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## Part II:

# Resources, Processes and Technologies

This section of the Summary Performance Plan highlights the resources, processes and technologies that are required in order to achieve the Department's FY 1999 performance goals. The Plan assumes an FY 1999 budget for the Department of \$20,924,030,000; 109,844 positions; and 125,535 workyears.

It also assumes that funding and staff will be provided for initiatives relating to Indian Country, Hate Crimes, Drug Testing, Drugs, Immigration, District of Columbia Revitalization, Counterterrorism and Cybercrime, State and Local Assistance and Infrastructure. Detailed information on required resources is provided in the individual component budget submissions.

## Major Process and Management Improvements

Achieving our FY 1999 performance goals requires that we continue to make progress in addressing major management issues. Because of the importance we attach to management, we have made it a separate and identifiable part of our strategic and annual plans. We have set specific goals in FY 1999 related to improvements in information technology, financial management, management oversight, integrity programs and organizational and process change.

Major process and management improvement initiatives that will be on-going in FY 1999 include:

### Accounting Systems and Financial Management.

We are continuing to improve our financial management practices. DEA, INS, and USMS are installing new accounting systems and the BOP is migrating to the Department's system. We are also

taking steps to respond to weaknesses identified in recent audited financial statements. The Attorney General is declaring three departmental material issues as a result of these audits. As a result, we have initiated action to establish more effective controls over property and equipment, ensure the proper recording of accounts payable and expenditures and reconcile fund balances and accounts. In addition, we have added corrective actions related to the existing departmental material weakness on automated data processing security those steps necessary to correct security and internal controls problems associated with the processing of financial transactions at the Department's data centers in Rockville, Maryland, and Dallas, Texas. Similar actions are being taken at the component level to correct the reportable conditions, including material audit issues, identified by the independent auditors in their reports on the components' audited financial statements.

### Monitoring.

We will continue to improve the monitoring of our grant programs. Specifically, the COPS Office will increase the number of site visits to ensure that grantees are complying with the terms of their awards, that COPS funds are being used appropriately and that law enforcement agencies receiving COPS grants are implementing community policing practices. These actions will also address one set of reportable conditions identified by the independent auditors examining the 1996 financial statements.

### Debt Collection.

Under the leadership of the acting Chief Financial Officer (CFO), we have conducted a comprehensive review of current debt collection activities. We are now preparing a Department-wide action plan to correct deficiencies and fully

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implement the Debt Collection Improvement Act (DCIA) of 1996. In accordance with the DCIA, we transmitted our first submission of delinquent judgment debts to the Department of the Treasury for administrative offset in July 1997. We transmitted our first submission of non-litigation debt to Treasury for cross servicing in October 1997. We anticipate that all Justice components with delinquent receivables will implement Treasury's administrative offset and/or cross servicing programs during FY 1998.

Several critical projects are underway to improve debt management. With the passage of the DCIA, the Attorney General now has permanent authority to retain private counsel to help collect delinquent Federal debt in as many Federal judicial districts as needed. We have taken steps to implement this authority and extend the use of private counsel to additional districts. In addition, we are improving the Nationwide Central Intake Facility (NCIF). NCIF is the central repository to which Federal agencies refer debts not exceeding \$1 million for litigation. We will be deploying an automated system to assist in the management of these cases starting in FY 1998 with completion by FY 1999. We will also be using technology to improve the management support and oversight functions performed by the Justice Management Division. By the end of FY 1999, a new debt management system (DMS) will be operational. The DMS accounts for and disperses funds collected on civil and criminal cases handled by the Department.

### **Asset Seizure and Forfeiture.**

We are strengthening the asset forfeiture program. One of our priorities in FY 1999 is to use asset forfeiture in a strategic manner to further our goal of disrupting and dismantling criminal organizations. We also will continue to improve the management and timely disposal of forfeited property and have made this a specific goal in our FY 1999 Summary Performance Plan.

During FY 1999, we will continue to improve the accuracy, timeliness and completeness of information on the asset forfeiture program by

further refining and deploying CATS, the Consolidated Assets Tracking System. The CATS provides a consolidated asset forfeiture database that incorporates the asset forfeiture information of all Federal agencies participating in the Federal asset forfeiture program with the exception of the U. S. Customs Service. We also expect that the full implementation of CATS, along with interim management improvements, will address seized asset accountability items raised in some components by the auditors in connection with the financial statement audits.

### **Management Tracking.**

We will continue to implement and improve the Attorney General's Management Initiatives Tracking system. Under this system, the Attorney General receives periodic progress reports, both in writing and in person, on the status of priority initiatives. In addition, all of our components and the Office of Inspector General have responded directly to the use of the audited financial statements to identify management weaknesses and we will continue our increased monitoring and tracking of the status of those issues.

### **Capital Planning for Technology Investments.**

We have established an Information Technology Investment Board chaired by the Deputy Attorney General and comprised of the senior leadership of the Department. This Board reviews and approves major information technology investments and monitors compliance with cost, schedule and performance targets. The Board began operation in 1997 on a pilot basis. An evaluation of the pilot led to refinements that are now being implemented. The Board is also overseeing the development and implementation of a departmentwide information technology architecture to ensure interoperability of Justice systems.

### **Year 2K.**

It is the Department's policy that all our mission-critical systems, including non-computer systems, shall be fully Year 2000 compliant by no

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later than January 1, 1999. Under the leadership of the Department's Chief Information Officer (CIO), we are aggressively monitoring this issue and providing periodic reports to the Attorney General and the Deputy Attorney General, the OMB and the Congress. Each affected component has designated a senior executive to be responsible for Year 2000 issues. We are using a contractor to conduct an independent verification and validation study and the Office of Inspector General is also conducting its own review.

### **Process Changes.**

The significant changes in INS processing of applications for naturalization (citizenship) that began in 1997, and for which funding was received in FY 1998, will continue to be implemented and improved in FY 1999. In addition, in FY 1999 we plan to begin to apply the reengineering methodology used to revise the naturalization process to other INS benefit programs.

## **Major Technology and Infrastructure Improvements**

One of the top priorities of the Attorney General is addressing the substantial infrastructure needs of the Department. She recognizes that we cannot attack increasingly sophisticated criminal conspiracies or handle highly complex litigation, without making long term investments in our people and giving them the tools and technologies to do their jobs. It is for this reason that several of the goals in this Summary Performance Plan deal directly with infrastructure improvements, especially in the area of advanced information systems and other technology.

The following recaps selected initiatives included in the FY 1999 budget request and/or

scheduled to become operational in FY 1999.

## **1. Technology Initiatives**

### **(1) FBI**

#### **Information Sharing Initiative (ISI).**

The FBI is proposing an expansion of its current information technology environment in order to facilitate the multi-agency cooperation and coordination necessary to combat counterterrorism, international crime, technology crime and other types of activities. To provide the information technology functionalities required by investigators, analysts and other employees, the FBI has developed a multi-year strategy, known as its Information Sharing Initiative (ISI), to modernize and augment its computers, applications, and telecommunications networks. The ISI will yield improved collection, management, processing, analysis and exploitation of case information and intelligence; permit secure, controlled access to multi-agency information; and provide data integrity and security.

#### **NCIC 2000.**

NCIC 2000 will replicate the information services currently provided by the FBI NCIC system (National Crime Information Center), as well as provide enhancements for fingerprint matching capabilities and additional files such as mugshots and pictures of stolen property for over 79,000 authorized users. It will reach full operational capability by late FY 1999.

#### **IAFIS.**

The Integrated Automated Fingerprint Identification System will be a rapid response, paperless system that will receive and process electronic images, criminal histories and related identification data for the entire criminal justice community. Like NCIC 2000, it will reach full operational capability by late FY 1999.

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## (2) DEA

### **FIREBIRD and IMPACT.**

FY 1998 will be the first year that FIREBIRD will be fully operational in all DEA division offices and up to 40 percent of its district offices. FIREBIRD is an automated system which consolidates information from a variety of sources and gives special agents and intelligence specialists the ability to quickly access and analyze critical information.

In FY 1999, DEA will continue developing and implementing an Information Management Program and Case Tracking (IMPACT) system which will be incorporated into its FIREBIRD network. IMPACT will allow investigative staff to leverage existing information, not possible without FIREBIRD. IMPACT is a mission oriented, field-led initiative that focuses on the collection, use and dissemination of information at the field level.

### **MERLIN.**

MERLIN is DEA's advanced workstation to support the classified processing needs of intelligence analysts and special agents. It provides for the storage, dissemination and retrieval of investigative data, photos and reporting. MERLIN will be installed in DEA Headquarters and all DEA Field Divisions, and selected DEA foreign offices by FY 2000.

## (3) USMS

### **Justice Detainee Information System (JDIS).**

USMS requests funding to provide adequate staffing for the completion of the JDIS, an offender-based information system. The goal is to integrate into a single application information related to: warrant/summons administration; investigation support; jail and facility management; prisoner population management; prisoner transportation; and prisoner booking.

## (4) INS

### **Technology Infrastructure.**

By FY 1999, INS will have completed its Technology Infrastructure Project (TIP). As a result of TIP, each INS office will be equipped with standard integrated sets of office automation hardware and software.

### **Examinations Systems.**

INS is seeking funding in FY 1999 to continue the deployment of CLAIMS IV, the Computer Linked Application Information Management System. CLAIMS IV provides for an integrated set of functions incorporating all casework oriented subsystems used to support the processing of applications and petitions for immigration benefits.

### **Enforcement System.**

INS will also continue during FY 1999 to further deploy IDENT and ENFORCE. It is anticipated that deployment to the most critical border locations will be completed in FY 1999 and deployment will begin to other selected sites. In addition, INS will apply other technology to aid its enforcement effort including the use of sensors and infrared border monitoring equipment.

### **Inspections Systems.**

In support of efforts to control and improve inspections at ports-of-entry, INS will continue to deploy and upgrade IBIS (the Interagency Border Inspection System), INSPASS (the INS Passenger Accelerated Services System) and SENTRI (the Secure Entry and Travelers' Rapid Inspection system).

## (5) JMD

### **Joint Automated Booking System (JABS).**

In FY 1999, the Department plans to start the first year of its two-year national implementation

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plan. JABS uses modern technology to improve the effectiveness and efficiency of booking Federal offenders and improve the sharing of information among criminal justice agencies.

## 2. Facilities

### **Firearms Training Facilities.**

During FY 1999, the FBI is seeking funding to continue the modernization of the FBI Academy firearms ranges.

### **Justice Training Center.**

In 1997, Congress provided roughly \$29 million to begin construction of the new JTC complex in Quantico, Virginia, designed to provide urgently needed resident training for both the DEA and FBI's long term training needs. Construction began in 1997 and the facility is scheduled for completion and occupancy in FY 1999. The JTC will house 250 students and provide vital training to DEA and FBI personnel, and State, local and foreign law enforcement students.

### **National Advocacy Center.**

The United States Attorneys' National Advocacy Center (NAC) in Columbia, South Carolina, will be activated in FY 1998. The NAC will feature an integrated instructional and residential facility augmented by a conference and research center with student and support services on site. EOUSA has engaged in a collaborative effort with the National District Attorneys Association to create a premier training center that will bring together Federal, State and local prosecutors to train in a state-of-the-art facility.

### **LAB Construction.**

Both the FBI and the DEA will continue to upgrade their laboratory facilities. The FBI lab is to be moved from the JEH Building to the FBI Academy in Quantico, Virginia. Construction is scheduled for completion by FY 2000. DEA will use its construction base funding in FY 1999 to

support the priority replacement of five of its aging, obsolete laboratory facilities. These DEA forensic laboratories no longer meet DEA's ever increasing operational requirements and raise significant health, safety and liability issues.

### **INS Border Patrol and Detention Projects.**

INS seeks FY 1999 funding to expand its detention bedspace capacity, design and construct Border Patrol Stations, improve border fencing and make other facility improvements.

### **BOP Facilities.**

BOP seeks additional funding in FY 1999 to operate a 200 bed expansion at FCI Lorretto. It also requests resources to meet the added requirements to eventually assume full responsibility for adult felons sentenced in D.C.

## 3. Equipment

### **Justice Prisoner and Alien Transportation System (JPATS).**

The USMS is seeking funding in FY 1999 to increase its capabilities to provide air transportation for prisoners and detainees, including an estimated 100,000 criminal and non-criminal alien detainees. JPATS plans to purchase one small jet aircraft to replace two aging and inefficient Sabreliner 80s, lease several aircraft to replace the 1950's era Convair 580s and make structural modifications to its hangar facility in Oklahoma City, Oklahoma.

### **Narrowband Radio Communications.**

Investigative and operational activities of the FBI, and our other law enforcement components, depend heavily on radio communications. Much of this equipment is old and outdated and must be replaced. Further, by 2005, all existing radio communications systems must be capable of operating within a 12.5kHz narrowband channel. In FY 1999, the FBI will establish a Narrowband Radio program office to support implementation of this required upgrade of its nationwide system.



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## Part III:

# Measurement Issues

The Government Performance and Results Act poses formidable measurement and analytical challenges. The Department of Justice, like most agencies, has only recently begun to grapple with these myriad challenges. This section of the Department's FY 1999 Summary Performance Plan highlights these challenges and our initial efforts and future plans to address them.

## Cross-Cutting Goals and Indicators

A major challenge facing the Department, and the Federal Government as a whole, is developing and obtaining agreement on performance goals and indicators in cross-cutting areas, such as violent crime reduction. Differences in approach, terminology, data systems, and the like, make obtaining such agreement a formidable task. However, the interconnections among DOJ programs, especially between our investigative and prosecutorial efforts, and between DOJ and other Federal agency activities, make it imperative that we do so.

We have made significant progress in developing cross-cutting goals and indicators the past year. The FY 1999 Summary Performance Plan identifies common goals and indicators in important areas that involve multiple Justice components, including violent crime, white collar crime, drug-related crime and detention. Similarly, the Plan identifies a number of goals that are shared with or significantly involve non-Justice agencies.

However, we recognize that a great deal of additional work in this area is needed. In the year ahead, we will continue to focus on developing and improving cross-cutting goals and indicators both among our Justice components and with our Federal agency counterparts. We will continue to

work with ONDCP and other agencies in developing and implementing an interagency performance measurement system to help gauge the effectiveness of the National Drug Control Strategy. We will invite the Department of Treasury and other Federal law enforcement agencies to join with us in a collaborative effort to develop complementary and, where appropriate, common measures in other areas of joint concern. We will also continue to participate with other agencies in the Performance Consortium of the National Academy for Public Administration which, among other projects, is developing means to assist agencies in addressing cross-cutting issues.

## Performance Targets

In several goal areas, we do not establish numerical performance targets. The Department of Justice is deeply concerned that estimated levels of performance not become bounty-hunting targets, violate professional standards of ethical conduct or otherwise lead to unintended and possibly adverse consequences. Recent revelations of abuses within the Internal Revenue Service underscore this concern. As a result, we do not set quantified targets for indictments, convictions and the like. However, the Department will include these data, based on actual accomplishments, in its annual performance report.

In a few areas, problems in estimating levels of performance reflect the paucity of available baseline information. Without such a baseline, it is impossible to predict with any confidence the marginal changes that are likely to occur. Several of our components are working to develop additional baseline data in 1998. The COPS Office, for example, will be identifying the number of jurisdictions that have adopted community policing as a result of COPS grants.

In other areas, however, baseline data are either

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unavailable or in dispute. For example, there currently are no official estimates of the available supply of illicit drugs in the United States. This is an issue currently being addressed by the ONDCP, DEA and others.

## **Validity and Appropriateness of Measures**

In social science, “validity” involves determining whether or not the particular indicator or set of indicators is the best way to measure identified phenomenon or activity. That is, does the measure (or family of measures) provide the kind of information we want to know about a particular program and truly measure the performance of that program?

We believe that over time experience will lead to the improved identification of performance measures that “make sense,” tell program managers and policy makers what they want to know, and are, in a non-scientific sense, “valid.” At the same time, we will look to research being conducted by the National Institute of Justice on “measuring what matters” and related topics. Many of the studies and evaluations sponsored by NIJ and others provide findings and recommendations related to performance measures for different kinds of program strategies.

We will also emphasize the so-called “balanced scorecard” approach, that is, the use of measures that relate to different aspects of a program’s performance (e.g., strategic goals, customer service, innovation, internal processes). The advantages of the “balanced scorecard” are that it provides information on multiple dimensions of performance rather than just one. It also provides richer, more complete data for use by different levels of management. Although the focus of GPRA is on outcomes, the Department of Justice has for several years encouraged our components to provide in their component-specific plans a range of types of measures (e.g., inputs, outputs, productivity, customer satisfaction, intermediate

and end outcomes). The annual performance plans of the components include these various kinds of measures.

To the extent feasible, the goals and indicators in the DOJ Summary Performance Plan focus on intermediate or end outcomes, but many are more “output” than “outcome” oriented. As we continue to improve our performance plans in the years ahead, we will attempt to include more and more outcome type measures.

However, frequently it is not possible to establish realistic outcome indicators on an annualized basis. Many outcomes, if not most, occur over a longer time horizon than one year. For example, the FBI is implementing a new strategy intended to increase the likelihood that children who are abducted are returned safely. The program logic is that more timely notification of the FBI by local police will lead to more children returned to their parents unharmed. While it makes sense to measure the activities (e.g., outputs) undertaken to implement this strategy in FY 1999, and perhaps intermediate outcomes (e.g., the percent of child abduction incidents reported to the FBI within a three-hour period), end outcomes (e.g., increases in child safety) are unlikely to be detected for several years.

We have emphasized the use of quantified measures. However, some of our indicators call for a narrative and qualitative assessment as a supplement to, or in lieu of, “hard data.” We believe that this approach is especially appropriate in areas such as research and litigation where the discovery of knowledge or the establishment of legal precedent are both impossible to predict or reflect adequately in quantitative terms.

## **External Factors**

As discussed in the Department’s Strategic Plan, it is extremely difficult to isolate the effects of Justice programs and activities from other events and factors that affect end outcomes and over which the Department has little control. These include social-structural factors, cultural attitudes and practices, changing technology, political and

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economic developments overseas, among others. As a result, we remain concerned that performance information be interpreted and used with caution.

## Data Sources

We have identified the specific sources of performance data for each of the indicators. Our analysis shows that for the vast majority of these indicators, data are already collected and reported through existing statistical series and internal Justice data systems. **Figure 1** summarizes the principal sources of FY 1999 performance data.

Some indicators require modifications or enhancements to data collection systems. For example, the OCDETF program plans to work with the investigative agencies and the U.S. Attorneys to collect data on completed investigations regarding the extent to which the goal of dismantling or disrupting the criminal organization has been achieved. The U.S. Attorneys plan to begin to collect data on victim impact statements in Federal criminal proceedings. DEA will be expanding the use of post deployment reviews to measure the effectiveness of its MET program.

The Department of Justice recognizes that good information — information that is accurate, relevant and timely — is vital. Therefore, in FY 1998, we will work with our major component organizations to continue to systematically assess our performance data needs and capabilities. We anticipate convening a DOJ working group, comprised of senior level officials, to oversee this assessment and provide recommendations for action. This group will include both DOJ's Chief Information Officer and the Director of the Bureau of Justice Statistics as well as representatives of the producers and consumers of performance data. Recommendations may involve additional resources to support new or improved data collection systems and practices. There is little doubt that performance measurement is likely to entail making changes to current tracking and reporting systems. However, deciding whether or not to establish new data collection systems, or

make major revisions to existing ones, will involve difficult tradeoffs between the costs and benefits of doing so.

## Verification

Even as we continue to improve our data systems, we will attempt to improve the integrity of performance data. Concern about data integrity is especially acute in the immigration area where it has been singled out for inclusion as a specific strategic and annual goal. INS has committed itself in its FY 1999 Performance Plan to significant improvements in the completeness and accuracy of its mission-critical data.

We will also continue to enhance our financial data. Our goal, as stated in our Five-Year Financial Management Plan and in this Summary Performance Plan, is to provide complete and useful financial information that fully supports financial and performance reporting, so that program and financial managers can achieve their objectives. We are moving toward this goal by installing new accounting systems in the DEA, INS and USMS and completing the migration of the Bureau of Prisons to the Department's system. In addition, we are committed to the deployment in FY 1999 of a new Debt Management System (DMS).

We plan to ensure the accuracy and reliability of the data included in the Department's annual performance reports by the following means: (1) examining and analyzing the data to identify anomalies or inconsistencies; (2) making comparisons to other data series measuring the same or similar variables; (3) requiring the submitting entities to both certify to the accuracy and completeness of the data and to identify explicitly any data limitations, including problems in collection procedures and practices; (4) instituting appropriate quality control checks, including secondary review; (5) conducting periodic data audits; and (6) obtaining independent audits of our financial statements. In addition, the Department's Inspector General will review



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component performance measurement activities during the conduct of its audit and inspection activities. Verification issues will be among the topics addressed by the departmental working group mentioned above.