem	Possible Cause	Recommendation
High turnover	HIDTA policy and appointed agency participants	Provide orientation to new board members. Immediately initiate relationship with new member.
	Lack of ownership (small budget doesn't motivate	Provide ownership and motivating factors such as giving credit for an innovative task force idea or public credit for ideas or agency contribution.
Lack of motivation	participants) Hidden agendas	Reveal and address hidden agendas.
		Let the board member be the spokesperson to the press; let the board member have photo appear in paper, if allowed at your HIDTA.
Board tries to micromanage	Executive board doesn't trust director/executive board doesn't understand or abide by defined roles	Try relationship-building activities. Keep executive board informed early and accurately to build trust. Clarify roles (by policy, standard procedures, discussion).
Director has little operational power, yet is measured for performance of others	HIDTA policy	Provide guidance and oversight to HIDTA staff and initiatives. Establish checks and balances. Get regular status reports.
Downward delegation	Structure of board Chair not taking responsibility Tree diagram missing	Discourage inappropriate delegation. Allow delegates to participate as "outside talent" to temporary committees or task forces.

Tools and Techniques for Improving the Board

Problem	Possible Cause	Recommendation
Absenteeism	Board member doesn't have time or commitment	Take attendance at each meeting. Record and publish an attendance record in conjunction with the minutes. Encourage board members to reassign another person to the board position. Use alternates for sudden absences, but do
		not allow alternates to vote.
One or two members don't buy into the mission	Individual agendas are more	Relationship building; talk with these members individually to convince them of the importance of HIDTA and the importance of their contribution. Appeal to their sense of community.
	important than the overall HIDTA agenda	Get them involved in a leadership role, such as a committee assignment.
		Engage the peer leadership of the Chair, Vice Chair, and other executive board members.
Board members not engaged		Assign them a meaningful project or work such as presentations to the board, committee position, etc.
	No commitment, no ownership	Strengthen the one-on-one relationship with the chair and with other board members. Assign the board member a mentor.
One or two quiet board members	Members may feel shy or less important than other members	Encourage them to provide input; explain their value. (For example, a rural perspective can provide insight to an urban problem.)
	•	Develop one-on-one relationships between HIDTA Director and other board members.



Group Activity 3.3: Can This Relationship Be Saved?

Instructions

The instructor will provide several examples of HIDTA participants who are experiencing trouble. Divide into teams and discuss each situation. As a group, identify at least one probable cause for the current situation and at least two suggestions to correct the problem. In most cases, your recommended solution will require time to fully implement, so do not limit your solutions to "quick fixes."

cenario A		

Scenario B
Scenario C

Key Points

- Executive board members must read and comply with the HIDTA Program Policy and Budget Guidance, 2020. It contains policies concerning the board's organization, chairmanship, membership, and responsibilities to the HIDTA.
- The executive board can organize itself, using committees, to best serve its needs.
- The HIDTA Executive Board provides local oversight and governance to the HIDTA, and ONDCP provides national governance and oversight to the HIDTA Program.
- High performing boards have several notable characteristics, including:
 - clear direction and priorities
 - team environment with all members actively participating in equal rank
 - wise use of meeting time and judicial use of committees
 - continuous education to board members
 - regular review of performance measurements progress
 - optimal use of individual members' clout, resources, connections, and talents
- HIDTA boards have several inherent challenges that must be constructively addressed to ensure optimal performance.
- Almost every problematic situation can be improved with good relationships between the participants and a team approach to meeting the agreed upon goals.

Identify a few ideas from this module that you intend to implement at the earliest opportunity and write them in the space provided.

1.	
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Learning Outcomes

At the end of this module, participants will be able to:

- List three or more responsibilities of the HIDTA Director prescribed by program policy
- Identify two or more techniques that promote cooperation and coordination among HIDTA participants
- List several critical roles effective leaders perform and give examples of good practices in each role
- Explain how the HIDTA Director monitors performance
- List three or more critical success factors to HIDTA directors
- Identify common ethical issues faced by HIDTA participants

Overview of the Director's Role

The HIDTA Director serves as the chief executive officer (CEO) of the HIDTA, and works with the executive board the same way any CEO interacts with his or her board of directors. As such, the HIDTA Director oversees all HIDTA operations to ensure participants are pursuing the strategy and goals of the HIDTA as documented in the Strategy for the current year. The HIDTA Director ensures all participants comply with HIDTA policy, including fiscal policies.

The HIDTA Director is prohibited from involvement in the day-to-day operations of enforcement and intelligence initiatives. Task forces have designated commanders to lead day-to-day operations. However, the HIDTA Director is actively engaged in management and many support initiatives.

This module describes in detail all aspects of the director's position, including working effectively with the governing HIDTA Executive Board.

Terms of Employment

The executive board selects the director, notifies ONDCP, and then hires the director. The director is most likely a contractor to the HIDTA's fiduciary, but the director could be an employee of any agency working with the HIDTA. The HIDTA Director reports to the HIDTA Executive Board. Upon assuming the position, the Executive Director must obtain and retain, at a minimum, a top secret national security clearance.



Program Policy: Section 6.3 of Program Policy, 2020 describes the qualifications and requirements of the HIDTA Director.

Responsibilities Assigned by **Policy**

Administration

The HIDTA Director manages the day-to-day administrative, financial, and program requirements of the HIDTA by following and implementing the policies and guidelines of the executive board and ONDCP.

The HIDTA Director has administration and coordination duties of all initiatives but has direct supervisory control over only the management and coordination initiative, the training activities, and information technology activities.

Policy compliance

The HIDTA Director is responsible for overseeing all HIDTA activities to ensure they are in compliance with national HIDTA Program policies, as well as local policies set by the HIDTA Executive Board. The HIDTA Director serves as the point of contact between the HIDTA Executive Board and ONDCP.

Performance measures

The HIDTA Director assists task force commanders and participating agencies in developing measurable outputs, and the director develops a process to verify that reported performance data are accurate.

Program documents

The director oversees the development of the four major document requirements: Threat Assessment, Strategy, Initiative Descriptions and Budget Proposals, and the Annual Report.

Best Practice:

Consider formally documenting each participating agency's commitment with MOUs (memorandums of understanding).

Separate MOUs can be issued at the agency level and at the individual initiative level. MOUs can prevent misunderstanding later.

Certifications

The HIDTA Director is responsible for obtaining the required certifications from participating agencies. The HIDTA Director must keep some of the required certifications on file (e.g., supplanting certifications), and others must be forwarded to the National HIDTA Assistance Center (e.g., certifications that accompany the SF-424 grant applications).



Program Policy: Refer to Section 6.3 of Program Policy 2020 for more information about the director's responsibilities regarding certifications.

Additionally, new certifications requirements may be added and announced by the Assistant Deputy Director of the Programs Office. One important certification requirement assures ONDCP that all participants report methamphetamine laboratory seizure data to the national clandestine laboratory database at the El Paso intelligence and information sharing initiative (EPIC). This certification is due to ONDCP on June 15th as part of the budget package; ONDCP cannot award funds to entities not complying with this program requirement.

Cooperation among participants

The HIDTA Director, together with the HIDTA Executive Board and its various committees, is responsible for implementing the HIDTA Program. This includes serving as the point of contact between the HIDTA Executive Board and ONDCP and representing the HIDTA at all national forums and program committees.

The HIDTA Director develops a process for participating agencies to coordinate activities and share information.

Property control

The HIDTA Director ensures that HIDTA-funded property and equipment are being tracked and used according to program policy. The HIDTA Director ensures that participating agencies that hold title of HIDTA property adequate tracking systems and the property and equipment is used to the maximum benefit to HIDTA initiatives.

Financial management

The HIDTA Director is responsible for ensuring that HIDTA funds are expended and managed in accordance with program policy. The HIDTA Director approves reprogramming requests, submits extension requests on behalf of the grantees, and serves as the award recipient's point of contact for resolving problems regarding fiscal management.

Note: Although Program Policy states that the HIDTA Director submits the extension requests, the executive board is very much involved in extensions of grants. Executive boards receive reports regularly to constantly monitor available grant balances and review plans to use the remaining funds, so unneeded funds can be readily identified and redirected to initiatives in need of additional funds.

Internal program review

The director develops a process for and conducts annual internal reviews for the HIDTA initiatives. The review inspects each initiative's:

- activities (compared to the proposed activities submitted as the Initiative Description and Budget Proposal document during the budget process),
- compliance with program policy, and
- achievement of its performance targets.

The director provides a written report of each initiative's review to the HIDTA Executive Board and to the initiative supervisors, keeping the written report for 3 years.

Orientation program for new participants

The HIDTA Director is responsible for developing an orientation program for new board members, new participating agencies, and new initiative supervisors.



Program Policy: Refer to Section 6.3 of Program Policy 2020 for a full list of the director's responsibilities.

Suggested Management **Practices**

The following suggestions are ideas that onsite review teams have commended HIDTAs for as good business practices. Consider adopting one or more of these ideas to improve HIDTA management.

Memorandum of Understanding

HIDTAs should consider implementing MOUs for all agencies participating in the HIDTA. The MOUs should identify each participating agency's commitment of personnel and other resources and could include:

- A mandate to present HIDTA-purchased equipment/property for inventory
- A pledge to reduce the level of HIDTA funding expended on salaries and overtime for enforcement personnel
- A mandate to use case and subject deconfliction procedures
- An agreement to provide personnel to the intelligence and information sharing initiative along with requirements on how to access intelligence information through each.

Innovation and Teamwork

The HIDTA Director fosters innovative approaches to drug law enforcement. This may involve continuous communication with other HIDTA Directors to exchange ideas, as well as open communication with law enforcement agencies. The director's attendance at various law enforcement conferences contributes to this information sharing and exchange of innovative ideas.

For example, if the director learns of a new approach or technology being used by a non-participating agency, the director may contact the agency head and arrange for meetings, information sharing seminars, and other forms of information sharing so other HIDTA participants can learn of the new approach or technology and consider including it into current HIDTA operations. This is only one example of how the HIDTA Director might engage himself or herself with the drug law enforcement community to further the collaborative efforts of the HIDTA participants.

Standard Operating Procedures Manual

Regional HIDTAs should create and maintain standard operating procedures to guide administrative, fiscal, and operational personnel. The HIDTA Director can keep a watchful eye on current issues and needs, and propose operational procedures to the executive board for approval. Documenting and distributing policies and procedures increases the likelihood of compliance and process improvements.

Be sure standard operating procedures are reviewed and approved by your executive board.

Fiduciary requirements

Consider including fiduciary requirements in the Standard Operating Procedures manual. You might, for example, state that fiduciaries must have the ability to track procurements for the HIDTA. The Standard Operating Procedures may require that fiduciaries pay invoices or submit paperwork in a timely manner to avoid late fees, and require the fiduciary to absorb late fees if incurred. The fiduciary must ensure expenditures are reimbursed in accordance with approved budgets.

Federal agency reporting

The Standard Operating Procedures manual should also describe the requirement and format for federal agencies to submit quarterly financial status reports and procurement reports. By policy, federal agencies must report quarterly the remaining account balances of their awards' approved budgets.

Personnel

The Standard Operating Procedures manual should describe policies and procedures for HIDTA-funded personnel. Such policies include pay scales, titles, promotions, and terminations. HIDTAs should have up-to-date job descriptions for all HIDTA-funded administrative positions.

The manual should also identify individuals, such as fiscal officers, inventory control specialists, and so forth, to serve as backups to key administrative personnel in the event of extended absences.

Best Practice:

Use a bar coding software program to assist in tracking inventory.

Inventory tracking

Include policies relating to property/equipment acquisition and tracking in the Standard Operating Procedures. Include a standard process for transferring HIDTA-funded equipment and property from one task force commander to another.

Equipment pool

Consider storing all surplus HIDTA-funded equipment and property in a central location for all initiatives' use. Not only is this a good inventory tracking aid, it also reduces duplication of equipment.

Security for sensitive or personally identifiable information

Create policies and standard operating procedures to ensure protection of sensitive or personally identifiable information as required in the Uniform Guidance, 200.303.

Be sure to provide for situations where broken or defective computers leave HIDTA facilities for repair. For example, the local HIDTA policy may require removal of the hard drive or sensitive material on the hard drive before sending HIDTA computers to an off-site repair center.

Best Practice:

Purchase adequate liability insurance for the HIDTA Director and the Deputy Director. HIDTA pays for it.

Legal Hazards

There are several potential legal hazards to the HIDTA Director. For example, the HIDTA Director could be named in a lawsuit involving a wrongful death or questionable shooting by a task force officer, even though the director has no operational involvement in the task force.

Procurement contracts and subsequent legal actions could also name the director as a party to a legal action. All of the hazards to managers and employers (EEO, employee theft, etc.) could also affect the HIDTA Director.

Every director should acquire liability insurance, at HIDTA expense.

(i) Important: Contact the Director of the National HIDTA Assistance Center for information on nationwide insurance.

Monthly/Quarterly Task Force Meetings

Consider conducting monthly or quarterly task force meetings for the task force commanders to share enforcement information/intelligence and to receive updates to the administrative procedures.

Monthly/Quarterly Status Reports

Some HIDTAs require task force commanders to submit monthly or quarterly statistical reports to the director and/or to the Investigative Support Center.

Status reports serve to document the initiative's progress toward achieving expected outputs. Additionally, these reports can assist the executive board in its ongoing evaluation of initiative performance. Status reports keep the director up to date regarding enforcement accomplishments and progress of the initiatives as well assisting in the preparation of the HIDTA's Annual Report, which is not required, but recommended.

Most HIDTA directors and deputy directors belong to the National HIDTA Directors Association, an independent organization that addresses external issues such as legislative and Congressional affairs.

Participation in the HIDTA Directors Committee (HDC)

All HIDTA directors interface with the HDC-either directly or by way of a fellow HIDTA director serving as a representative. HIDTA directors should be actively involved in the current issues of the HDC, and should contribute ideas, suggestions, and feedback about policy impact, policy direction, and local best practices.

Leadership of a HIDTA

So far in this module, the discussion has focused on the program's policy requirements and administrative details for running a HIDTA. Now, let's turn to the issue of leadership—which is quite different from management.

As Leader

In their study of effective leaders of non-profit organizations, Herman and Heimovics identified four characteristics of effective leaders.

1. Executive centrality

Effective chief executives recognize their centrality to the whole system. The chief executive accepts the responsibility for developing, promoting, and enabling the board's effective functioning.

2. Board-centered leadership style

Effective chief executives develop a board-centered leadership style that includes:

- Facilitating interaction in board relationships
- Showing consideration and respect toward board members
- Envisioning change and innovation for the organization with the board
- Providing useful and helpful information to the board
- Initiating and maintaining structure for the board
- Promoting board accomplishments and productivity

3. Boundary-spanning

Effective chief executives "spread their wings" and expand to the limits of their boundaries. Recommendations include:

- Spending time on external relations
- Developing an informal information network
- Knowing your agenda and use strategies such as
 - a. Dramatizing events
 - b. "Laying a bread crumb trail"
 - c. Keeping things as simple as possible
- Improvising and accept multiple, partial solutions

4. Political framing

Effective executives are more likely than others to use a political frame, although other frames are also useful. There are four distinct frames that leaders acknowledge and use to further their agendas:

Structural frame – adheres to accepted standards, conformity to rules, and creation and use of administrative systems to provide form and logic; this is the most frequently used frame of effective leaders, but other frames can also be employed.

Human resource frame – searches for balance between the organization's goals and the individual members' hopes, feelings, and preferences.

Political frame – resolves conflict and builds alliances and networks with prominent actors or stakeholders internal and external to the organization; leader exercises his personal and organizational power and is sensitive to external factors that may influence internal decisions and policies.

Symbolic frame – views organization as cultural and historical system of shared meaning and group membership; determines individual interpretations of organizational phenomena; leader evokes ceremonies, rituals, or artifacts to create a unifying system of beliefs.9

Best Practice: Don't rely too heavily on politics; other frames are useful also.

⁹ Adapted from: R. D. Herman and R. D. Heimovics, "Executive Leadership," in The Jossey-Bass Handbook of Nonprofit Leadership and Management (San Francisco: Jossey-Bass, 1994) 137-153.

As Facilitator

By now you see the importance of the HIDTA Director to the overall communication and cooperation between the task forces. In many cases, the HIDTA Director must facilitate meetings, both formal and informal, to accomplish collaborative tasks and to make group decisions.

The most important elements to consider are the audience and the message to be delivered. The combination of these two factors affects what type of communication form is best to serve your needs.

Face-to-face meetings

Use face-to-face meetings to build relationships and to generate creative thinking. Face-to-face meetings are useful to explain complex situations or issues, and often help build group consensus.

Teleconferences

Use telephone conferences when logistics do not permit group meetings. Teleconferences are useful for reviews, status reporting, and discussions. Beware, however, that participants in teleconferences are easily distracted by their current environment, and do not be surprised to hear the tapping of the keyboard during the call.

Email to individuals

Send a personal email for disseminating information without discussion. For example, when you need to make an announcement of a policy change, email is a good means for communicating the news. Not only is it uninterrupted, but it also serves as a permanent record for audit trail as well as a useful reference for the future. The recipient can re-read the email whenever needed in the future, or pass it along to others who are also affected by the announcement.



Continue learning; Find books and current online resources by searching for"

- Negotiating skills
- Leadership skills

Successful Meetings

There are many books and articles suggesting good practices for conducting effective meetings, so this section will only summarize some of the more widely recommended best practices for meetings. If you were to write instructions for conducting an effective meeting, the steps might look like this:

Prepare an agenda.

Analyze the audience. Set meeting objectives.

Invite and confirm the meeting participants.

Invite the right people.

Follow the agenda.

Move unnecessary topics offline from the meeting.

Require active participation.

It is easier for participants of a small group to participate than those of large groups.

Create and distribute meeting minutes.

Keep them brief and include a list of action items.

Best practices for meetings

Additionally, here are some best practices for meeting facilitators:

- Start and stop on time, but be flexible to extend topic discussion as needed. Check with the meeting participants before changing the agenda (e.g., expanding discussion time).
- Announce the agenda at beginning of the meeting and set ground rules for the meeting. For example, the facilitator may say we are here to gather ideas on how to solve a particular problem, but we are not going to discuss changes needed by the national HIDTA policy.
- Assign a timekeeper and inform meeting participants of time checks. Assign a scribe to take meeting minutes.
- Respect all opinions, even if you do not necessarily agree with them.
- Do not allow a few participants to dominate the meeting. Draw out the non-participants; corral the over-zealous, dominating participants.

Managing Conflict

While most people associate conflict with negative thoughts (tension, arguments, hurt feelings), conflict actually holds great value in a positive way (diversity, creativity, experience, knowledge). Well handled, conflict can energize a team's performance and lead to a larger set of choices, yielding highly productive results. Imagine the stagnant team whose members all think alike, share agreement on virtually every point, and never discuss differences in opinions, experiences, or knowledge!

Common responses to conflict are:

- **Avoiding** can be useful if there is little chance for successful problem solving or compromising.
- **Smoothing** can be useful when the issue is not important or when there is little chance for successful problem solving.
- **Forcing** this strategy attempts to overpower others; only use this strategy when personal opinions and goals are very important and relationships are of little importance.
- **Compromising** this strategy requires everyone to give up something, so resentment may result. No one achieves his or her goals, so often this strategy leads to low satisfaction and low commitment to the solution. Compromise may be appropriate after problem solving has not worked.
- **Problem solving** also known as collaboration, this strategy aims at considering diverse viewpoints, clarifying issues, and clearing the air so everyone can move forward together. Problem solving is appropriate when issues are important and there is sufficient time to understand and explore causes of the conflict and discover the acceptable solution. Problem solving requires ample time, energy, trust, and creativity, so if these are not available, problem solving is not likely to succeed.

As part of the monthly DHE operation, the troopers pulled over a speeding vehicle with heavily tinted windows.

The trooper called in the driver's and passenger's information to the HIDTA Watch Center, which was assisting with additional intelligence support.

A background check revealed two felony warrants outstanding, and the troopers apprehended the fugitives without incident. The troopers radioed Sergeant Fouraker who came to transport and process the fugitives for booking some 20 miles away.

Relieved of their processing obligation, the troopers returned to the road for the next stop.

Supporting Task Force Needs

Although the HIDTA Director doesn't directly supervise the day-to-day operations of the task forces for enforcement and intelligence, the Director can and should support task force operations whenever and however possible. The task force supervisor may call on the Director to resolve conflicts and roadblocks. The HIDTA Director is in a unique position to bring together regional resources and to structure an operation to maximize the success. The Domestic Highway Enforcement program is one such initiative that benefits from the HIDTA Director's involvement.

Domestic Highway Enforcement – A Case Study

The Domestic Highway Enforcement (DHE) program is an interdiction program that can be supported by HIDTA funds. The mission of DHE is:

> To provide a regionally based Domestic Highway Enforcement (DHE) strategy for implementation by federal, state, local, and tribal law enforcement agencies participating in the HIDTA Program.

Sample operation

The Florida Highway Patrol coordinated a two-day domestic highway enforcement operation with participants from:

- Florida Highway Patrol
- Jacksonville Sheriff's Office
- HIDTA's Investigative Support Center (ISC)

The operation involved six K-9 units and 18 officers. Additional support staff included detectives, intelligence analysts, and sheriff's deputies.

Organization and structure

Participants in the sample DHE operation in Jacksonville, Florida, were grouped into four teams, patrolling in pairs.

To maximize the officers' road time, one sergeant handled the transportation of all arrestees to the central booking location. This service allowed officers unfamiliar with the local area to increase road time and reduce processing time.

Funding

All participating agencies funded their own personnel during the two-day operation. "By requiring the agencies to pay a portion of the cost, the agencies have an automatic buy-in to the operation," as one lieutenant explained.

The HIDTA funded the officers' hotel and gasoline. The HIDTA funded additional hours of coverage from the Investigative Support Center, which conducted license checks and other requested investigative support.

How the HIDTA Director supports the DHE

The HIDTA Director can be a critical success factor in the success of DHE operations. The HIDTA Director can locate and negotiate funding from similar enforcement initiatives within the HIDTA, as well as sources of non-HIDTA funds.

The HIDTA Director can remove barriers and open communication channels among participants and resources, and can provide HIDTA-funded resources to support planned operations. For example, the HIDTA Director can authorize overtime for analysts in the Investigative Support Center during surge periods, when the local dispatching desk might be overwhelmed.

"Pull him over before he hurts someone." Trooper Boyd advises his partner. Both troopers see the erratic behavior as a sign the small pick-up truck is heading for trouble.

Minutes later, the trooper calls for a "dog walk" and Jake-O immediately alerts on the truck's passenger door. Scratching furiously, Jake-O uncovers his find.

The troopers find a few grams of hydroponic marijuana stashed in a menthol cigarette pack in the glove box and confront the driver a CDL license holder who had just finished his long-haul duty in an 18-wheeler.

The troopers shake their heads in disbelief at the horrific accident that could have happened had the driver been in his big rig instead of his off-duty small pick-up.

"There are no statistics for the statistics we prevent," Trooper Boyd muses.

There are countless ways that a HIDTA Director can provide ad hoc support for DHE operations, but most importantly, the HIDTA Director stays involved in the DHE program, so he or she immediately knows where and when HIDTA support is most needed.

More about DHE - evolving best practices

The collective group of DHE participants meets annually to share and discuss best practices that evolve from repeated operations. Here are some sample best practices discovered so far:

- The DHE participants should plan to stagger each state's operations so that states do not conduct operations simultaneously or on a predictable schedule.
- Each agency participating should have significant "buy-in" to the operation. For example, HIDTA funds pay for overtime, and each officer's parent agency funds the regular hours and travel expenses.
- Agencies outside of the HIDTA region should be invited to participate if they have personnel who meet standards for training in interdiction operations.
- Fully brief participating officers about procedures, paperwork, and local crime concerns.
- Anticipate high volume: Plan for timely processing of bookings, streamline paperwork, expand Watch Center staff during surge period, strategically distribute K-9 units across area, etc.

Monitoring Performance

The HIDTA Director monitors both individual initiative performance and overall HIDTA performance.

Initiative Performance

By program policy, each HIDTA Executive Board must establish a program for reviewing each initiative on an ongoing basis—at least annually. The HIDTA Director is a member of the review team, often a committee approved by the executive board, but the responsibility can be delegated to a Deputy Director or other staff member if desired. Specifically, the review team ensures that each initiative is

- Complying with program requirements (e.g., recording PMP data appropriately and regularly)
- Implementing its portion of the strategy (as written in the initiative description and budget proposal)
- Producing the intended outputs to warrant continued funding

This means the review team looks at a variety of measures and indicators including

- Number of personnel (fulltime and part-time)
- Assignment of vehicles and cell phones
- Number of individuals assigned to the initiative and level of staffing (e.g., full-time or part-time as planned)
- Budget data
 - Amount remaining
 - Rate of spending
 - Reprogramming transactions



Program Policy: Section 5.14 Program Policy 2020 describe the responsibilities of the executive board and the director for performing annual initiative reviews.

Notice that the Performance Management Process is directed at the HIDTA, not the HIDTA Director or individual initiatives.

Best Practice:

To fulfill the duties of monitoring the HIDTA's performance measures. HIDTA directors recommend these practices:

- Impress upon the executive board the importance of performance measures: each meeting begins with a current status report on performance measures
- Designate a position as PMP Coordinator to ensure consistent and timely data recording, constant monitoring, and continuity of attention.
- Implement regular and frequent review of performance measures between each task force supervisor and the PMP Coordinator.

HIDTA's Performance

In addition to monitoring initiative performance, the HIDTA Director also monitors the HIDTA's performance. All of the measures of initiative performance mentioned earlier also apply to the monitoring the overall HIDTA; however, the Performance Management Process (PMP) is a key monitoring tool for the HIDTA.

Module 7 fully describes the Performance Management Process for measuring a HIDTA's performance, but here is a brief summary for the purpose of defining the HIDTA Director's role.

PMP at a glance

In summary, the Performance Management Process requires initiative commanders to project performance for the next program year. The performance targets set for individual initiatives collectively make the HIDTA's performance targets, and PMP is best used as a measure of the overall HIDTA's performance rather than any one initiative's performance.

Director's role in PMP

During the budget preparation period each year, the HIDTA Director assists with negotiating performance targets with ONDCP.

The director ensures initiative data is keyed accurately and on a timely basis throughout the program year.

According to Program Policy, initiative performance data must be keyed at least quarterly. Additionally, the HIDTA Director must verify that the performance data recorded is both accurate and valid. This means the HIDTA Director must ensure that every participant shares the same definition of outputs that can and cannot be counted, and the director ensures everyone involved knows the current definitions used for recording data.

Most importantly, the HIDTA Director monitors the performance measures constantly for early signs of problems.

PMP Coordinator

HIDTA's create the position of PMP Coordinator to manage the HIDTA's performance measures and keep the HIDTA Director informed. The coordinator's responsibilities may include keying data for initiatives, coordinating standards across the initiatives, reporting monthly or even weekly progress, and keeping the HIDTA Director apprised of progress.

Review teams

Some HIDTAs use compliance review and peer review teams to monitor compliance with performance measurement requirements of Program Policy.

Best Practice:

Verify at least monthly that initiative commanders are current in the keying of performance data into the WebPMP database. Don't allow initiatives to fall behind.

Ethical Issues

Ethics become an important issue when dealing with government money because of the legal consequences of violating federal laws and regulations. Here is a brief list of some of the more common ethical issues encountered in managing HIDTA funds:

- HIDTA property being used for non-HIDTA purposes
- Double-dipping: being paid twice (by different sources) for a single expenditure
- Conflict of interest: making purchases with HIDTA funds on behalf of the agency, yet receiving personal gain (commission, incentive, etc.)
- Not reporting suspicious or illegal activities to authorities
- Keeping rebates, incentives, or rewards for purchases made with HIDTA funds for personal use

For the purpose of our discussion, "personal" gain extends to family members.

Best Practice:

For common problem areas, the regional HIDTA Executive Board can create a policy to prevent abuse.



Potential Issue

You notice during the budget process that one agency has requested a new photocopy machine, yet because of its location in a busy, public place within the agency, you are certain that the photocopy machine will be used for non-HIDTA work.

You learn the purchasing agent for the county police department is executing requisitions to the office supply store where her husband is a manager. They usually do have the best prices in town, but the purchasing agent has broadcast that her husband is aiming to win the national sales award which involves a trip to Hawaii.

Group Activity 4.1: Ethical Issues

For each issue below, provide a recommendation on how to proceed, if you think action steps are needed at all.

Recommendation or Action Steps

1.			
2.			

Critical Success Factors

Many policies, ideas, and best practices are set and shared among HIDTAs. Here is a list of several critical success factors that every HIDTA Director should consider.

Carry out the mission, vision, and strategy

The executive board develops the vision and mission for the HIDTA. Following the HIDTA's vision and mission, and with guidance from the executive board, the HIDTA Director coordinates the preparation of the Strategy document, which the executive board reviews and approves. The HIDTA Director, in concert with the executive board and other HIDTA participants, develops the initiatives and budgets to carry out the strategy. The HIDTA Director is the operational link for developing the strategy to accomplish the HIDTA's mission, developing the initiatives, and justifying the budget proposals.

Monitor performance

The performance measures ONDCP establishes for all HIDTAs provides a starting point for monitoring individual HIDTA performance, but that isn't the full extent of monitoring required. Be watchful of all indicators of success or areas of concern within HIDTA operations.

Work closely with the board chair

The communication between the executive board's chairperson and the director is critical to success. The chairperson is the nearest thing to a "boss" that the director has, so the director should be in frequent communications. The director should team up with the chairperson and allow the chairperson to "run interference" with the rest of the board. If problems occur, the director should discuss them with the chairperson before approaching any individual board member.

Build relationships

Because the HIDTA Director works for the executive board, establishing productive relationships with board members is critical. This does not mean that directors always agree with board members (and board members do not necessarily agree amongst themselves), but the environment should allow open and frank discussions that respect and consider opposing viewpoints.

The HIDTA Director also relies on good working relationships with HIDTA participants from various agencies to exchange ideas and foster a cooperative environment—all working toward a common goal.

To foster mutual respect, mutual trust, and honest relationships among the board members and the HIDTA Director, consider these practices.

- Provide open access of the HIDTA facility to board members
- Find ways to support participating agencies with requests for assistance
- Participate in other meetings, conferences, an events that are attended by HIDTA Executive Board members such as:
- Consider a Law Enforcement Coordinating Committee
- Attend Organized Crime Drug Enforcement Task Force (OCEDTF) conferences, local luncheons, retirement celebrations, and award ceremonies
- Formally recognize service of subordinates at executive board meetings
- Schedule lunch plans with the board Chair and Vice Chair before or after board meetings



Best Practice:

Work on building your associative and informational power. They are the easiest ones to attain. Building relationships boosts your associative power, and staying abreast of current news, policies, and intelligence builds your informational power.

Use power judiciously

The executive board and the HIDTA Director have tremendous power in their access to law enforcement talent. The HIDTA Director typically retains the position for a number of years. This creates power for the HIDTA Director by way of longevity and strong relationships.

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Knowing your executive board members, how can you enrich your relationship with them?		



Group Activity 4.2 Meeting the Challenges of **HIDTA Leadership**

Introduction

As seasoned managers and executives, you have a great quantity of wisdom to share with the other class participants.

This exercise allows you to exchange ideas about problems and solutions to the most common or most difficult challenges you've encountered during your tenure in executive level HIDTA management. Participants submit descriptions of their problem areas on cards that the instructor provides, then the facilitator solicits advice and solutions from the entire class.

Instructions – Part 1

Record problem situations you've encountered and seek advice from the current group of seasoned leaders. Use the note cards provided by the facilitator, and describe one problem situation per card. Submit 1-3 cards, and be sure to classify each issue in the checkboxes at the top, before you briefly describe the problem.

Instructions - Part 2

Participate as a group to brainstorm and suggest possible solutions or ways to minimize the impact of each problem the facilitator reads.

Instructions - Part 3

The facilitator will assign a "scribe" to record notes on the back of each problem card selected. After discussion of each issue, the scribe will give the completed problem card to the person who submitted it.

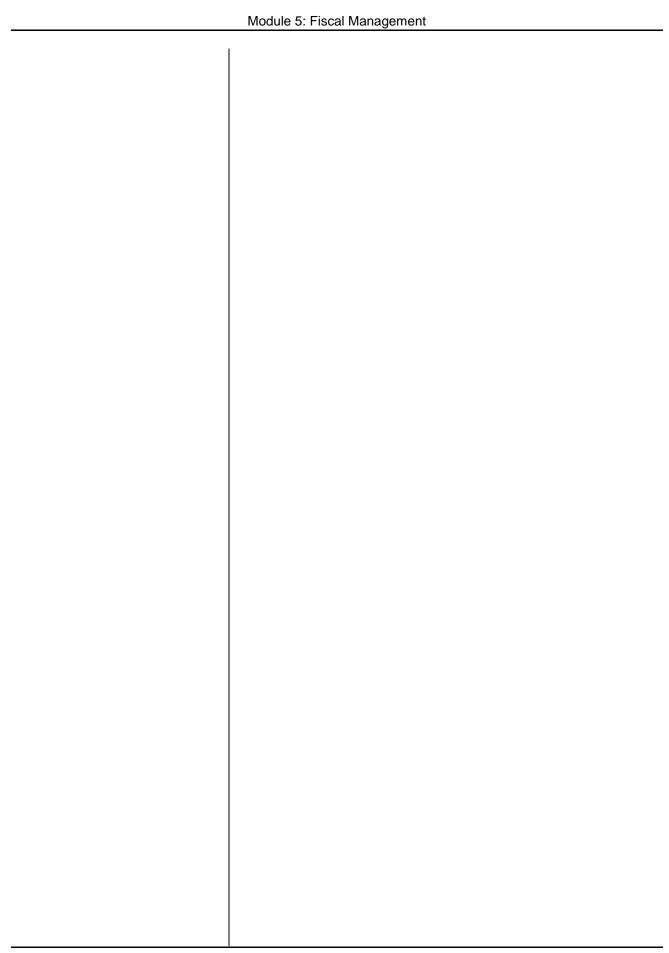
Key Points

- The HIDTA Director's responsibilities are outlined in the HIDTA Program Policy. They include:
 - supervising administrative tasks
 - complying with program policy
 - working toward HIDTA goals
 - fostering cooperation and information sharing among HIDTA participants
- Techniques to promote cooperation and coordination among HIDTA participants include:
 - attending forums and program functions
 - fostering relationships among participants (e.g., lunch)
 - collocating participants wherever possible
 - conducting regular conference calls for teams
 - taking a genuine interest in others
- Critical success factors for directors include:
 - focusing on your HIDTA's mission, strategy, and performance measurements
 - working closely with the board chairperson (i.e., stay in touch)
 - building relationships
 - using power judiciously

Identify a few ideas from this module that you intend to implement at the earliest opportunity and write them in the space provided.

1.	
2.	
-	
3.	
-	





Learning Outcomes

At the end of this module, participants will be able to:

- Define key terms such as award, grant, reprogramming, and others
- Describe the fiscal cycle from budgeting to grant closeout
- Describe the process of developing budget to request funding
- Describe common funding issues and possible resolutions
- Identify key program policies for HIDTA funds

Award recipient – federal or nonfederal entity

Grant recipient - non-federal entity receiving a HIDTA award, known as the grantee.

Fiduciary (role) - entity entrusted to manage and distribute funding to other non-federal participants.

Resource recipient – a nonfederal participant that benefits from (i.e., receives) HIDTA funding by way of reimbursement from the fiduciary.

Funding for HIDTA Initiatives

Funding for HIDTA is an item in the Congressional budget each year; however, funding is never a certainty. The HIDTA Program has received uninterrupted funding since its inception in 1990 and thus has survived many shifts in political climate.

HIDTAs are funded by way of awards to one or more agencies participating in the local HIDTA. Agencies that receive awards are known as award recipients. Federal award recipients receive only the funds for their own agency's use within the HIDTA. Non-federal award recipients, however, receive and distribute funds to other non-federal participating agencies; they serve as a *fiduciary* for the HIDTA's nonfederal funding. Within the HIDTA Program, the non-federal agencies receiving HIDTA funds from the fiduciary are known as resource recipients¹⁰.

Key Terms

To help you accurately discuss HIDTA concepts and issues, be sure you have the precise meanings for several terms. You've already learned about initiatives, but the definition is included here again in the context of awards.

- Award a reallocation of funds (or re-appropriation of funds) for a specific spending purpose; HIDTA awards are made to both federal and non-federal entities.
- Grant an award of HIDTA funds from ONDCP to a nonfederal entity to carry out the mission of one or more initiatives. Grantees may or may not serve as fiduciaries for other non-federal entities that receive HIDTA funding.
- *Initiative* a planned set of activities with its own budget to implement a portion of a strategy to address a specific threat; awards are made to an agency with the express purpose of funding one or more initiatives. Each initiative has a separate budget, or allocated portion of the award.
- *Task force* a group of people (employed by federal, state, local, and tribal agencies) who work together to accomplish the goals of an initiative.

¹⁰ Implementation of the Uniform Guidance requires these resources recipients to be either subrecipients (that receive subawards) or contractors (via contract agreements).

Federal agencies

Federal agencies receive their funds as a result of an award document called the Memorandum of Agreement. In most circumstances, Federal award recipients receive funding only for their own use.

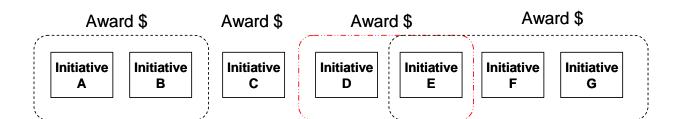
Non-federal participants

Non-federal entities can receive HIDTA funding by direct grants from ONDCP, or by indirect means, i.e., by direct grantee's disbursement of HIDTA funds. Direct recipients sign grant agreements with ONDCP and become grantees. Grantees may, in turn, issue either of two types of agreements to other non-federal entities:

- Subawards must comply with Uniform Guidance
- Contracts must comply with contract's terms and conditions

Only direct recipients are known as award recipients in the Uniform Guidance; entities that receive funds indirectly are known as *subrecipients* and *contractors*, respectively.

Warning: Beware that policy documents vary in terminology. Occasionally, you will find two terms, grantee and fiduciary, used for the same meaning.



Awards Fund Initiatives

In the simple example diagrammed above, each initiative is funded by one or more awards: federal awards and non-federal awards issued by ONDCP. Notice in the diagram above, Initiative E receives funding from multiple awards – and this is the most common arrangement because most initiatives operate by spending 2 program years of funding.

The diagram above omits subawards and contracts, although subawards and contacts are indirect instruments that provide funding for non-federal entities that participate in HIDTA initiatives.

Federal v. non-federal awards from ONDCP

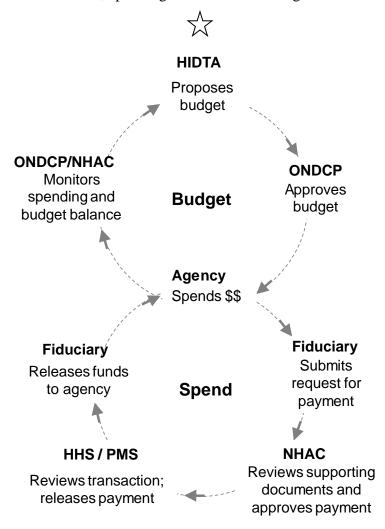
There are notable differences between the HIDTA awards to federal agencies and the HIDTA awards to non-federal entities.

Federal Awards	Non-federal Awards	
Two-year award period	Two-year award period	
Extensions not allowed	Extensions allowed	
Transfers of budget authority as a lump sum after the MOA is signed	Funds distributed incrementally during award period	
Award document is Memorandum of Agreement (MOA).	Award documents are Award Letter and Grant Agreement.	

Fiscal Management Cycle

The fiscal cycle of HIDTA funds begins with the budgeting process. The HIDTA Director works with many members of the HIDTA to prepare a budget proposal for the HIDTA's activities in the next program year.

The HIDTA Executive Board approves the budget proposal, and the HIDTA Director sends the proposed budget to ONDCP. Once it is approved and the signed award letters and MOAs are returned, spending of the funds can begin.



In the case of federal agencies, the budget authority is immediately transferred to the federal agency, and the federal agency typically spends and handles only the funds awarded directly to that federal agency.

For the many non-federal recipients, however, the HIDTA funds are often pooled and awarded to a single grantee (a single non-federal award recipient) to dispense to other nonfederal participants. Remember the grantee is also known as the *fiduciary*, because funds are entrusted to the grantee for the benefit of others.

All task force members (law enforcement agency employees) know they can spend the money designated as their portion of the initiative's budget, so throughout the year they spend the grant money according to the approved HIDTA budget.

As non-federal task force members spend money, each member's parent agency submits receipts and an itemized invoice to the fiduciary, requesting reimbursement. The fiduciary issues checks to reimburse the various participating agencies for their HIDTA-approved expenditures.

Periodically, the fiduciary replenishes its cash by requesting an incremental drawdown (or payment) from its remaining grant funds to reimburse its out-of-pocket funds that it paid out to HIDTA participants. The Program Support Center (PSC), an agency hosted by the U.S. Health and Human Services (HHS) operates the online software that manages and disburses grant payments.

As the year progresses and HIDTA funds are spent and dispersed, the ONDCP, the NHAC, and the HIDTA's management monitor the spending and the remaining budget balances. Everyone is concerned that the funds are spent according to program policies (and rules) and according to the budget plan approved by ONDCP.

Overview of HIDTA Budgets

Each year regional HIDTAs prepare and propose a budget for their operations for the next program year.

Software

The entire budgeting process is documented and tracked using a software program, the Financial Management System (FMS.net).

Key Players

The HIDTA Director coordinates the overall budget preparation effort under the direction of the regional HIDTA Executive Board. (See Section 5 of Program Policy.) Many executive boards form a Budget Committee to assist in the annual budgeting process.

Individual task force commanders work with the financial manager and the Budget Committee to request and prepare budgets for their initiatives. Each participating agency in the initiative has its own portion of the initiative budget.

The financial manager and staff key budget data into FMS.net. (Recall FMS.net is a tool that helps the financial manager compile and review the budget requests.) The financial manager prints reports showing individual initiative budgets as well as summary reports for the executive board to review and approve.

The budget process varies somewhat among HIDTAs, but all HIDTAs use FMS.net, and all HIDTAs have at least two local approval levels before submitting the budget data and documents to ONDCP.

Other Important Roles

Meanwhile, others at the HIDTA also prepare various documents and data to be submitted along with the budget data. For example:

- The intelligence and information sharing initiative prepares the Threat Assessment.
- The HIDTA Director and others prepare the Strategy and set performance targets for each initiative.
- The initiative commander (or a delegate) prepares an initiative description, budget data, and supporting documents or explanations for the budget. He or she also records the performance target data and initiative description in the Performance Management Process database using WebPMP.

Packaging

Once all of the data and documents are prepared (under the guidance of the executive board or a committee of the board), the HIDTA Director submits the budget package to the executive board for approval.

Once it is approved, the HIDTA Director submits the budget package to ONDCP. An ONDCP policy analyst reviews the budget package for program policy compliance and requests clarification and additional information as needed. ONDCP reviews and compiles all of the HIDTA budgets. Upon completion, the Director of ONDCP reviews and approves the final budget request before submitting it to Congress for consideration.

For discussion purposes, we use budget package to refer to the entire set of data and documents collectively submitted to ONDCP: These include:

- Threat Assessment
- · Performance goals
- Budget proposal
- Initiative descriptions
- · Requests for waivers
- Certifications and other documents as needed to describe and prepare for the upcoming program year.

Approval

Once Congress appropriates funds, ONDCP notifies Congress of the plans for allocating the funds (i.e., ONDCP sends the budget after Congress makes the appropriation). ONDCP also sends grant agreements and MOAs to the award recipients.

Once federal agencies sign the MOAs, ONDCP transfers budget authority to their accounts. Non-federal recipients, however, receive the money incrementally as reimbursements/advances during the grant period.

Terms for Awards

The terms listed below are helpful to review for clarity before we discuss the budgeting process.

- Award letter the official document that announces the grant and sets aside an obligation of grant funds to the nonfederal award recipient.
- *Grant Agreement* the document that describes the grant and documents specific grant conditions included by ONDCP.
- *Memorandum of Agreement (MOA)* the award agreement between ONDCP and a federal agency receiving HIDTA funds.
- *Appropriation* the formal process of Congress setting aside or "earmarking" money for a specific spending purpose. (Once money is appropriated, it is officially available for ONDCP to issue the award recipients.)
- SF-424 an application for federal financial assistance (i.e., the HIDTA grant), which is submitted by grantee with the budget request.

The Mysterious Year

Here is a riddle:

How long is a year?

Answer: 12 months

When does the year start and end?

Answer: It depends.

Within the first week of your association with HIDTA, you begin hearing about different types of years. Each definition of a "year" has its own start and end date. The problem is that definitions may vary depending on the agency or the context of the conversation.

Here are some of the terms you will encounter:

- Fiscal year
 - federal government—October 1-September 30
 - state and local government—varies among agencies
 - HIDTA—January 1 through December 31; called the program year in the HIDTA Program
- *Program year-* A 12-month period beginning January 1, for which budget needs are planned, requested, and granted for a HIDTA's operation
- Reporting year typically the calendar year so that law enforcement statistics are comparable between agencies
- Award period (funding period or period of performance) the contracted, two-year period of time during which HIDTA funds can be (must be) spent.

The simplest term to use in most cases is the term *program* year. You can say, for example, that you are preparing the Annual Report for program year 2017 and also preparing the budget for the next program year, 2019. Currently, you are spending the funds for program year 2018.



Use the term program year to specifically refer to a given year. For example, " ... preparing the budget for program year 2019."

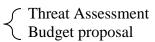
The Budget Process at HIDTA

The budget effort at HIDTA usually begins in late February or early March.

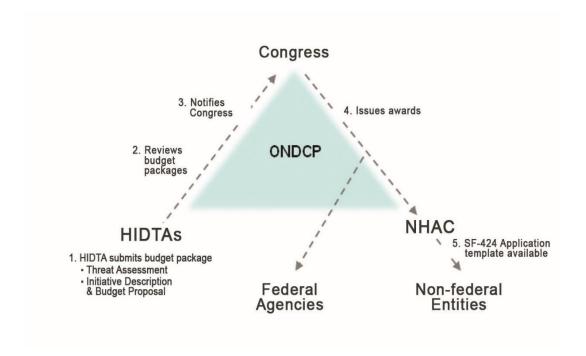
The documents submitted to ONDCP relate to the upcoming program year in preparation for a budget proposal or budget request to Congress.

Recall that the due dates of key budget components are as follows:

Collectively, these submissions to ONDCP are called a budget package.



June 15 June 15



Step 1: Regional HIDTA prepares the budget package

There are many parts to the budget package because, as you may recall, many people input various portions of the data and prepare the required documents. The following steps (a) through (e) describe this process at the regional HIDTA in detail.

(a) Prepare the Threat Assessment

The roots of a HIDTA budget are found in the assessment of the region's drug threat. The intelligence and information sharing initiative (i.e., the Investigative Support Center) gathers data about the region's drug threats, performs analysis and evaluation, and prepares this comprehensive document to describe the current threats, trends, and estimations of future markets and drug trafficking activities in the region.

(b) Prepare the Strategy

The HIDTA Director, the deputy director, and even members of the HIDTA Executive Board design and develop a strategy for the HIDTA to implement.

Developing a strategy

The HIDTA management team (often including initiative commanders) develops a strategy to address the region's drug threat. In developing a strategy, the team members consider the HIDTA's vision and mission and the resources of the HIDTA participants. The team develops an organization of initiatives and sets performance goals for each initiative.

The strategy, for example, will have one or more intelligence initiatives, one or more enforcement initiatives, and at least one support initiative (such as training and information technology).

ONDCP provides a specific format for the Threat Assessment.

Setting performance goals

The HIDTA management team, often working with ONDCP, sets performance goals for the program year. The goals demonstrate how the regional HIDTA contributes to the achievement of the national HIDTA Program's two goals. The performance goals are included in the Strategy document and are recorded into the PMP database.

(c) Prepare the initiative budget proposals

<u>Developing initiative budgets</u>

The initiative commanders develop budget proposals for each initiative described in the Strategy document. Each budget depends on the needs of the initiative and the resources provided by the initiatives' participating agencies.

Keying budget data into FMS.net

The financial manager keys the data into FMS.net (the Financial Management System), preparing a separate budget for each resource recipient (i.e., each participating agency) in every initiative.

Notice that participating agencies often have multiple budgets, each budget representing that agency's portion of an initiative's budget.

After compilation, each initiative has an initiative budget, and collectively, the HIDTA has an overall HIDTA budget.

Best Practice:

Prepare budgets from a zerobased budgeting perspective. This means each proposed cost must be justified as though it were a new cost, not just a continuation of the previous year's funding. Be sure to consider the performance goal for each initiative when planning for needed resources.

(d) Compile the budget package

At this stage, the HIDTA Director collects all parts of the budget package and submits the package to the HIDTA Executive Board for approval. Recall that the budget package includes the following documents and data keyed into two software programs.

- Threat Assessment document
- Initiative descriptions—data keyed into the PMP database
- Performance goals for each initiative —data keyed into the PMP database
- Budget data—data keyed into the FMS.net program
- Policy waiver requests and certification of meth seizures reporting to EPIC-- keyed into PMP database

(e) Approve at regional HIDTA

The HIDTA Executive Board reviews, edits, and approves the budget package. Only after approval does the HIDTA Director submit the budget package to ONDCP.

Note: Submitting the package involves sending documents to ONDCP via email and clicking an approval box for all initiative budgets within FMS.net¹¹. The approval in FMS.net is the trigger for ONDCP to begin reviewing the HIDTA's entire budget package.

Program Policy: Section 6.3.1 in Program Policy (2020) describes the HIDTA Director's responsibilities regarding these documents.

ONDCP_HIDTA@ondcp.eop.gov

To submit the required program documents, such as the Threat Assessment, Strategy, and waiver requests, send documents to:

¹¹ In FMS, the HIDTA Director records an approval of all individual budgets, and doing so, indicates that the HIDTA Executive Board has approved the budget and the HIDTA's budget submission is complete.

Step 2: Perform Program Review of Each HIDTA Budget Package

ONDCP reviews all documents and data of the budget package for each HIDTA. Can you imagine the workload of reviewing all of the budget packages?

In detail, here is what ONDCP does:

(a) Review the budget package at ONDCP

ONDCP performs a program review of every HIDTA budget submitted to make sure it accomplishes these things:

- Complies with policy
- Meets the region's drug threats
- Is justified (initiative, performance, and cost)

(b) Ask passback questions

As the review team reviews the budget package, the team prepares "passback" questions on unclear issues or other areas of concern. These passback questions usually ask the HIDTA Director to provide more explanation or more detail or to resolve inconsistencies.

You can consider the review team's work as a quality control step to ensure that the budget packages are complete, clear, and free of errors.

Step 3: Notify Congressional Committees

Once the review is complete and funds are appropriated, ONDCP notifies the Congressional Appropriations Committee of the planned allocation of funds by providing the committee a copy of the budget digest.

Step 4: Issue the Awards

Once Congress appropriates the funds, the budget authority is available to ONDCP to obligate.

(a) Announce the awards

To announce the awards, the paper trail flows from ONDCP down and through the organization to the award recipients.

Federal award recipients

ONDCP sends MOAs directly to the federal agencies.

Non-federal award recipients

- ONDCP prepares and sends award letters and grant agreements to the HIDTAs for review and distribute to the award recipients.
- HIDTAs forward the award letters and grant agreements (with budgets attached) to the award recipients for signature.

(b) Sign the agreement

Federal recipients

The federal recipients sign the MOAs and return them to ONDCP, which allows budget authority¹² to be transferred to their accounts.

Non-federal recipients

- Non-federal award recipients sign the grant agreements and return the documents to the HIDTA.
- The HIDTA scans the originals and sends electronic files to ONDCP and to the NHAC for posting to FMS.net.

Once the signed documents are returned to NHAC, NHAC uploads an electronic copy of the signed documents to FMS.net, and spending may begin.



Once you receive your approved budget from ONDCP, be sure to check it against the budget package you submitted. The numbers may have changed.

¹² In effect, this allows the federal agency to begin obligating funds.

When Initiatives Change Mid-Year

While this description of the budgeting process explains how initiatives receive funding during the annual budgeting process, there are other ways initiatives and initiative budgets come about.

New initiatives mid-year

On rare occasions, a new initiative might be formed mid-year during the program year. The strategy document must be revised and the HIDTA Director must submit an initiative description and budget proposal to ONDCP and shift funds from other initiatives as needed.

Changes or redirection mid-year

More commonly, an initiative may require a change in focus, mission, or organization and such mid-year changes require submitting a revised initiative proposal with justification for the change, to ONDCP. ONDCP must approve all changes to the initiative's purpose and performance measures, and often funds must be reprogrammed (shifted) from other initiatives if additional funding is required.

Shifting funds

Changes in funding occur through reprogramming transactions in the Financial Management System, with approval from ONDCP for significant changes.

Best Practice:

Rely on the financial manager to provide data about past spending, trends in funding needs, etc.

Managing the Budget Process

Most HIDTAs use a budget committee to steer the budget process — a process that usually takes from late February to mid-June. Led by the HIDTA Director, the committee develops a budget strategy, an approach that everyone follows. It may include standard rates for common budget items, prorated distribution of certain budget items, and underlying assumptions for projecting the level of funding needed for the coming year.

Of course, the HIDTA's financial manager works closely with the committee to provide data, key and review input from initiative commanders, and provide summary reports of past spending and current funding requests.

The Budget Timeline

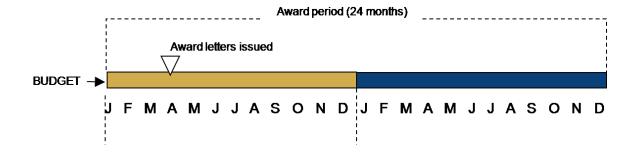
Managing the budget process also includes managing the timeline, so that funding meets the spending needs (i.e., paying the bills). Key dates on the budget timeline are as follows:

June 15 – HIDTAs submit their budgets for the following year.

October 1 (and generally later) – Congress appropriates the money for the federal fiscal year, including the budget for the HIDTA Program year (to begin January 1).

March 1 (varies each year) – Award letters from ONDCP are distributed and spending authority begins.

Do you notice anything odd about the timing of the appropriated funds? Delay in Congress appropriating funds delays the awards to HIDTA award recipients.



Example

Suppose that HIDTA award documents arrive in March, 2016. Non-federal award documents will be dated January 1, 2016 as the start date of the award period. Federal agencies' award documents will be dated October 1, 2015 as the start date of the award period. None of the award recipients are authorized to spend (or obligate) the funds until the award documents are signed and returned, in March, 2016.

Note: This may explain why the award period (or period of performance) is a two-year period. HIDTA award recipients have a two-year window for spending the funding intended for one program year.

Possible Solutions

Do HIDTA grantees **not** spend money during the months they are without funds? Yes and no.

In the case of large purchases, the purchase may be delayed until the program year's funds are available—for example, after March.

In the case of smaller, routine expenses, the fiduciary may provide interim funding until the awards arrive.

Also, because this is a recurring cycle, there are often "leftover" funds from the previous program year that can be used during the waiting period.

Regardless of the solution, the problem isn't very serious because of the overlap of two program years created by twoyear award periods.



Best Practice:

Avoid extensions and spend the oldest grant funds first, whenever possible. Grant extensions are not guaranteed, and over time, older funds become more and more difficult to spend.

Extensions

Non-federal award recipients may request extensions beyond the initial award ending date (extending beyond two years). With compelling reasons from the HIDTA management, ONDCP may grant a one-year extension. ONDCP reviews and approves each grant extension request on a case-by-case basis.



Program Policy: Refer to Section 7.7 for more information about grant extensions.

More Terms

- Accounts and sub-accounts- a set of categories for identifying expenditure types - collectively known as a chart of accounts
- Reprogramming the process of shifting budgeted amounts among accounts, initiatives, resource recipients, and/or awards

Budget Projections

Each year as you prepare initiative budgets, you will find yourself making projections about the level of funding needed in each account. Some people are more comfortable making projections than others, and your financial manager can provide valuable data about past spending levels and trends that may be developing.

A projection is merely your estimate of what you anticipate the future funding need to be. Rather than providing a "guestimate" of what funding is needed, create a projection based on the information you have available. For example, you might prepare an estimate based on any of the following:

- Past level of spending and the rate of increase over time (use trend analysis)
- Unused award funds from past years still available for use
- History of reprogramming activity within and among initiatives and accounts
- Anticipated changes to the current level of spending and future activities that will likely impact future costs
- Advice from outsiders who have considerable knowledge in a particular area

Reviewing Requested Budgets

Reviewing proposed initiative budgets can be very difficult, and several approaches are listed here. Here are some techniques that budget committees use to review the budget numbers initiative commanders submit.

- **Reasonableness** are the requests reasonable?
 - Does this budget support the initiative narrative?
 - Do the inputs and outputs look reasonable?
 - How does the current budget compare to the previous budget and performance?
- **Bottom-up review** examine the budget from the lowest level, first checking subtotals, and then totals. For each budget item, ask:
 - What exactly is this item?
 - Is this needed? How will this be used?
 - Is this a reasonable cost?
- **Top-down review** examine the budget in total:
 - Is each cost category necessary for an initiative? For example, does an initiative's budget include money for training, when all training dollars are budgeted in the management and coordination initiative?
 - Does the grand total look reasonable for this initiative? For example, is \$200,000 an expected grand total for an initiative of this type and size?
 - Does the subtotal for each category look reasonable? For example, is \$5,000 for travel reasonable?

Best Practice:

Set up a multiple-step review process such as 1st review by the financial manager, 2nd review by the budget subcommittee, and so forth. Be sure each level of review is clear about the objective of the review level. At the first level of review, for example, the reviewers should be very detail oriented.

Previous year comparison

- Briefly review the previous year's budget submission to ONDCP, including detailed justification for large purchases.
- Review the large budget items in the current budget to see if any budget items are repeated from the previous year's budget. Look for duplication within each initiative and between initiatives.

Cross-validation

- Compare large budgeted items among the initiatives. Look for redundancy.
- Compare the budget to the number of participants in the initiative. For example, how many cars are leased and how many members are there in the task force? Perhaps the customary ratio is one car per two task force members.

\	Discussion What problems have you seen in HIDTA budgets? What are some of the common mistakes commanders and other make and submit for approval?

Effective Fiscal Management

The HIDTA Program Policy outlines the fiscal responsibilities of the executive board and the HIDTA Director.

Executive Board's Role

As mentioned in Module 4, the Executive Board is responsible for setting local policies and providing written guidance and operating procedures to ensure all HIDTA participants follow Program Policy. The Program Policy (Section 6.3.5) also outlines the executive board's responsibilities for fiscal management:

- Managing HIDTA funds
- Reviewing and approving funding proposals

HIDTA Director's Role

Section 6.3 of Program Policy outlines the HIDTA Director responsibilities and states in 6.3.1 the principal responsibilities shall be to:

- Provide day-to-day administrative, financial and program management for the operations of the HIDTA;
- Facilitate and encourage the development of innovative approaches to drug law enforcement;
- Ensure that HIDTA initiatives are in compliance with HIDTA program requirements and;
- Advise the Executive Board concerning the performance of HIDTA initiatives.

Financial Manager's Role

Although the HIDTA Program Policy and Budget Guidance does not list the HIDTA financial manager's responsibilities, the financial manager plays a key role in smooth operation of the flow of HIDTA funds, and provides technical support to all HIDTA participants as they comply with HIDTA Program policy and with the local HIDTA policies and procedures set by the Executive Board. Duties include:

Disbursements

Reviewing disbursement request packages submitted by the grantee to the NHAC accounting staff for approval that allows PMS funds drawdowns.

Budgeting

- Collecting initiative input during the budget cycle to coordinate and carry out the budget preparation for the local HIDTA.
- Generating and distributing budget reports to initiative commanders and to the Executive Board to allow them to monitor spending and remaining balances.

Reprogramming

Process reprogramming requests in the online HIDTA budget system, FMS.net and monitor each transaction as it progresses through the approval chain.

Policy review and support for compliance

Answer policy questions from internal HIDTA participants and from grantees, researching policy as needed to ensure accuracy.

Monitor and mitigate risk

- Monitor grantee(s) as appropriate to anticipate problems before they occur, e.g., ensure adequate internal controls for policy compliance.
- Research, develop, and recommend proactive remedies and internal controls to support all HIDTA participants.

Best Practice:

Develop a detailed position description to fully describe the financial manager position. Include not only the responsibilities, but also the requisite experience and desired education useful for hiring decisions.

Best Practice:

Set effective fiscal policies, verify and enforce policies, and perform periodic internal reviews.

Common Areas of Concern

Every HIDTA should address at least the following concerns.

Overtime

Overtime is a particularly challenging expenditure to monitor and control, so ensure your financial manager knows the exact requirements and in turn, watches that participants are in compliance.

For example, your HIDTA might require all invoices for overtime include verification statements or other evidence that all overtime policies are being monitored and followed. Notice that neither the HIDTA's financial manager nor the fiduciary's staff keeps records to ensure overtime policy compliance. Instead, the HIDTA's local policy requires the overtime documentation when the employee's parent agency submits an invoice for reimbursement of their HIDTA expenditure.



Program Policy: Refer to Section 7.12 in Program Policy (2020) for complete information about restrictions on HIDTA-funded overtime.

Terms and conditions

Spending of HIDTA funds must adhere to the terms and conditions of:

- HIDTA Program Policy and Budget Guidance, 2020
- Grant Agreements (for state and local agencies)
- **Uniform Guidance**

Budget compliance

HIDTAs are generally allowed to spend HIDTA funds only for the items and in the manner documented in their approved budgets. Reprogramming transactions must be approved by at least the HIDTA Director and, in some cases, by ONDCP.



Program Policy: Refer to Section 7.21 in Program Policy (2020) for complete information about budget compliance.

Supplanting

HIDTA funds must not supplant other agency funds. This means that HIDTA funds cannot relieve the agency of spending money the agency would normally spend. This concept applies to many types of expenditures including personnel, electronic equipment, and vehicles.

Quarterly financial reports

All HIDTA award recipients must file quarterly financial reports. Non-federal recipients file quarterly federal financial reports (FFR¹³) using the Payment Management System (PMS), which is the same program they use for requesting periodic draw-downs of their grant funds.

Federal agencies negotiate with the HIDTA on a similar format for quarterly financial reports, and their quarterly reports provide details on the balance of each budget account.

Best Practice:

Be sure the financial manager has an account on the Payment Management System for viewing grantee summary reports.

¹³ The Federal Financial Report is actually 2 reports: the Federal Cash Transaction Report (CTR) and the Financial Status Report (FSR).

Property Management

All equipment and property purchased with HIDTA funds are considered *HIDTA-purchased* property and equipment. This means the property must be used for the maximum benefit of the HIDTA to support the goals of the initiative. HIDTA Program Policy provides clear guidance on how to track HIDTA-purchased property.

The HIDTA Program Policy provides very specific criteria for property management. For example, the HIDTA Director must:

- Establish a central inventory system to track equipment and property purchased with HIDTA funds. (The HIDTA Director ensures it is in place and meets program requirements, but the fiduciary maintains it.)
- Ensure that HIDTA-purchased items are used and managed according to HIDTA policy to allow sharing among initiatives and be able to locate equipment at all times.
- Be sure all property and equipment that has an initial purchase price of \$5,000 or more is tracked by a tracking system (e.g., bar coded inventory system).
- Be sure the fiduciary conducts a 100% inventory every two years; receive and keep a copy of the inventory records.
- Spot check inventory of HIDTA-funded equipment every year by sampling.
- Maintain historical records of all HIDTA-funded equipment that was disposed of by the purchasing agency. (The purchasing agency holds the title; this may or may not be the grantee.)



Program Policy: Refer to Section 8 in the Program Policy for more information about property management.

Lost, Damaged, or Stolen Items

HIDTA participants must report lost, damaged, or stolen items immediately to the HIDTA Director according to Program Policy Section 8.10.



Document property management procedures in your HIDTA's standard procedures.

Explain property inventory and management as part of the training you give new task force commanders.

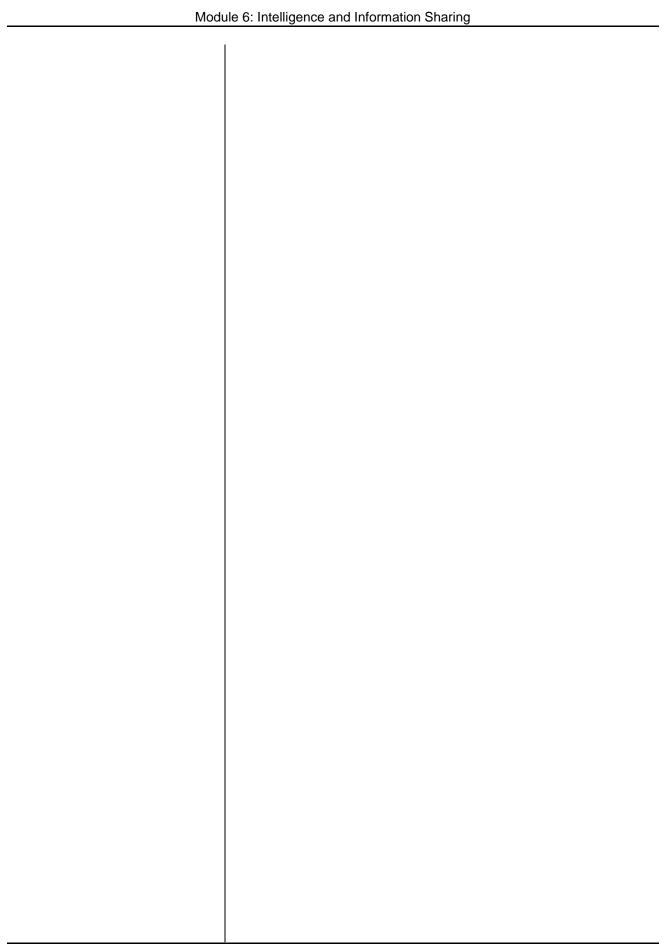
Key Points

- The fiscal management cycle is essentially
 - propose
 - receive award
 - spend as budgeted
- The budget process begins with a threat assessment, which is used to develop a strategy, propose initiatives, and request a budget for the program year.
- Budget requests become awards for HIDTA funds, and participants must spend according to HIDTA policy and according to the approved budget.
- Budget data is stored in the Financial Management System (FMS); performance measurement data is stored in PMP.
- Many executive boards use a budget committee to coordinate, review, and edit the HIDTA's budget package prior to board review and approval and submission to ONDCP.
- Every participant has the duty to spend funds according to Program Policy; HIDTA directors are responsible for monitoring activities to ensure compliance.

Identify a few ideas from this module that you intend to implement at the earliest opportunity and write them in the space provided.

1			
2			
3			

Module 6: Intelligence and **Information Sharing**



Learning Outcomes

At the end of this module, participants will be able to:

- Describe the purpose and mission of intelligence and information sharing initiatives at HIDTA
- Describe the three core intelligence functions required of every HIDTA.
- List the ways intelligence and information sharing initiatives vary among HIDTAs.
- List three or more key HIDTA policies that guide intelligence and information sharing initiatives or investigative support centers.
- Describe the security requirements for criminal intelligence.
- List three or more critical success factors for managing intelligence initiatives within HIDTA.

About HIDTA Intelligence

Intelligence and information sharing is the cornerstone of many HIDTA activities, so let's be sure everyone shares the same definitions as we start the discussion. The term intelligence in the HIDTA Program always refers to information about criminal behavior for law enforcement actions.

HIDTA INTELLIGENCE = CRIMINAL INTELLIGENCE

This module describes how to manage HIDTA intelligence and information sharing initiatives.

Key Terms

- Intelligence The product of the analysis of raw information related to crimes or crime patterns with respect to an identifiable person or group of persons in an effort to anticipate, prevent, or monitor possible criminal activity. ¹⁴.
- *Intelligence and information sharing initiatives* Function to develop intelligence, share information, and provide analytical and technical support to the enforcement initiatives. At some HIDTAs, there is a single intelligence and information sharing initiative, and at others there are several (often specialized components of the intelligence function or remote nodes of the central operation location). Common names for intelligence and information sharing initiatives or their component functions include:
 - *Investigative Support Center (ISC)* the minimum required component for HIDTA's intelligence and information sharing initiative, as we will use this term often.
 - *Intelligence Center (IC)* a common name for the centralized location of intelligence work and support services; we do not use this term in training.
 - Watch Center a component that provides nonintelligence response services such as event deconfliction and tactical support.

¹⁴ HIDTA Program Policy and Budget Guidance, 2020, Appendix B, Glossary of Terms.

Simplifying the terminology

Because of the many similar terms involving HIDTA intelligence projects, we simplify the terminology for training purposes and for our course, we use *intelligence initiative(s)* as a generic name for all types of intelligence and information sharing initiatives, and we refer to the centralized work center as the Investigative Support Center (ISC), which is useful when multiple locations exist. Program policy occasionally varies for the ISC and the other locations or other intelligence initiatives.

In summary, we will use these two terms most often when discussing policies, guidelines, and best practices.

- Intelligence initiatives refers to all initiatives performing any type of HIDTA intelligence work or services.
- ISC refers specifically to the Investigative Support Center, the centralized (and perhaps the only) location where HIDTA intelligence work or services are performed.

Purpose and Function

All HIDTA enforcement initiatives can be described as intelligence-driven drug task forces, so clearly intelligence initiatives are critically important to the HIDTA Program. One of the major HIDTA Program activities is to improves the

ability of federal, state, local, and tribal law enforcement agencies to counter drug trafficking because the participating agencies work together and share information that is collected by intelligence initiatives and



transformed through the intelligence cycle into actionable intelligence.

Investigative Support Centers are designed to provide centralized intelligence services and to facilitate interaction and information sharing so that task forces can use intelligence to drive their investigations. The ISC also assists in the planning of:

- enforcement strategies
- effective and efficient use of available resources
- budgeting and staffing for future operations

According to HIDTA Program Policy, at a minimum, the ISC provides analytical case support to all of the HIDTA's initiatives, develops and disseminates intelligence products, and supports information sharing activities, to include deconfliction services within the HIDTA-designated areas. ISCs also:

- Provide actionable, accurate, detailed, and timely drug and criminal intelligence, information, and analytical support
- Collect, collate, analyze, and disseminate information about offenders, crimes, and related events to law enforcement agencies.



Program Policy: Refer to Section 6.2.1 of the Program Policy (2020) for more information about HIDTA intelligence objectives and functions.

Intelligence & Information Sharing Functions

The following intelligence functions are required by HIDTA Program policy.

- Analytical case support
- Intelligence production
- Information sharing
- Deconfliction

Information Sharing Functions

Sharing information involves using tools such as:

Investigative databases

Best Practice:

The most effective intelligence centers are those that are constantly:

- Communicating
- Collaborating
- Coordinating
- Cooperating

- Electronic connectivity
 - HIDTA.net
 - RISS.net
 - Law Enforcement On-line (LEO)
 - Homeland Security Information Network (HSIN)
- Systems for sharing and disseminating data in a timely manner
 - **EPIC**
 - State and local fusion centers
 - **FinCEN**
 - Other HIDTA ISCs
 - Agency criminal intelligence components

Committees That Address HIDTA Intelligence

There are three standing committees that address HIDTA intelligence and information sharing: The HIDTA Intelligence Committee, the Intelligence Management Advisory Committee (IAMC), and the Information Technology (IT) Committee.

HIDTA Intelligence Committee

This committee is comprised of HIDTA directors, deputy directors, ISC, and IT managers who represent the HIDTA. The committee meets quarterly or as needed to address issues, policies, and standards that affect the connectivity among the partners of the HIDTA Program. An ONDCP deputy director, the chair of the IMAC (described below), and chair of the IT Committee are also members of this committee, serving as liaisons to the committee.

IMAC – Intelligence Management Advisory Committee

This committee serves as a sub-committee to the Intelligence Committee and is comprised of ISC managers who represent the ISC managers within their regions. The committee meets

via teleconferences quarterly or as needed and addresses standards, practices, and implementation of policies and procedures. The chair of the Intelligence Committee and an ONDCP deputy director also attend IMAC committee meetings to serve as a liaison to the Intelligence Committee.

Information Technology Committee

This committee serves as a sub-committee to the Intelligence Committee and is comprised of HIDTA Deputy Director and IT managers. The committee meets via teleconferences quarterly or as needed and addresses standards, practices, and implementation of policies and procedures. The chair of the Intelligence Committee and an ONDCP deputy director also attend IT committee meetings to serve as a liaison to the Intelligence Committee.

Security of Intelligence Information

Policies for HIDTA Intelligence

Key policy documents that guide HIDTA intelligence initiatives include:

- HIDTA Program Policy and Budget Guidance, Sections 5.15, 6.0 to 6.2.11, and 6.3.7
- 28 CFR Part 23, "Criminal Intelligence Systems Operating Policies"
- Executive Order 13526
- Criminal Intelligence Resources Guide Coordinating Council Resources - CICC Resources (ojp.gov).

Recipients of intelligence efforts

An intelligence and information sharing initiative is mandated by the HIDTA Program Policy. In addition to providing services to HIDTA initiatives, participating agencies, and other law enforcement agencies, the intelligence initiative may also, with executive board authorization, provide support services to i Important: Contact ONDCP for clearance requests. ONDCP has an agreement with DHS for processing clearances, and individual's clearance expiration dates can be tracked by ONDCP's Clearance Management System (CMS).

investigations that do not have a clear connection to a drugrelated crime, such as counter-terror/homeland security investigations. Often, criminal groups have interconnected operations involving drug trafficking, money laundering, and weapons trafficking, and these may have links to terrorist groups.

Management and Staffing

Although not required, Program Policy encourages intelligence and information sharing initiatives to have dual management, i.e., led jointly a federal participant and a state or local manager. Managers must have a strong understanding of criminal intelligence and the Intelligence Cycle.

Security

Clearances of HIDTA Participants

All personnel with access to national security information must have appropriate security clearance, i.e., Secret level or above. HIDTA funds can be used to cover the cost of obtaining security clearances.

Security of Facilities

The facilities storing and accessing criminal intelligence must meet the security requirements of the sponsoring law enforcement agency and the HIDTA Program. Program Policy allows participants to use HIDTA funds for the costs of upgrading the facility to meet the security requirements.

Security of Data

All criminal law enforcement information and criminal intelligence (files, documents, and data storage devices) must comply with the sponsoring agency's security standards. National intelligence data must also be secured according to Executive Order 13526 and any specific regulations relative to the appropriate federal agency.

Classifications

For convenience of discussion, let's separate intelligence information into two groups: information concerning national security and information concerning law enforcement activities.

National Security Classifications

Depending on its attributes, data can be classified according to its level of sensitivity regarding national security or secure areas of intelligence, in accordance with Executive Order 13526. Classified information is information that has been designated one of three levels of sensitivity:

- Top Secret
- Secret
- Confidential

Criminal Law Enforcement Classifications

Additional classifications you may encounter include the following:

Sensitive but Unclassified (SBU) Information – In the absence of national standards, each agency develops its own policies and procedures to identify and safeguard SBU information. Although often withheld from the public, it must be accessible to law enforcement, private security, or other persons who have a responsibility to safeguard the public.

Law Enforcement Sensitive (LES) - information that requires limited dissemination to anyone in the law enforcement community who has the right and need to know the information. LES information must stay within the law enforcement community for civil rights and privacy.

Personal Identifying Information (PII) – self-explanatory; PII must stay within the law enforcement community for civil rights and privacy.

For Official Use Only (FOUO) – unclassified, sensitive information not categorized by statute or regulation. Unauthorized disclosure could have an adverse impact on a person's privacy or welfare, the conduct of a federal program, or other programs or operations essential to the national interest. FOUO information can be shared with anyone who has the right and need to know the information.

Controlled Unclassified Information (CUI) - a designation that does not meet the standards for national security classification under Executive Order 13526, as amended, but is (i) pertinent to the national interests of the United States or to the important interests of entities outside the Federal Government, and (ii) under law or policy requires protection from unauthorized disclosure, special handling safeguards, or prescribed limits on exchange or dissemination.

Note: For more information about law enforcement classifications of information contact the manager of the ISC at your HIDTA.

Dissemination

In addition to the dissemination rules inherent in the classifications above, Program Policy also provides specific rules about disseminating information depending on its origin.

Protocol for Disseminating Information

The protocol for disseminating intelligence and information depend on the type of information.

Initiated By	Dissemination Rule		
Agency request	Returned to requesting agency.		
	Requestor is notified if other agencies are holding relevant information.		
HIDTA investigation	Disseminated to agencies having direct investigative or operational interest.		
	Otherwise, distributed to all HIDTA initiatives and participating agencies.		
	Intelligence products can be distributed		
	to EPIC and non-participating agencies		
	on a need to know basis.		

Three Categories of Dissemination Criteria

HIDTA intelligence and information sharing initiatives generally recognize three categories of information for dissemination.

<u>Initiated by an agency's request</u>

- Proprietary dissemination intelligence initiated by an agency's request must be handled according to the requesting agency's policies, established information sharing agreements, information system policies, and 28 CFR 23.
 - Disseminated only at the requesting agency's discretion, but the requesting agency must create at least a pointer to the information

Initiated by a HIDTA initiative

- Limited dissemination intelligence initiated by a HIDTA initiative with a nexus to ongoing cases conducted by **HIDTA**
 - The intelligence initiative disseminates to other agencies that have operational or investigative interest
- General dissemination intelligence initiated by a HIDTA initiative that has no specific agency operational or investigative equity
 - Disseminated to all HIDTAs and to non-participating law enforcement agencies as appropriate

Responsibilities of HIDTA Participants

Agency Participation

All HIDTA participating agencies should contribute to the intelligence initiative, either by a fulltime officer or analyst (preferred), a part-time staff member, or a designated off-site point of contact.

Any agency member filling a HIDTA-funded position must have appropriate access to his or her parent agency's criminal information systems. If the participating agency cannot provide ISC personnel direct access to its databases, that agency must designate a point of contact to ensure access to its information.

Individual Participation

All HIDTA participants who handle law enforcement information should be trained on the criteria for each classification and on the security requirements at the HIDTA for handling each type of law enforcement information.

Intelligence Coordinator

In some cases, the HIDTA Director may assign an administrative staff member to the intelligence initiative as an intelligence coordinator. The intelligence coordinator coordinates intelligence and administrative activities of the intelligence initiative, he or she may have supervisory authority within the intelligence initiative at the discretion of the Executive Board.

Intelligence Planning and Guidance Documents

HIDTA participants have several program documents that provide guidance in intelligence management and operations.

Below are suggested readings for anyone involved in the management and strategic planning of an investigative support center.

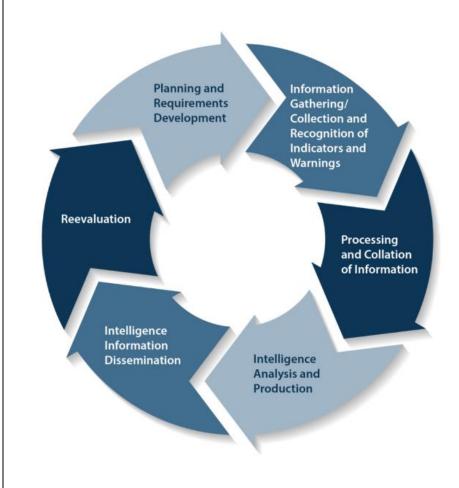
- National Strategy for Information Sharing and Safeguarding, 2012
- National Criminal Intelligence Sharing Plan Version 2.0
- J. H. Ratcliffe, *Intelligence-Led Policing* (Cullompton, Devon: Willan Publishing, 2016)
- 28 CFR Part 23, Criminal Intelligence Systems Operating **Policies**
- David L. Carter, Law Enforcement Intelligence: A Guide for State, Local, and Tribal Law Enforcement Agencies, 2nd Ed., 2009. Out of print, but you can download it from https://cops.usdoj.gov/resources and click the *Resource* Center link in the center of the page to redirect to the source site. For assistance contact U.S. DOJ/COPS Response Center at (800) 421-6770. (Verified accurate as of 1/10/21)
- Robert M Clark, Intelligence Analysis: A Target-Centric Approach, 5th Edition. Los Angeles: CQ Press, 2016
- *Law Enforcement Analytic Standards*, 2nd Edition, 2012. Available for download at https://it.ojp.gov/GIST (GIST is the Global Information Sharing Toolkit; additional resources are available here.)

The Intelligence Cycle

The intelligence cycle is a process of collecting and processing raw data and information into intelligence useful for specific purposes.

In general, the goal is to develop intelligence work products that can be used for planning, decision making, and investigative support. In the case of HIDTA, the intelligence is used for fighting the nation's illicit drug use, and production and its negative social and economic impact.

The intelligence cycle always begins by identifying the requirements for intelligence, and requirements guide every remaining step of the cycle.



Planning and Direction - Managerial guidance that prioritizes and synchronizes activities by the intelligence and information sharing initiative.

Collection - The gathering of raw information and data that will be used by analysts to prepare intelligence products and assessments. Collection involves establishing intelligence requirements, measuring criminal indicators, accessing databases (open-source, commercial and law enforcement), and gathering leads and tips.

Processing and Collating - Includes evaluating the validity and reliability of information, organizing new data and integrating it with established information, and deconfliction of information between and among other agencies.

Analysis - The use of established quantitative and qualitative processes to integrate data points with the aim of producing a broader and more confident understanding of a particular subject expressed in analytical conclusions, forecasts and/or estimates.

Disseminating - Putting the new or enhanced knowledge into a usable product (such as an assessment, bulletin, alert or briefing) and delivering it to the appropriate person(s) in a timely and actionable manner.

Re-evaluating - Ensuring that new information is added on a continuous basis to refresh the intelligence, and to measure the value and relevance of intelligence products in light of changing threats, contexts, and customer feedback.

Work of Intelligence Initiatives

Let's take a closer look at the work that the ISC and ancillary intelligence initiatives perform, considering the core functions listed in Program Policy.

Analytical Case Support

Intelligence initiatives provide analytical case support to the significant cases, working to provide analytical case support to all HIDTA cases.

ISC Activities

At the ISC, activities typically include:

- Association/link/network analysis
- Commodity flow analysis
- Crime-pattern analysis
- Financial analysis
- Flow analysis
- Geospatial analysis
- Telephone toll analysis
- Intelligence profiles
- Post seizure analysis
- Open source intelligence analysis

Many HIDTAs assign an intelligence analyst to each new HIDTA case and the analyst continues providing support over the course of the investigation until the conclusion of the case. The analyst becomes an integral part of each assigned case, and works multiple cases simultaneously.

Watch Center Services

The Watch Center component of intelligence initiatives typically provides these support services to the law enforcement community:

- Driver's license photos
- General photos and photo lineups
- Specific information requests
- Deconfliction of cases, targets, and events
 - Referrals to other HIDTAs' Investigative Support Centers or law enforcement agencies

HIDTA Executive Boards can authorize ISCs to support investigations that do not have a clear connection to a drugrelated crime.



Best Practice:

Assign an intelligence analyst to each new case and allow the analyst to provide support over the entire course of the investigation until conclusion. Of course, the analyst works on multiple cases simultaneously, but this practice enhances the analytical support provided.

For example, a task force pursuing a heroin network may ask the analyst to provide a list (and usage pattern) of telephone tolls made from a suspect's phone. The task force uses the information to lead to other possible subjects with whom the primary subject is associated.

Post-seizure analysis is document exploitation: the task force officers confiscate the subject's drugs and property related to the drug activity and turn over the documents to the ISC analyst so that the "scraps" of information can be input to an analytical database. These documents might be a name and address book, receipts for property purchases, and so forth. The information gleaned from these documents may be of use to further enrich the current case or to develop other cases in the future.

Threat Assessments

The intelligence initiative conducts and publishes an annual, unclassified threat assessment document that accurately describes the drug trafficking activities in the HIDTA region. The assessment often draws from external sources for information, such as medical examiner/coroner offices, area hospitals, universities, and various federal, state, local and tribal law enforcement agencies.

Intelligence Products

The intelligence initiative's work naturally includes a full set of tactical, operational, and strategic intelligence products such as warnings, bulletins, and special assessments.

This product	Answers the question
Tactical	"What information is needed to prevent or mitigate an imminent or short-term threat?"
Operational	"What information is needed to prevent tor mitigate a developing or long-term threat?
Strategic	"What changes in the threat picture exist in the coming months or years that can have an impact on operational planning and resource allocation?"

Information Sharing

Information must be shared within the HIDTA, among initiatives and among participating agencies, with other HIDTAs and with national investigative support centers outside of the HIDTA region as well as state and major urban area fusion centers within, overlapping, or proximate to a HIDTA region.

As mentioned earlier, each participating agency in the HIDTA provides collocated access to its investigative databases by way of collocated personnel at the ISC. HIDTA funded positions have strict requirements about database access.

Because intelligence and information sharing rely heavily on information technology, intelligence initiatives are responsible for establishing and maintaining the capacity to continuously and securely share information in a timely manner.

Deconfliction

Deconfliction is a critical function for all HIDTAs, and the HIDTA Program Policy specifies minimum requirements for case/subject deconfliction.

Event deconfliction is the advanced cross-checking of planned events to avoid danger or interruption to another drug case's activities.

For example, before carrying out a planned drug raid at 1401 Westside Street, the ISC analyst cross-checks the collective intelligence databases for possible conflicts with other cases' planned activities and other agency operations. Finding a surveillance squad staked out one block away, the intelligence and information sharing initiative advises the task force commander to cancel or postpone the raid until the surveillance conflict can be resolved.

Similarly, case/subject or target deconfliction also strives to avoid possible conflicts between cases and subjects under investigation.

For example, suppose a task force is opening a new case. The investigator submits the various information about the case to the ISC case and subject deconfliction. The agent likely submits information about the subject (driver's license number, name and birthdate, etc.): information about the vehicle each subject drives; or information about the subjects' residences or other locations at which they are known to frequent. The deconfliction request may reveal another agency already working the location or subject, or the vehicle may be linked to another subject an unrelated case.

All types of deconfliction serve to reduce duplication of effort, leverage intelligence activities, and promote officer safety.

Each HIDTA Executive Board adopts an established deconfliction system to provide online case/subject/target and event deconfliction services to law enforcement agencies within their HIDTA region.



Program Policy: Refer to Section 5.16 in the Program Policy (2020) for more information about deconfliction.

The Executive Board shall ensure participating agencies use the Nationwide Deconfliction Process (NDP), even for those investigations not funded by HIDTA, and shall ensure the invitation of non-participating agencies in the designated areas to use the NDP.

Discussion
If you have a problem with participants not performing deconfliction, how might you address the problem?

Innovative Intelligence Work

In addition to the core intelligence functions described in the HIDTA Program Policy, some HIDTAs have adequate staff and innovative ideas to proactively develop new cases.

Example: Post-prosecution Leverage

In some states, a judge can reduce the sentence within the first year of incarceration in exchange for cooperation with investigators developing subsequent cases. One HIDTA reports visiting convicted drug felons in prison about six months after their sentences begin. The HIDTA sends members of the intelligence initiative to interview prisoners as potential informants in the hope of developing additional cases and future targets.

Example: Mortality Data / Poison Control Cases

In another HIDTA, the ISC uses the Washington/Baltimore HIDTA's ODMAP and works closely with medical examiner offices and the area's poison control center to detect any unusual variation in overdose episodes that may indicate a new drug of abuse on the market or a change in drug purity, adjuncts, or administration methods.

Example: Gang Tips from the Public

Because gangs and guns are integrally related to drug trafficking in many communities, some HIDTAs have significant gang intelligence projects and Crime Gun Intelligence Centers (CGICs) within their ISC. Such projects may include working with state and local police agency gang intelligence units and CGICs, with state and county corrections agencies, and with federal agencies like the FBI, DHS-HSI and ATF who have investigative missions to counter regional, interstate and/or transnational gang and weapons trafficking enterprises.

Several HIDTAs have gang databases they maintain for participating agencies use, and one HIDTA operates an interactive public Web site to combat gang activity. The Web site accepts "tips and leads" submissions from the public.

Discussion What innovative intelligence activities have you implemented or recently heard about?

Organizing Intelligence Initiatives

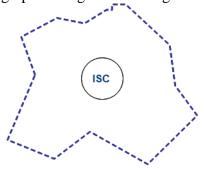
Intelligence and information sharing initiatives serve as the hub for the sharing of drug intelligence among federal, state, local, and tribal law enforcement personnel. Their organizational structure varies from one HIDTA to the next, but every HIDTA executive board and director should strive to develop initiatives that help drive intelligence-led decision making at all levels of each HIDTA's organization.

Structure and Organization

The structure and organization of the intelligence and information sharing initiative depends on the HIDTA's needs, geography, resources, and local preferences. Ideally, the intelligence initiative is a single, centralized location of personnel. In some cases, however, several intelligence initiatives may be distributed across several locations, but the goal should be to develop common organizational processes that connect all of the intelligence and information sharing components of each HIDTA.

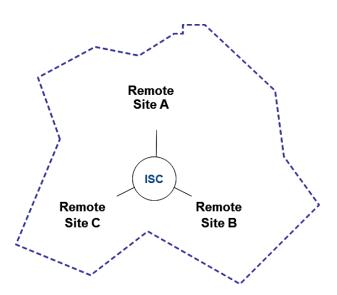
Centralized Organization

Optimally, the single intelligence initiative is the ISC, located in a centrally located facility with other multi-agency initiatives and the HIDTA management staff. This structure works well in a small geographical region or in single-state HIDTAs.



Distributed Organization

In the case of large geographic areas, however, the ISC can establish remote nodes, with each node having intelligence personnel virtually connected to the core ISC. This may be necessary to provide multi-agency participation across a large geographic, including multi-state area.



With this arrangement, the remote intelligence personnel may be imbedded within an enforcement initiative, performing intelligence functions on-site at the enforcement initiative's location.

So far, we have examined only two ways to physically structure the intelligence initiatives, but there are many other configurations as well. Each HIDTA Executive Board makes the best choice for its geographical area, the resources available to the HIDTA, and the needs of its participating agencies.

Now, let's look at the different ways of structuring the funding of the intelligence initiatives.

Various Funding Methods

Regardless of the physical placement of intelligence and information sharing initiative personnel, each HIDTA must have at least one intelligence and information sharing initiative. (See Program Policy, Section 6.2.)

The HIDTA might choose to divide the intelligence initiative into several separate initiatives to maintain separate funding and budgeting accounts. For example, if different lead agencies are running three physically separated intelligence initiatives, then each might have a separate budget.

It is also possible to have multiple grants funding a single intelligence and information sharing initiative, so the number of grants and awards funding the intelligence and information sharing initiative is often a matter of bookkeeping convenience.

HIDTA can allow a non-participating agency (external to HIDTA) to provide personnel and equipment to support the HIDTA intelligence and information sharing initiative. For example, a HIDTA might have a unit of the National Guard participating in the intelligence and information sharing initiative. In this example, the National Guard does not receive HIDTA funds; but the National Guard does contribute resources to the HIDTA..

Hours of Operation / Service Levels

Each HIDTA sets its own hours of operation and service levels for its Investigative Support Center. Here are samples of service levels set at various HIDTAs:

- 24/7 service for deconfliction requests; all other requests handled between 9 am and 5 pm, Monday - Friday
- All requests handled between 7 am and 7 pm Monday Friday
- 24/7 service for all requests; priority codes assigned to give highest priority to deconfliction and analysis and lowest priority to strategic intelligence

Discussion If you want to expand your Investigative Support Center operations to 24/7, how might you obtain more staff?

Best Practice:

Encourage participating agencies send their top talent.

The individual placed at the HIDTA represents his or her own agency and serves as a key conduit for critical drug intelligence.

ISC Staffing

Investigative support centers vary widely in staff size and job titles. Some centers are as small as three staff members, while other centers staff as many as 40. Ideally, the HIDTA intelligence and information sharing initiative is staffed by experienced personnel from the HIDTA's participating agencies.

Here are some common roles found in intelligence and information sharing initiatives.

- **Supervisor** May be sworn law enforcement or non-sworn mangers, supervisors or supervisory intelligence analysts. If from a state or local agency, the supervisor typically ranks as lieutenant or higher, although lower ranks are also qualified. If from a federal agency, the supervisor is often at level GS-14 or higher.
- **Investigator** A sworn law enforcement officer of almost any rank, often a detective rank, or a federal agency task force officer.
- **Intelligence coordinator** A person dedicated to ensuring that intelligence is shared among the initiatives other agencies and with the national investigative support centers. This person may be called an intelligence program manager.
- **Intelligence analyst** May be sworn law enforcement or nonsworn federal, state, or local analyst or contractor. These staff members are specially educated and trained for intelligence work. Intelligence analysts decipher information and look for relationships, alliances, commonalities, and trends, and analyze their effects on drug investigations using the intelligence cycle.

- **Information technology specialist** (recommended) this staff member is assigned to keeping the database connectivity and infrastructure operational and secure.
- **Data clerk** a staff member assigned to input data into the databases.
- **Administrative assistant** one or more staff members who receive the numerous intelligence requests and who perform other administrative work.

Depending on the size, budget, and division of work, the intelligence and information sharing initiative may use a few or all of the above positions.

Best Practice:

One HIDTA's executive board requires a deconfliction number on all operations plans, and the supervisor must sign off on all operations plans. Enlist the support of federal state and local prosecutors' offices to assistance in enforcing this requirement.

Critical Success Factors

This section describes the critical success factors for an intelligence and information sharing initiative.

Well-defined prioritization process

Assign priority codes or other means of indicating which intelligence requests receive immediate attention and which requests can wait. For example, most HIDTAs consider subject investigation a priority when there is a search warrant pending or any other officer safety concern.

100% participation in deconfliction

Event deconfliction services must be provided by each HIDTA around-the-clock (24/7) with an immediate response capability to all law enforcement in the HIDTA region. Executive Boards shall ensure the adoption of an established system that provides target/investigative data deconfliction with other HIDTAs and law enforcement agencies. . (See Section 6.2.8.) Require 100% participation by HIDTA-funded initiatives for the safety of the officers. Encourage all area agencies to participate in the HIDTA's deconfliction services.

Community relationships

- Provide law enforcement intelligence support to nonparticipating law enforcement if time and resources permit. This fosters community support.
- Provide non- law enforcement information to public health, and prevention and treatment personnel, and to community stakeholders whenever possible.

Facilities

- Collocate and commingle intelligence initiative personnel to facilitate information sharing where practical.
- Establish one location as the Investigative Support Center and develop and implement a coordination plan in the case of remote site locations.

Security

HIDTA security requirements for intelligence initiatives encompass three distinct aspects of the HIDTA: facilities, personnel, and information.

- Facilities: All intelligence and information sharing facilities shall meet the security requirements of the sponsoring agency, in accord with the level of information collected or stored at the facility. The costs of upgrading the facility to meet these requirements shall be an allowable use of HIDTA funds.
- Personnel: Personnel with a requirement to access national security information or secure areas of the ISC must have sufficient security clearance to allow such access. ISC Managers and Supervisors must have security clearances at a level to permit them access to all areas of the ISC facility.
- Information: All personnel are required to store all files, documents, and data storage disks in compliance with information classification and handling restrictions of the agency that originated the document or material or the sponsoring agency for the intelligence initiative, whichever has the more secure standard, including CJIS requirements when applicable.

Staffing

- Staff with personnel from as many participating agencies as possible. National Guard analysts from the Drug Control Program are permitted to supplement law enforcement analysts.
- Determine who will manage the intelligence and information sharing initiative and how this will be accomplished. Seeking the input from the executive board's Intelligence Committee, comprised of select executive board members, can be very helpful in establishing policies, supervisory and management authority, and staffing for the ISC.
- Develop a staff development program for personnel assigned to the ISC, to include training, continuing education, and recommended reading.

Keep turnover in the ISC to a minimum, but search for, lobby for, and retain top talent.

Structure and organization

- When determining the structure and organization of the intelligence and information sharing initiative, first consider the intelligence and information sharing needs and priorities of the HIDTA participants. Then, organize the center to meet the identified intelligence and information sharing needs of the HIDTA participants and partners, balancing the resources to the center's needs and the resources' capabilities.
- Organize the center with a protocol that includes a checkpoint or workflow checklists to ensure that each intelligence task gets done. This can be as simple as a follow-up phone call that may duplicate the intelligence report.

Where to Go for Help

Many of the above items are dictated by HIDTA policy, so be sure to refer to the guidelines and requirements stated in HIDTA Program Policy and Budget Guidance (2020).

You can ask questions directly to the supervisor of the ISC who can explain policies and procedures established by the lead agency or modified for HIDTA use.

Also, the HIDTA Resource Management System (known as the HRMS portal) stores a collection of guidelines, standards, and practices in two areas:

- **Document Center**
- Committees

Contact the National HIDTA Assistance Center (305.715.7600) for access if needed.

Key Points

- ISCs provide a central location for performing intelligence functions and sharing information, but other intelligence centers may also be used at some HIDTAs to support the drug intelligence, information sharing, and deconfliction mission.
- ISCs provide accurate, detailed, and timely tactical, investigative, and strategic drug intelligence to HIDTA initiatives, HIDTA participating agencies, and other law enforcement agencies.
- Intelligence analysts must use the intelligence cycle as a standard practice.
- Program Policy 6.2.1 describes the core functions of intelligence initiatives as:
 - Case Support
 - **Intelligence Production**
 - **Information Sharing**
 - Deconfliction
 - Access to agency and public databases
 - Share with EPIC, OCDETF, FinCEN, CNC, JTTFs, RISS, Fusion Centers, FSL&T agencies
- Intelligence initiatives can vary greatly in size, organization, funding, policies, and hours of operation.
- Security requirements include obtaining security clearances as required for all intelligence personnel, physically securing the facility, and safeguarding all of the data within the facility.
- Critical success factors include:
 - Ensuring as many of the HIDTA participating agencies as possible are represented in the ISC.
 - Ensuring watch center, analytical and support staff are well-qualified
 - Implementing a protocol for handling requests for support (e.g., assign a priority system to handle calls, include fail-safe procedures)
 - Collocating staff of the ISC whenever possible

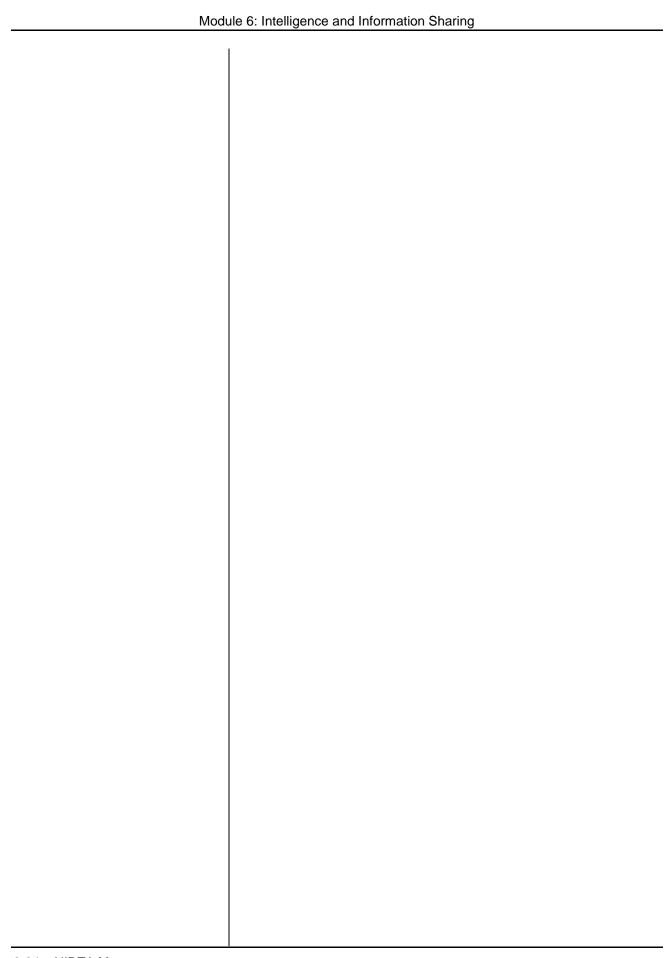
Key Points (continued)

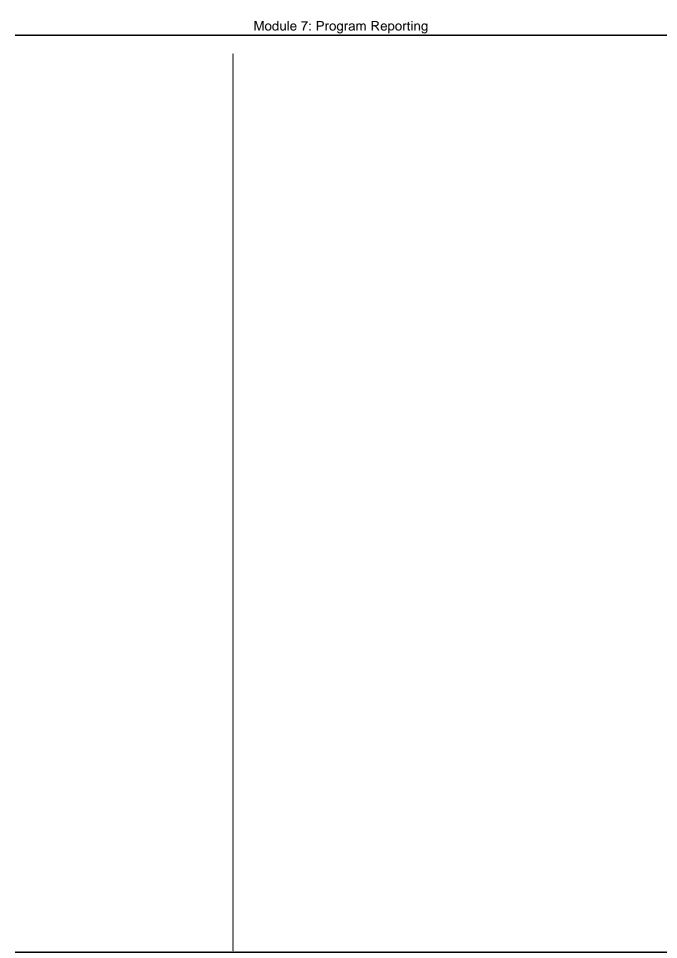
HIDTAs must adhere to the policies stated in the Program Policy and to all federal, state, local, and tribal laws and regulation regarding the collection, retention, and dissemination of criminal intelligence and personally identifying information.



Identify a few ideas from this module that you intend to implement at the earliest opportunity and write them in the space provided.

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Learning Outcomes

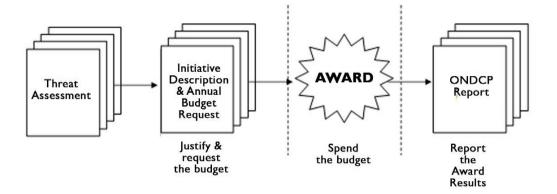
At the end of this module, participants will be able to:

- Describe the performance management process and its relationship to HIDTA Program documents
- For the Threat Assessment, and the Initiative Description and Budget Proposal:
 - Describe the purpose of each
 - List the key elements of each
 - Describe the process for developing each and how they interrelate
 - Describe how PMP data is used in preparing each document
- Describe how we use performance measurements are used in the HIDTA Program.

Overview of HIDTA Program Reporting

This module revisits the two HIDTA Program documents that are submitted to ONDCP during a given program year, and discusses them in light of their underlying data provided by HIDTA's Performance Management Process (PMP).

Module 1 described these documents at a high level, when describing HIDTA's program year. Modules 3 and 4 described the role of a HIDTA's executive board and the HIDTA Director in preparing these program documents. Module 5 described how these documents are an integral part of the budget process each year. Module 6 described the intelligence and information sharing initiative and its role in preparing the HIDTA's Threat Assessment, the initial document that provides the foundation for the HIDTA's subsequent program documents.



In this module, we look more closely at the purpose and contents of these two program documents and consider how the Performance Management Process provides data for each.

Program Reporting Relies on Performance Data

Take a look at how each document relies on data from PMP, a process that collects, stores, and summarizes key data for use in each of the program documents. For example,

- PMP data about trends in drug trafficking are among the inputs to the HIDTA's *Threat Assessment*;
- The Initiative Description and Budget Proposal for each initiative compiles detailed PMP data about each individual initiative.

Roadmap for this Module

This module will conclude by describing the nuances and the format of each of the two program documents above. Because the Performance Management Process provides much of the underlying data for each document, let's begin by taking a closer look at the Performance Management Process and the data it stores.

The Performance Management Process (PMP)

PMP is a data-driven process that enables HIDTAs and ONDCP to compare what a HIDTA accomplishes in a program year to what it said it would accomplish.

The HIDTA PMP, however, is not simply a comparison of expected and actual accomplishments. It is actually a continuous cycle of activities that illustrates the relationship between performance management and strategic planning.

The activities in the cycle are essentially:

- identifying the threats,
- developing a strategy to respond to those threats,
- designing initiatives to carry out the strategic plan,
- establishing performance expectations for the HIDTA,
- allocating resources to execute the strategy,
- managing the implementation of the initiatives,
- collecting information about the accomplishments of the initiatives, and
- assessing the success of the HIDTA

PMP Enables Strategic Planning

The HIDTA Performance Management Process enables and reinforces strategic planning for HIDTA regions. PMP is more than simply a data tracking system; PMP enables data-driven strategic planning through early detection of trends and swift, strategic responses to changes in drug trafficking.

For example, simply recording data in the PMP database, a HIDTA can measure its accomplishments, e.g., disrupted 40 of the 50 expected DTOs. However, the HIDTA must be sure to target the right DTOs. If larger, more deadly threats were not addressed, e.g., heroin, then the HIDTA hasn't achieved the desired outcome.

Best Practice:

Develop intelligence requirements and assign them to your ISC analysts to complete on a monthly basis. This makes it easier to develop the threat and allows you to quickly respond quickly to ad hoc inquires.

On the other hand, strategic planning without performance measures can direct efforts to the highest priority drug threats, but participants can't show achievements and progress for their efforts or for the investment of HIDTA funds.

Key Concepts of PMP

HIDTA's PMP is designed to measure the success of an individual HIDTA and the success of the overall HIDTA Program. Notice, it is not a tool for comparing HIDTAs or initiatives.

Actual vs. expected

The success of a HIDTA is determined by its performance; i.e., how well it does compared to how it expected to do. Disrupting 40 of the expected 50 DTOs/MLOs is an example of the comparison that assesses its success.

Core tables for every HIDTA

Currently, 12 core tables display performance measures common to all HIDTAs. Six of the tables address Goal 1 of the HIDTA Program, and six address Goal 2.

Goal 1:

Disrupt the market for illegal drugs by dismantling or disrupting drug trafficking and/or money laundering organizations).

Goal 2:

Improve the efficiency and effectiveness of HIDTA initiatives.

Setting performance targets

Each HIDTA proposes performance targets for the coming program year and negotiates with ONDCP as needed. The targets should be realistic, yet challenging.

Each HIDTA's proposed targets are unique to its regional threats and capabilities, with a few exceptions. All HIDTAs share program-wide performance expectations for:

- Percentage of new DTOs/MLOs deconflicted (+/- 15%),
- Percentage of positive responses to follow-up surveys about HIDTA-provided training, analytical case support, and intelligence products (+/-15%).

Software

WebPMP is the online software HIDTAs use to enter PMPrelated information. The software maintains an initiative-based database that enables HIDTAs to record and collect almost all of the data needed to complete the two program documents.

Using PMP and IDBP data

Before the program year

- 1. Define proposed initiatives. Local HIDTA administrators begin preparing for a new program year by defining initiatives in the database, i.e., repositories to collect data about each initiative. Every initiative the HIDTA supports must be fully defined in the PMP/IDBP database, a definition that includes its initiative description (mission, purpose, threat focus), staffing (positions and parent entities), investigative approach and performance expectations (targets).
- 2. Prepare a detailed budget for each initiative. In a separate system, FMS.net, the financial manager of the HIDTA coordinates, collects, and records proposed budget information for each funded initiative. This budget information is stored in FMS.net at a very detailed level, account by account for each initiative, but only the initiative's total budget amount, i.e., the amount of funding the initiative is requesting from ONDCP, is sent to the PMP database. So, at a high level, an initiative's total budget request (and later the approved budget amount) appears in WebPMP.

- 3. Generate the IDBP for each initiative. Using the WebPMP software, local HIDTA staff generates a printed file, the Initiative Description and Budget Proposal, that the initiative commander reviews before it goes to the local Executive Board as part of the budget package.
- 4. Compile, review, and submit the HIDTA's budget package. The Executive Board receives a compiled budget package to review and approve prior to submitting to ONDCP. The budget package consists of:
- Threat Assessment which includes PMP data about recent history of DTOs/MLOs dismantlement, drug seizures, etc. and distills the local HIDTA region's data with intelligence data obtained from reliable external sources¹⁵.
- **Initiative Description and Budget Proposal** (IDBP) documents, generated by WebPMP and detailed in FMS.net, describe each initiative in detail.

Budgets approved; awards issued

- 5. Submit the budget request to Congress. Using the individual HIDTA submissions, including data in the PMP database, ONDCP compiles the HIDTA Program budget, and submits its budget request to Congress.
- 6. ONDCP issues awards. Once Congress appropriates funding for the HIDTA Program, ONDCP issues award and makes funds available for use within 90 days. In most program years, funding arrives after the program year begins, i.e., after January 1.

All but the IDBP are produced separately from WebPMP or FMS.net, using Word for example, and follow the format that ONDCP specifies.

¹⁵ Reliable external sources include intelligence documents from DEA, overdose reports from public health agencies, and survey results from federal, state, and local agencies.

Recording PMP data

The beginning of each program year (calendar year) starts a new cycle of PMP data, yet PMP coordinators work on two sets of data simultaneously during the first few months of each program year.

- Previous year data to verify and make edits, if needed, to ensure accuracy in reporting of actual data
- Current year data to setup initiatives in preparation for recording actual performance data and to begin keying the year's actual data. If an initiative's efforts or circumstances change, adjustments to the initiative's performance targets may be required; each change must be negotiated with ONDCP.

As the year progresses

7. Record actual data for the new program year. The local PMP coordinator or a delegated initiative member records actual performance data as the year progresses. According to Program Policy, the actual data must be keyed at least quarterly, but more often if desired.

PMP Committee Steers the Process

A committee of HIDTA directors steers the development of the Performance Management Process and its user-friendly software. Chaired by the Washington/Baltimore HIDTA Director, the committee ensures the concepts, definitions, and requirements are clearly explained, promptly disseminated among the HIDTAs, and consistently followed.

The committee meets annually face-to-face, and more frequently by phone conference to discuss ongoing issues and recommended changes, but ONDCP is the ultimate authority on all suggestions and recommendations the committee makes.

The committee receives input from the PMP Users Group, a group of knowledgeable representatives of all HIDTAs.



Best Practice:

When looking at the counties within your HIDTA region, consider drug trafficking activities in contiguous counties.



Best Practice:

Share the Threat Assessment with non-HIDTA agencies to increase awareness and encourage their involvement.

The Threat Assessment

The Threat Assessment is an annual analysis of drug trafficking and related activities taking place in the HIDTA's region. Because it is the first document in the chronological sequence of program documents, preparation starts well before the program year begins.

Purpose

The Threat Assessment provides the basis for developing the HIDTA's strategy (IDBPs) because it identifies the drug threats in the HIDTA region and describes the organizations responsible for the manufacture, cultivation, importation, transportation, distribution, or diversion of those drugs.

Contents

As a requirement, the Threat Assessment must specifically identify and describe those drug trafficking activities that affect other parts of the United States.

PMP data is useful

Although the PMP database is not an intelligence database, it contains information helpful for preparing the Threat Assessment.

Examples

Several core tables provide information about the number, operational scope, and priority designations of the DTOs and MLOs known to the HIDTA. 16

Table 4 provides information about the quantities of drugs seized by the HIDTA in the previous year.

Table 6 provides similar information about the number of clandestine meth labs the HIDTA encountered.

Data can be exported using WebPMP to show detailed data stored such as the source areas for drugs and the specific locations of drug seizures.

Format

The formats for all program documents may change slightly from year to year. ONDCP provides revised formats.

¹⁶ Priority designations recorded in the PMP database are: CPOT, RPOT, OCDETF, and DEA PTO. The count of DTOs and MLOs that have these designations is reported in core tables 1-3 and in 2 threat-specific tables for MLOs.



Best Practice:

Anticipate questions. Look back on the pass-back questions you received last year.



Best Practice:

Executive boards should reevaluate all initiatives continued from the previous year in light of the current year's drug threats, and previous year's progress to projected outputs. Don't be hesitant to terminate an initiative no longer needed or one that is not expected to have meaningful outcomes.

Initiative Description and Budget Proposal (IDBP)

Each HIDTA submits multiples IDBPs – one for each initiative the HIDTA plans to carry out.

The IDBP must adequately describe the initiative's:

- proposed activities, e.g., investigate heroin trafficking DTOs, provide analytical support to HIDTA initiatives, train HIDTA participants, etc.
- anticipated staffing and leadership
- funding needed
- expected accomplishments in the upcoming program year, i.e., performance targets

The IDBP must provide sufficient detail for ONDCP to understand how the initiative fits into the HIDTA's strategy and addresses specific threats identified in the Threat Assessment.

Changes After Budget Approval

If the HIDTA makes a significant change in the initiative's organization, staffing, or investigative focus after budget is approved, it must submit a revised IDBP to ONDCP explaining any changes. Depending on the changes, the HIDTA may also need to submit a reprogramming request to ONDCP for program year's approved budget.

WebPMP Generates the IDBP

The IDBP for every initiative is automatically generated by WebPMP using the PMP database. The data therefore originates from the data each HIDTA's PMP Coordinator or initiative delegate enters.

Format

The formats for all program documents may change slightly from year to year. ONDCP provides revised formats.

Key Points

- The Threat Assessment, and Initiative Description and Budget Proposals (with supporting data recorded in two software tools) provide budget justification for the upcoming program year.
- All of the program documents are submitted to ONDCP on or before June 15th each year.
- The Performance Management Process is embedded into each of the program documents because data is gathered, input, and validated throughout the program year; Program Policy requires PMP data to be recorded at least quarterly.



Identify a few ideas from this module that you intend to implement at the earliest opportunity and write them in the space provided.

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Suggestions from the Reader

We want to hear from you. In the space below, please list your suggestions for improvement of the training program and the training materials. Fax this form to:

Vikki Wells Training Manager National HIDTA Assistance Center Email: wellsv@nhac.org

Participant Guide

Page	Suggestion or Correction Needed
- 3	
Handaute Olld	CD and other Classes we Materials
Handouts, Sildes,	CD, and other Classroom Materials
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Item	Suggestion or Correction Needed

Best Practices to Share With Others

Topic	Best Practice
Other Materials or Tr	aining Needed
Describe the materials	s or additional training needed.