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SPENCER ABRAHAM

INS REFORM

Floor Speech by U.S. Senator Spencer Abraham (R-Michigan)
Chairman, Senate Immigration Subcommittee

April 29, 1998

MR. ABRAHAM. Mr. President, I would like to discuss the Immigration Subcommittee's plans for a series of hearings on reform of the Immigration and Naturalization Service. At the beginning of this Congress, I outlined my agenda as the incoming Chairman of the Subcommittee on Immigration. During that discussion I noted that the time had perhaps come to consider fundamental reform of the INS.

In particular, I raised the question whether an agency charged with both policing our borders and providing services to those seeking to come here legally and become citizens could perform either mission well.

Nothing I have observed since that time has persuaded me that these concerns were misplaced. To the contrary, the problems I have observed with the Service's functioning leave me persuaded that the current structure simply does not work. I also remain of the view that splitting responsibility for INS' different missions is an important part of the solution.

In my view, Mr. President, we must take a hard look at all aspects of the current INS structure. Right now, for example, the distribution of policy making authority between headquarters and field offices seems haphazard at best. There also seems to be almost no mechanism for implementing priorities and holding workers responsible for failing to do so. INS' bureaucratic culture appears to tolerate and almost expect failure.

Mr. President, I would like to spend a few minutes setting forth some examples of these rather serious problems.

Most people are by now familiar with the story of "Citizenship USA": how what began as a laudable effort to reduce the backlog of legal immigrants waiting to become Americans ended up sacrificing the integrity of the naturalization process, leaving a bitter aftertaste to what should have been the joyous experience of becoming a citizen of this great country.

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In the course of that effort, thousands of criminal background checks were not completed, leading to the naturalization of people who had committed disqualifying crimes. As a result of the program's deficiencies, the INS is already working to revoke the citizenship of 369 immigrants, and is considering action in almost 6,000 other cases. Revocation of citizenship, however, is properly an onerous procedure, considerably more difficult than denying it in the first place to those the law says should not receive it. This particular episode has already received considerable attention, and I will not go through the details again.

What has received less attention, however, and is in some ways even more worrisome, is what this episode revealed about serious deficiencies in all aspects of INS operations. To begin with, many of the flaws that produced improper naturalizations in Citizenship USA had been identified years before, but gone unaddressed. A 1994 report of the inspector general's office identified two major problems with INS's background check process.

First, it found that the INS did not verify that fingerprints submitted with applications actually belonged to the applicant. Second, the INS failed to ensure that background checks were completed by the FBI. A General Accounting Office study conducted the same year confirmed these findings. Yet the problems went unaddressed for two years.

In November of 1996, after several front page stories reported on improper naturalizations, the INS Commissioner finally ordered that no naturalizations go forward without a completed FBI background check and unless new, more careful procedures for processing background checks had been followed.

In an audit completed five months after that directive was issued, however, Peat Marwick found that only 1 out of 23 INS offices was actually complying with this policy. 7 offices were only marginally compliant, and 15 were not complying with the new procedures at all. It was only a few months ago that KPMG and INS were finally able to say that the new procedures were being followed.

Allegations of fraud in testing also predate Citizenship USA. Indictments were handed down against 20 defendants in California this past January. But investigations into these allegations have been ongoing for several years and the INS received complaints as early as 1992 that should have alerted the agency to the potential for serious criminal fraud.

Criminal cases may take considerable time to develop and I am not criticizing anyone for taking the time necessary before bringing these particular prosecutions. My point, however, is that INS took no separate action to close the serious loopholes these allegations pointed toward until this year, the day before I chaired a hearing to look into the issue.

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Mr. President, Peat Marwick also conducted a separate audit of all naturalizations done between August 1995 and September 1996. It concluded that we can be confident that naturalization was proper in only 8.6% of the 1,049,867 cases naturalized during that period.

The other 91.4% of cases either contained insufficient documentation to support a proper decision or (in 3.7% of the cases) involved an outright improper grant of citizenship. Thus, in addition to the 3.7% of cases improperly naturalized, we simply do not know whether almost 90% of those granted citizenship during that period met the requirements for naturalization.

It may well be that the vast majority of cases with insufficient documentation were decided properly. But the American people deserve to know that citizenship is being conferred only on deserving people, just as the vast majority of legal immigrants who come here to play by the rules and make a contribution deserve to gain citizenship without a cloud of doubt hanging over its propriety.

Unfortunately, these audits indicate that INS simply does not keep complete and accurate naturalization files and cannot even locate many files that should be in its possession. I have also heard numerous tales of fingerprints being taken and lost repeatedly, of inconsistent accounts being given about the status of people's files, and of an inability to get resolution on the simple question of a person's status.

Under these circumstances, Mr. President, it comes as no surprise that the backlogs Citizenship USA was designed to address are now back with a vengeance. As many as 1.8 million people are caught up in the nation's naturalization backlog and in some places the wait for citizenship can last up to two years.

Press reports suggest that INS officials have been attributing this slowdown to new procedures put in place in response to Congressional pressure. But when the subcommittee ranking member and I asked whether the new fingerprinting process might cause delays, the INS official in charge of developing them assured us that they would not.

Unfortunately, naturalization is only one area where the INS has not performed either its enforcement or its service mission adequately. For example, INS does not seem able to figure out how to deport criminal aliens directly after they have finished serving their sentences, and hence claims it cannot detain all of them pending deportation. At the same time, INS seems to detain many people with strong asylum claims in the same cells as hardened criminals. Who is detained, who is not, and for how long seems to depend less on the person's particular equities as the district in which he or she is found.

When I first raised the issue of fundamental INS restructuring and a split of its missions, I was not sure the idea would be seriously considered. But, as more problems have come to light, people increasingly seem agreed that reform is needed. The key issue is rapidly becoming not whether there will be a restructuring but what form it should take in order to solve INS problems.

The latest adherent of this view is the Administration. A few weeks ago, I received a letter from Attorney General Janet Reno, Assistant to the President for Domestic Policy Bruce Reed and Director of Management and Budget Franklin Raines, laying out the Administration's proposals on the matter.

This letter acknowledges INS problems and their seriousness. The Administration also recognizes that one major source of these problems is INS' dual role as enforcer of our immigration laws and provider of immigration and citizenship services. Whether the Administration's proposed remedy is adequate to the task, however, remains to be seen. The Administration proposes to retain the current INS and have it perform all its current functions. Its plan would then untangle INS' overlapping and confusing organizational structure, replacing it with two clear chains of command, one for enforcement and the other for service provision. I will study this proposal closely. But I also will look at alternatives.

In particular, while separating lines of authority into enforcement and service is a good start, I am not convinced that it will suffice to allow officials to pursue each mission with sufficient enthusiasm and energy.

I also worry that, by retaining the current agency, even with significant restructuring, we may end up retaining the bureaucratic culture of toleration for failure that we must end.

Finally, I think everyone, including the Administration, understands that no reform plan could command the support necessary to carry the day without careful scrutiny of all relevant problems, the means the plan would use to address them, and the manner in which the plan would work in practice.

These are issues I intend to address through the series of oversight hearings I will launch shortly after the next recess. Because I believe this is a serious issue, I do not think it is necessarily one that can be resolved this Congress.

But I hope these hearings will help us formulate legislation this session that can serve as a starting point for further discussions. I look forward to working with all interested parties in this important endeavor.

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**Opening Statement of the Chairman,
Senator Spencer Abraham**

**Hearing of the Senate Subcommittee on Immigration:
"INS Reform: The Enforcement Side"**

Wednesday, July 29 at 2 p.m.

As many of you know, I have gradually come to the conclusion that it has probably become time to consider fundamental reform of the INS and particularly to examine splitting the service and enforcement functions of the INS. We are having these hearings as the first step in that process and to examine the issue from the ground up.

The INS currently performs many complex and often competing functions. In fact, I know of no other federal or State agency that performs such an integrated mix of law enforcement activities and social service type functions. The current structural arrangement may have sufficed when the INS's responsibilities were not as large and when the challenges facing it were not as great, but I am afraid that is no longer the case.

While Congress has appreciated the challenges facing the INS on both service and enforcement issues, and has appropriated significant increases in funding for the INS, that has proven not to be enough. On the enforcement side, Congress has also provided increased statutory authority to the INS to combat illegal immigration and improve criminal alien removals.

Improved immigration enforcement at this time is not primarily a question of further changes to the immigration laws. Rather, it is time for us to look at structure and management.

The size of the enforcement side of the INS is particularly noteworthy. The INS now has a federal immigration agent force of more than 12,000 agents. That is more than any other federal law enforcement agency, including the FBI and the Bureau of Prisons. The

Border Patrol has been referred to as the "busiest police agency in the country," making over one million arrests each year. That is also more than any other law enforcement agency in the country. The Border Patrol confiscates something like one-third of all drugs coming into the United States. Yet INS law enforcement continues to be managed by a structure that is unique among federal law enforcement agencies.

Unfortunately, immigration law enforcement has become increasingly dangerous. Just since our last hearing, two Border Patrol agents were killed in the line of duty. Ricardo Salinas, a new agent who had recently completed training, and Susan Lynn Rodriguez, the first female Border Patrol agent killed in the line of duty and herself the daughter of a Border Patrol agent, were tragically gunned down in Texas on July 7.

Although 81 agents have been killed in the line of duty in the 74 year long history of the Patrol, four immigration officers have been killed on duty this year. I don't think anyone will disagree that our front-line officers face a degree of danger that simply did not exist in the past to the same extent. The changing nature of immigration law enforcement, as well as its size and expanse, must be considered.

Let me also add that on the enforcement side, we have had relatively few complaints of officer misconduct, particularly given the number of arrests and compared with the level of complaints we receive about service side operations. Nonetheless, any restructuring must ensure that officer integrity and training, as well as morale, remain at the highest level.

Before we begin, let me just briefly highlight what I think some of the enforcement side goals should be:

- ▶ to effectively address illegal entry;
- ▶ to set clear and appropriate law enforcement priorities, including balancing interior with border enforcement and setting priorities among criminal aliens;
- ▶ to carry out priorities with a reasonable degree of consistency across the nation;
- and finally --

- ▶ to carry out all of the above functions professionally and efficiently.

Again, this hearing is a first step in figuring out how the law enforcement functions of the INS can best be structured. As we do that, it is also my goal to ensure that our immigration laws are implemented with the justice and fairness that characterize our American legal system, that are important to so many of us, and that have attracted so many immigrants to our great Nation.

Statement of Chairman Spencer Abraham
Hearing of the Senate Subcommittee on Immigration
September 16, 1998

“INS Oversight and Reform: Detention”

Today, we will focus on the INS's detention system. Immigration detention is one of the less-examined aspects of INS's current operations, but it is unfortunately also one of the most troubling.

Let me say at the outset that I am very concerned about the safety of our streets -- both in my own State of Michigan and across the country -- and very much committed to ensuring that aliens who should be detained are detained. There is no question in my mind that individuals who may not be entitled to be in the country and who are dangerous or pose a threat to the United States should be kept in custody.

Unfortunately, however, there have been significant problems with the immigration detention system in this and other regards. The INS often does not take into custody criminal aliens who should be detained and removed from the United States. At the same time, the INS keeps some individuals entering the U.S. detained for lengthy periods of time when it would be absolutely clear to anyone who takes the time to look into their cases that they do not pose any threat to the United States and in fact are likely to make valuable contributions to our communities.

Here are a few concerns with the immigration detention system that I would like to highlight today:

- ▶ the inability of the INS to take into custody known deportable criminal aliens;
- ▶ release policies for asylum seekers that are arbitrary and inconsistent from district to district;
- ▶ the fact that detainees have gotten lost in the immigration detention system;

- ▶ the common practice of detaining asylum seekers in State and local prisons with convicted criminals; and
- ▶ the Service's apparent reluctance to explore less-restrictive and less costly alternatives to the detention of asylum seekers in prison, such as supervised release programs.

I would also like to say a word or two about the mandatory criminal alien detention provisions that were included in the 1996 Illegal Immigration Reform Act. In order to give the Service adequate time to come into compliance with those requirements, the provision included an option, which the Commissioner invoked, for two one-year delays in full implementation.

In the coming weeks, the mandatory criminal alien provisions will finally go into full effect. I understand that the Service may be unable to comply with the mandates and may not have acquired sufficient detention space so as to be able to follow the law.

In my view this is a serious issue, especially where the Service seems to have the space for so many asylum seekers. Those mandatory criminal alien detention requirements were intended to ensure that the Service would actually deport removable criminal aliens, who have no incentive to show up voluntarily for deportation.

In contrast, asylum seekers have strong incentives to show up for their asylum hearings, particularly after they have made the threshold showing that they have a so-called "credible fear" of persecution in their home countries. Congress recognized this when it mandated the detention of asylum seekers during the brief period before they have demonstrated credible fear, but did not require detention after credible fear has been shown.

Senator Kennedy and I contacted Commissioner Meissner on a number of these issues in a letter that we sent to her on July 14, 1997.

While I do not want to call into question the sincerity of the response we received, I was discouraged that it took over a year for a response to be sent to us and that the letter took a more or less defensive stance in support of the status quo.

I will have the exchange of letters made part of the record, but would like to respond briefly to two points raised in the letter. First, in justifying the INS's detention policies governing asylum seekers, the letter states, "Safety consideration for the people of the United States clearly overrides concerns over the detention of aliens seeking asylum when those individuals lack identity documentation and their identity cannot safely be established."

Well, I think everyone here has a serious concern for public safety and would not be advocating asylum policies that put the public at risk. The point is that those concerns ought to be able to be met through the INS making the appropriate assessments and determinations on a case-by-case basis.

Second, we recommended, given the hardships and costs involved, that the INS give serious consideration to coming up with appropriate alternatives for asylum seekers other than incarceration alongside criminals in State and local prisons. I felt the response to this concern, which is certainly an extremely urgent matter for those involved, was frankly a little cursory.

The response simply stated that alternatives were not feasible and that the INS was concerned about moving asylum seekers away "from the vicinity of their families and other members of their support group." I would like to see the Service better explore all the options available.

And also, while I do not want to take a statement out of context or to spring anything on anyone here, I would like to comment that of all the asylees we have heard from and reached out to, it has frankly not been our experience that asylum seekers are detained by the INS in locations of convenience to them so that they can be near their families and friends.

Before we move on, let me also lay out some basic principles for where I think we should be headed. In my view, our federal immigration detention system should include the following:

- ▶ nationwide detention and release policies that are fair in theory and implemented consistently in practice;
- ▶ detention conditions that ensure, both in concept and reality, that detainees are housed in appropriate conditions; and
- ▶ detention facilities that are efficient and cost-effective.

I began our process of examining INS reform by suggesting that the time had come to consider separating the service and enforcement sides of the INS. In preparing for this detention hearing and in becoming more familiar with these important issues, I have begun to think that we need to look more closely at how the INS's detention function is structured and managed and where it belongs. We should consider all the possibilities, including whether it might make sense to separate it to some degree from the INS's other functions.

Detention is certainly a very important and significant part of the INS's operations. Where criminal aliens are concerned, it plays a critical role in the enforcement process. It also has some clearly service-oriented and administrative elements. This is particularly the case where asylum seekers are concerned. They are frequently detained not because they present any threat, but merely because their applications are pending.

In detention as in other areas of INS operations, we must remember that how we treat asylum seekers says a great deal about how we feel about those who come to our Nation seeking freedom. It is my hope that we continue to welcome them and provide a safe haven for them at the same time that we take real threats to our Nation seriously. Our immigration system should be able to address both concerns.

Thank you all for coming; we look forward to today's testimony.

**STATEMENT OF SENATOR EDWARD M. KENNEDY
ON "INS OVERSIGHT AND REFORM: DETENTION"**

September 16, 1998

MR. KENNEDY. Mr. Chairman, as the United States continues to be a leader in developing greater human rights policies for the world, so too, must we continue to apply and enforce those policies on our own soil. Refugees around the world have been stripped from their family, are frightened, and many themselves have been physically and/or psychologically tortured. We, as Americans, have no idea the extremely harsh lives many of our refugees have lived.

According to a report released by Human Rights Watch last week, the current INS detention system makes no distinction between the detention of asylum seekers and immigrants who are being detained for commission of crimes. The report details a number of accounts of horrendous treatment by jail guards and INS officers against detained asylum seekers. We must address this issue today and through future legislation.

Refugees enter the United States in search for safety. By immediately detaining those who have been subjected to persecution and live in constant fear, we are contributing to the psychological abuse of our asylum seekers.

Although the stories from the state of Massachusetts are not as atrocious as those out of other detention facilities such as Krome in Miami, Florida, the accounts from Massachusetts testify to bad food, lack of recreation and medical care, and tensions from sharing quarters with the general inmate population. Most refugees in the Boston area (all of Mass?) are detained in local county jails across the New England area. According to a recent report in the *Boston Globe*, many of these jails date from the 1800s and are not built to house people for months or years. However, some refugees are housed in detention for extremely long periods of time and many are forced to live with criminals

of varied histories. We know of the abuse that many of our American prisoners undergo each year at the hands of both guards and other prisoners. To subject refugees in flight from the persecution of their own country to this treatment in the United States is intolerable.

In addition to the human rights issue here, there is also an acute problem nationwide in the detention space available to the INS. Although the INS plans to double the prison space available to immigrant detainees, studies suggest the INS will have only one-third of the prison beds needed for immigrants by the year 2001. As Mr. Walker of Marshalltown, Iowa has stated today, much of this space is taken by refugees in lieu of criminal immigrants.

The UN High Commissioner for Refugees has introduced guidelines in dealing humanely with countries' refugee populations. They provide that an asylum seeker should only be detained in cases of necessity. If asylum seekers must be detained based on that necessity, the UNHCR asserts there should be minimum procedural guarantees and minimal conditions of detention. These minimum standards includes segregation of asylum seekers from criminal aliens. This is a fundamental right that should be addressed by the Immigration & Naturalization Service at a minimum.

The United States has a duty to protect the human rights of its asylum seekers. Given the foregoing, the Immigration & Naturalization Service must reevaluate its policies on the detention of U.S. asylum seekers. I favor this reevaluation and have drafted legislation with Senator Robb to improve both conditions of INS detention for asylum seekers and to delineate the instances in which these asylum seekers should be released from detention.

STATEMENT OF SENATOR EDWARD M. KENNEDY
Senate Subcommittee on Immigration
July 29, 1998

I commend Senator Abraham for convening this additional hearing on restructuring the Immigration and Naturalization Service.

The Service has two equally important missions on immigration. It provides services to immigrants eligible for assistance under the laws, and enforces the laws to prevent illegal immigration.

The United States is viewed around the world as a land of great economic opportunities, and these opportunities are often a magnet for illegal immigration, both by those who enter the country illegally and by visitors who overstay their visas. It is estimated that as many as 40% of visitors overstay their visas, and many of them remain as undocumented workers. So, workplace enforcement must also be strengthened to ensure that employers do not hire illegal workers.

The INS enforcement mission requires a comprehensive strategy which can best be achieved through greater consolidation of current efforts, in order to create more effective responsibility and accountability, and achieve better communication and linkage between border enforcement and other enforcement. In implementing this model, which will separate service and enforcement, it is also important to provide enforcement officers with professional training to ensure that the due process other rights of those apprehended are protected.

Enforcement priorities should be established at the national level, and policies should

be applied consistently in all enforcement areas, in order to reduce or eliminate overlapping functions.

In addition, reasonable standards must be implemented and enforced at INS detention centers, and also at state and local jails housing INS detainees.

Later today, to implement these goals, I will be introducing the Immigration and Nationalization Service Restructuring Act of 1998, which has the support of the Clinton Administration. The legislation creates two parallel divisions, separating services and benefits from enforcement. In addition, the enforcement functions carried out by Border Patrol agents, INS inspectors, investigators, and detention officers will be consolidated under one director. I look forward to action on this legislation, which deserves bipartisan support to achieve fairer and more effective enforcement of our immigration laws.

I welcome Commissioner Meissner to the Subcommittee, and I look forward to her testimony, and to the testimony of our other witnesses.

News from

CONGRESSMAN
Hal Rogers



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Offices in
Washington, D.C.
Somerset, Pikeville,
Hazard

FOR IMMEDIATE RELEASE:
Tuesday, May 19, 1998

CONTACT: SUSAN ZIMMERMAN
(202) 225-4601

*****MEDIA ADVISORY*****

ATTENTION INS REPORTERS
For Your Planning Purposes

***Rogers To Introduce Major
INS Reform Bill This Week***

WASHINGTON, D.C.—U.S. Rep. Harold "Hal" Rogers, the chairman of the Commerce-Justice-State Appropriations Subcommittee which has jurisdiction over the INS, will introduce legislation this week to reform the Immigration and Naturalization Service. His bill will be similar to reforms recommended by the Commission on Immigration Reform, which was headed by Barbara Jordan.

On Thursday, May 21, at 9:30 a.m. in 2237 Rayburn, Rogers will present testimony on his bill before the House Judiciary Committee's Subcommittee on Immigration and Claims. The subcommittee is receiving testimony on several INS reform proposals.

More details on Rogers' INS Reform proposal will be issued when the bill is introduced.

NOTE: If you do not wish to be kept apprised of Rep. Rogers' activities concerning the INS, please contact Susan Zimmerman at 202-225-4601

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CONGRESSMAN
Hal Rogers



FIFTH DISTRICT • KENTUCKY

Offices in
Washington, D.C.
Somerset, Pikeville,
Hazard

FOR IMMEDIATE RELEASE:
Wednesday, May 20, 1998

CONTACT: SUSAN ZIMMERMAN
(202) 225-4601

***ROGERS INTRODUCES IMMIGRATION-
REFORM AND IMPROVEMENTS ACT***

***Bill Revamps Immigration System to Improve
Accountability, Enforcement and Service***

WASHINGTON, D.C.—U.S. Rep. Harold "Hal" Rogers (KY-5) introduced legislation today that would dramatically improve the nation's immigration system by implementing common-sense structural reforms as proposed by the bipartisan Commission on Immigration Reform, headed by the late Barbara Jordan. The Immigration Reform and Improvements Act (H.R. 3904) would streamline the currently fractured immigration system by consolidating its four core functions: border and interior immigration enforcement; adjudication of immigration-related applications and benefits; immigration employment standards enforcement; and review of administrative decisions.

Rogers, who chairs the Commerce-Justice-State Appropriations Subcommittee and oversees funding for the Immigration and Naturalization Service (INS), said that he introduced the Commission on Immigration Reform's proposals because they result from the most comprehensive study of INS structure and management issues to date and offer a common-sense approach to fixing a system that has a long history of inefficiencies, ineffectiveness, abuses and failures.

"Frankly, the INS is an agency that, despite the best of intentions, is designed to fail," Rogers said. "The agency has conflicting missions, and, in the words of the Commission on Immigration Reform, it is on 'mission overload.' The Agency's failures are a waste of taxpayer dollars and a disservice to those immigrants who pay fees for benefits processing.

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ROGERS/Immigration Reform and Improvements Act

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"Despite numerous attempts to fix problems, the agency has failed time and time again in meeting its responsibilities. It has failed to control our borders—illegal immigration is at an all time high. It has failed to provide efficient service to legal immigrants—waits are excessive, files are lost, conflicting instructions are given. And, most tragically, it has failed to safeguard the sanctity of U.S. Citizenship—tests are fixed, rules are broken and ignored, and individuals, including criminals, have been given citizenship when they did not qualify. The problems have to end."

Rogers said that a lack of resources is no longer an excuse. "For 15 years I've watched this agency's budget go from \$510 million to nearly \$4 billion—an increase of over 600 percent, yet the failures continue. I've concluded that the recommendations of the Commission on Immigration Reform offer the most reasonable, well-studied solution for fixing our failing immigration system."

The Rogers Immigration Reform and Improvements Act would:

- Establish a single law enforcement agency within the Department of Justice whose sole mission will be to control the nation's borders and to investigate, apprehend and remove illegal aliens from the country. This will result in stronger enforcement against illegal immigration.
- Create a new agency within the Department of State solely dedicated to processing non-immigrant and immigrant benefits, which is now handled by both State and INS. This will result in applications for visas, green cards, citizenship and other immigrant benefits being processed more efficiently, effectively, and fairly, ensure against visa fraud, and provide better overall service to those seeking citizenship or benefits.
- Assign the responsibility for immigration-related activities at work sites to the Department of Labor, eliminating current duplicative efforts of INS and DOL. This would produce stronger enforcement efforts against employers hiring foreign workers, a primary magnet for illegal immigration.
- Consolidate all review procedures into one independent review agency, which will ensure that decisions are consistently and fairly made.

On Thursday, May 21, Rogers is scheduled to testify before the Immigration Subcommittee of the House Judiciary Committee regarding his bill. The hearing is scheduled for 9:30 a.m. in 2237 Rayburn.

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OPENING STATEMENT
OF THE HONORABLE LAMAR SMITH
AT THE MAY 21, 1998, HEARING
ON ALTERNATIVE PROPOSALS TO
RESTRUCTURE THE IMMIGRATION AND
NATURALIZATION SERVICE

The purpose of this hearing is to review and discuss the proposals that various individuals and groups have drafted to restructure the Immigration and Naturalization Service (INS). Obviously this is a very significant issue to this Subcommittee and to many Americans.

During my tenure as Chairman, I believe that the INS has improved its performance in some ways, in part due to the Subcommittee's insistence. Yet, I have many remaining concerns about the current operations of the agency.

The goal today is to learn more about each proposal for INS reorganization. Today we have some of the country's leading experts on immigration policy.

During the last seven years, the budget of the INS has increased almost three-fold. In fiscal year 1997, Congress appropriated \$ 3.8 billion to the INS, and the INS has requested \$ 4.2 billion for fiscal year 1999 budget.

This Subcommittee recognizes that a long-neglected agency cannot be transformed overnight. However, it is clear that there remain pervasive problems with how the immigration laws set by Congress are executed and how the INS is managed.

Some Members of Congress believe that the INS must devote more priority and resources to enforcement-related duties.

Others believe that the INS is too enforcement-oriented and should change to better serve immigrants. Still others believe that the mission of the INS is so conflicted that one agency simply cannot perform both enforcement and service functions. These advocates say that the INS should be dismantled and its duties dispersed to other agencies whose goals are similar. This hearing will explore the options that the various parties have presented for restructuring the INS. We will also hear comments from other interested parties.

Two of my colleagues in the House have introduced bills to bring about the change they feel is necessary to improve the immigration function. Congressman Harold Rogers' bill implements the proposal of the Commission on Immigration Reform to do away with the INS altogether by distributing the immigration functions among other agencies, such as the Departments of Labor, State and Justice. Congressman Silvestre Reyes' bill removes the enforcement components of the INS and places them in a new agency within the Department

of Justice, the Office of Enforcement and Border Affairs.

The INS Commissioner has proposed a plan to make an internal split between the Enforcement and Service components of the INS. Both functions would remain within the agency. The INS believes that this plan would improve accountability and communication within the agency.

We will also hear from entities outside the government that also have proposals for restructuring the INS. We will hear from the former Executive Director for the Commission on Immigration Reform regarding why the Commission concluded that the INS is so “overloaded” and “conflicted” as to prevent it from accomplishing its duties under the immigration law. The Commission’s final report, issued in September 1997, called for dividing the INS’ duties among two existing Departments, State and Labor, and two new agencies, the Bureau of Immigration Enforcement in the Department of Justice and the Agency for Immigration Review, a new independent agency.

We will hear from a respected scholar from the Carnegie Endowment for International Peace’s International Migration Policy Program, which presents two alternatives. The first is for creating a new Cabinet-level independent agency along the lines of the Environmental Protection Agency. The second calls for the Department of Justice to elevate the importance of the INS and create a new Associate Deputy Attorney General for Immigration. Both alternatives would split the Enforcement and Service components of the agency. The INS would continue to exist as an agency.

We will also hear comments on these proposals from three other organizations.

By taking advantage of the expertise of today's witnesses, we will be able to begin the process of deciding as a Subcommittee what the future of the INS as an agency should be.

The gentleman from North Carolina, Mr. Watt, is recognized for his opening statement.

Chairman Lamar Smith
Opening Statement: H.R. 4264

Today we will mark up H.R. 4264, a bill introduced by Congressman Harold Rogers that would transfer the Enforcement components of the Immigration and Naturalization Service (INS) to a newly established Bureau of Enforcement and Border Affairs in the Department of Justice.

In looking back at our May 21 hearing on INS restructuring, it is significant that all Members who were present and all witnesses who testified agreed: the INS as it exists today simply does not perform adequately.

Among the problems cited regarding current INS operations are: no accountability; a lack of responsiveness; poor resource management; outdated record-keeping; deplorable customer service; and inadequate enforcement.

I have a detailed list of examples of each problem that will, without objection, be made a part of the record. However, I would like to briefly describe some of the examples because they are so egregious.

* Regarding the INS' lack of responsiveness, I am awaiting a reply from the INS to my June 9 request for INS' plan to investigate fraudulent adjustment of status applications under the Nicaraguan and Central American Relief Act. In addition, I am told that Mr. Rogers has not yet received the INS' interior enforcement strategy, which was due April 1. Also, I know that the INS has not responded to questions that the Senate's Subcommittee on Immigration asked at their June 11 oversight hearing. If the INS does not respond to questions from its oversight committees, it is clearly not responsive to the public.

* Regarding the INS' notorious record of poor customer service, a member of the Subcommittee staff recently took a telephone call from a frustrated United States citizen who has been waiting to adopt an orphaned child from India. The caller had filed the applications with the INS nearly one year ago and had been told the fingerprints had cleared. Not having heard anything from the INS, they attempted to telephone the INS office but no one answered the telephone, even though it rang for half an hour. They sent a written inquiry, only to receive a terse written reply that the individual should not attempt to further contact the INS because such inquiries take away from the time the INS has to process applications. It is unacceptable that hopeful parents are unable to obtain information about the status of their case after months of not hearing from INS.

- * Regarding inadequate enforcement, Congress has given INS various enforcement tools only to have INS management simply fail to implement the law. In 1990 we gave INS officers General Arrest Authority yet, eight years later, the INS still has not promulgated regulations that would allow INS officers to make felony arrests to better protect American society. In the 1996 Act, we gave INS the authority to deputize state and local law enforcement officials to enforce immigration laws. We have heard that this provision will be very helpful to many law enforcement agencies. However, the INS has yet to implement that section, and the Salt Lake City memorandum of understanding for the first pilot project has not yet been signed.

Clearly it is time to address these pervasive problems with the INS.

I support H.R. 4264 because the bill takes the important first step of separating INS enforcement activities from the service functions.

The new Bureau of Enforcement and Border Affairs will remain in the Department of Justice but it will be an agency with a true enforcement mission: denying admission to aliens who should be kept out of the U.S. and apprehending and removing aliens along the border and in the interior.

The INS would keep the service functions and, without a conflicted mission, the agency will be able to concentrate on improving service and reducing backlogs.

The Department of Justice will take over the shared support services, such as records, databases, and employee services, to ensure that both agencies have equal access to necessary shared support functions. This bill will assure continuity of communication, coordination, and oversight within the Executive Branch and the Congress.

I believe that this separation will improve both immigration service and enforcement operations.

The gentleman from North Carolina, Mr. Watt, is recognized for his opening statement.

Silvestre Reyes
16th District, Texas
Congress of the United States
House of Representatives

June 4, 1998

**CONTROL OUR BORDERS
PROVIDE TIMELY SERVICE TO LEGAL IMMIGRANTS
COSPONSOR HR 2588**

Dear Colleague:

I have introduced legislation which will structurally reform and improve the Immigration and Naturalization Service (INS). Currently, the INS has two primary purposes: providing naturalization service and enforcing our nation's immigration and drug laws. H.R. 2588, the Border Security and Enforcement Act, will separate the Border Patrol and other enforcement components from the INS and create a new agency within the Department of Justice.

After more than 26 years of service with the INS, 11 of those as Chief of the Border Patrol in Texas, I believe I have real solutions to the problems facing our immigration system. This legislation will not only strengthen our border control and enforcement efforts but also restore integrity to our nation's naturalization process.

In addition to being tasked with conflicting missions, the INS is faced with mission overload. Despite funding increases of more than 52% over the past two years, the INS has not adequately handled naturalization or enforcement. There are approximately *two million people* waiting for the INS to process their naturalization applications and this backlog is expected to increase. It is the duty of our nation to provide timely service to those seeking admission under the legal immigration system. Our efforts to control the border are also falling short of the expectations of the American people. By recent INS estimates, there are more than *five million illegal immigrants* living in the United States. It is the duty of our nation to effectively control illegal immigration and drug trafficking in order to provide safety and security to American citizens.

Increasing the physical presence of Border Patrol agents on the Southwest border to deter illegal crossings has been an integral part of our border control strategy but we must do more. In addition to placing agents in the field we must ensure they are properly equipped to control our borders. Border Patrol agents are asked to play an integral role in our nation's drug control strategy. Drug traffickers, attempting to supply the drugs to feed America's fifty billion dollar a year drug habit, have been increasingly dangerous and sophisticated. The men and women of the Border Patrol are out-manned and out-gunned.

The INS, with its mission overload, is forced to fund programs depending on the priority of the moment despite an unprecedented increase in resources. The priorities vary from border control, interior enforcement, or naturalization. It is time to correct this unacceptable style of management and misuse of funds. We cannot expect our Border Patrol agents to effectively combat illegal immigration and drug trafficking without providing them the means to do so. This newly created agency will be enforcement-oriented and will dedicate the necessary resources to control our borders.

This legislation will allow the INS to focus its attention and resources on naturalization and adjudication by relieving them of their enforcement duties. The deficiencies inherent in our immigration system will finally be addressed. We must place a priority on controlling our borders and properly serving those seeking admission to

our nation.

To cosponsor this bipartisan legislation please contact Isaac Reyes in my office at 5-4831.

/s Silvestre Reyes

Isaac Reyes

Congressman Silvestre Reyes

Texas - 16th District

COMMITTEE ON NATIONAL SECURITY

SUBCOMMITTEE ON
MILITARY INSTALLATIONS AND FACILITIESSUBCOMMITTEE ON
MILITARY RESEARCH AND DEVELOPMENT

COMMITTEE ON VETERANS' AFFAIRS

SUBCOMMITTEE ON BENEFITS

CONGRESSIONAL HISPANIC CAUCUS

WHIP



Congress of the United States

House of Representatives

Washington, DC 20515

002
(202) 225-4831
FAX: (202) 225-2018
DISTRICT OFFICE:
310 N. MESA, SUITE 400
EL PASO, TX 79901
(915) 534-4400
FAX: (915) 534-7426

September 28, 1997

IT'S BROKEN...LET'S FIX IT

Dear Colleague:

On Tuesday, I will introduce a bill which will structurally reform and improve the Immigration and Naturalization Service (INS). Currently, the INS has two primary purposes: providing naturalization service and enforcing our nation's immigration and drug laws. The Border Security and Enforcement Act of 1997 will separate the Border Patrol and other enforcement components from the INS and create a new agency within the Department of Justice.

After more than 26 years of service with the INS, 11 of those as Chief of the Border Patrol in Texas, I believe I have real solutions to the problems facing our immigration system. This legislation will not only strengthen our border control and enforcement efforts but also restore integrity to our nation's naturalization process.

In addition to being tasked with conflicting missions, the INS is faced with mission overload. Despite funding increases of more than 52% over the past two years, the INS has not adequately handled naturalization or enforcement. There are approximately 1.4 million people waiting for the INS to process their naturalization applications and this backlog is expected to increase. It is the duty of our nation to provide timely service to those seeking admission under the legal immigration system. Our efforts to control the border are also falling short of the expectations of the American people. By recent INS estimates, there are more than five million illegal immigrants living in the United States. It is the duty of our nation to effectively control illegal immigration and drug trafficking in order to provide safety and security to American citizens.

Increasing the physical presence of Border Patrol agents on the Southwest border to deter illegal crossings has been an integral part of our border control strategy but we must do more. In addition to placing agents in the field we must ensure they are properly equipped to control our borders. Last year alone, there were more than 1.5 million apprehensions of illegal aliens attempting to enter the United States along the Southwest border. As if this isn't enough, Border Patrol agents are asked to play an integral role in our nation's drug control strategy. Drug traffickers, attempting to supply the drugs to feed America's fifty billion dollar a year drug habit, have been increasingly dangerous and sophisticated. The men and women of the Border Patrol are out-manned and out-gunned.

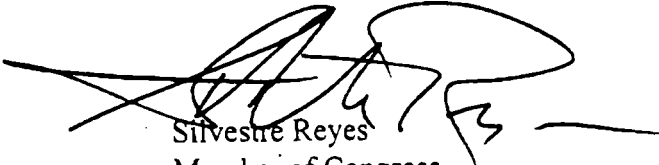
The INS, with its mission overload, is forced to fund programs depending on the priority of the moment despite an unprecedented increase in resources. The priorities vary from border control, interior enforcement, or naturalization. It is time to correct this unacceptable style of management and misuse of funds. We cannot expect our Border Patrol agents to effectively combat illegal immigration and drug trafficking without providing them the means to do so. This newly created agency will be enforcement-oriented and will dedicate the necessary

resources to control our borders.

This legislation will allow the INS to focus its attention and resources on naturalization and adjudication by relieving them of their enforcement duties. The deficiencies inherent in our immigration system will finally be addressed. We must place a priority on controlling our borders and properly serving those seeking admission to our nation.

To cosponsor this legislation please contact Isaac Reyes in my office at 5-4831.

Sincerely,



Silvestre Reyes
Member of Congress

United States Senate

WASHINGTON, DC 20510-4304

October 9, 1998

The Honorable Trent Lott
Majority Leader
United States Senate
Washington, D.C. 20510

Dear Trent:

We understand there may be an effort to attach legislation reorganizing the Immigration and Naturalization Service (INS) to the Omnibus Appropriations bill. We strongly oppose including this legislation in the Omnibus measure.

We support efforts to reform INS and promote greater effectiveness and efficiency within the agency. However, the proposal in question is a major reorganization of INS, including separating the agency's border patrol and law enforcement missions from its naturalization mission. This measure would have a significant impact on INS's extensive operations in our states and across the Southwest border, and should be subject to review and hearings by the Judiciary Committee and consideration by the full Senate.

Trent, we oppose including the INS reorganization measure, or any substitute measure, in the Omnibus Appropriations bill. We hope that you will work to ensure that consideration of this issue is delayed until Congress reconvenes in January, when INS reorganization can be given the full attention it deserves.

Sincerely,



Kay Bailey Hutchison



Pete V. Domenici

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MANUS COONEY, Chief Counsel and Staff Director
BRUCE A. COHEN, Minority Chief Counsel

United States Senate

COMMITTEE ON THE JUDICIARY

WASHINGTON, DC 20510-6275

September 23, 1998

The Honorable Judd Gregg, Chairman
The Honorable Ernest Hollings, Ranking Member
Committee on Appropriations
Subcommittee on Commerce, Justice, State and the Judiciary
Washington, D.C. 20510

Dear Senators Gregg and Hollings:

We write to you keep you apprised of the Judiciary Committee's keen interest in and plans to address the structure of the Immigration and Naturalization Service. In the past years, you have granted sizable increases in appropriations to the INS in an effort to improve its functioning, and we know that you have shared many of our concerns with the Service's performance.

Last week, the Judiciary Committee, through the Subcommittee on Immigration, just completed a series of three hearings that were designed to examine the main functions of the INS. Our aim was to consider whether it might make sense to move toward reorganizing the INS. Many have increasingly come to the view that improving the INS's functions may require comprehensive restructuring and not simply continued increases in appropriations.

During the next Congress, we expect the Judiciary Committee to give full consideration to legislation that will reorganize all of the INS's functions and that will be developed after adjournment. Particular attention will likely be paid to reorganizing functions within the Department of Justice, and this could affect other entities within the Department as well.

We cannot underestimate the importance or the size of this task. The INS already has more employees than a number of cabinet-level agencies, including the Department of State and the Department of Labor, and performs a wide range of law enforcement, service, and detention functions. Given the variety of functions performed by the INS, it is our view that any effective reorganization will have to reexamine in one comprehensive process all components of the agency, as well as their relationship to one another and to other components of the Department of Justice.

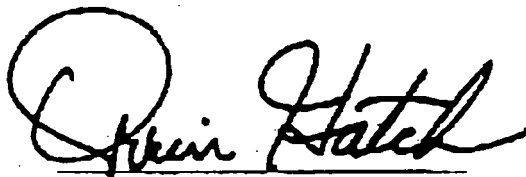
Because of your strong interest in the operation of the INS and the functioning of our immigration system, we are simply writing to inform you of our plans regarding this important issue within our jurisdiction. We believe it would be unwise to attempt to resolve these important, complex, and controversial issues in the brief time remaining before

September 23, 1998

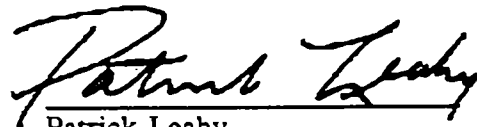
Page 2

Congress adjourns, but we look forward to working closely with you next year, and we welcome your suggestions and participation.

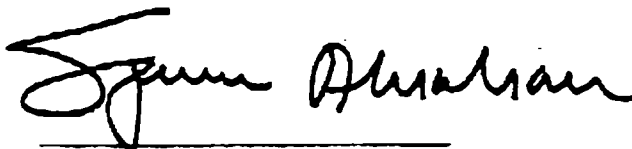
Sincerely,



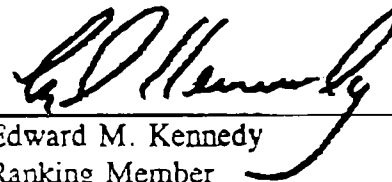
Orrin G. Hatch
Chairman



Patrick Leahy
Ranking Member



Spencer Abraham
Chairman
Subcommittee on Immigration



Edward M. Kennedy
Ranking Member

cc: The Honorable Trent Lott
The Honorable Tom Daschle
The Honorable Ted Stevens
The Honorable Robert Byrd

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ONE HUNDRED FIFTH CONGRESS

Congress of the United States

House of Representatives

COMMITTEE ON THE JUDICIARY

2138 RAYBURN HOUSE OFFICE BUILDING

WASHINGTON, DC 20515-6216

(202) 225-3951

<http://www.house.gov/judiciary>

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 STEVEN R. ROTHMAN, NEW JERSEY

April 1, 1998

The Honorable Lamar Smith, Chairman
 Subcommittee on Immigration and Claims
 B-371 Rayburn House Office Building
 Washington, D.C. 20515

Dear Chairman Smith:

In its report accompanying the fiscal year '98 Appropriations Act, the House Appropriations Committee directed the Attorney General to review the recommendations of the Commission on Immigration Reform and to develop a plan by April 1 to improve the functions of the Immigration and Naturalization Service (INS). In compliance with that requirement, the INS issued its report and plan yesterday and Commissioner Doris Meissner testified before the Commerce-Justice-State (C-J-S) Appropriations Subcommittee regarding it.

While it is appropriate for us to consider C-J-S Appropriations Subcommittee input in our evaluation of proposals to restructure the INS, I believe the ultimate recommendations about whether to restructure and the extent of any such restructure should be made by the Immigration and Claims Subcommittee of the House Judiciary Committee, the authorizing committee for the INS. I, therefore, urge you to hold a Subcommittee hearing on this matter as soon as possible after our return from the April recess.

Sincerely,



Melvin L. Watt, Ranking Member
 Subcommittee on Immigration Claims

cc: Doris Meissner, Commissioner
 Immigration and Naturalization Service

The Honorable Harold Rogers, Chairman
 Commerce-Justice-State Appropriations Subcommittee

The Honorable Alan B. Mollohan, Ranking Member
 Commerce-Justice-State Appropriations Subcommittee

October 7, 1998

The Honorable William Jefferson Clinton
The White House
Washington, DC 20500

Dear Mr. President:

The undersigned organizations strongly urge you to oppose any hasty overhaul of the current immigration system. Any reorganization of the Immigration and Naturalization Service (INS) merits much thought and discussion, as it will dramatically affect millions of people: families seeking to reunify, naturalization candidates wanting to participate in civic society, asylum applicants and refugees seeking protecting from life-threatening situations, and American businesses striving to compete globally.

Any successful structural reform will require careful, bipartisan consideration, not hastily reviewed proposals that evade responsible reform. We urge Congress to step back and carefully examine the underlying issues involved in overhauling the INS. Specifically, we ask the House of Representatives to hold hearings to facilitate full bipartisan review and discussion of the challenges facing INS enforcement and service operations. These discussions would not only enable Congress to enunciate a clear and constructive plan for INS reorganization, but also build consensus on the means by which such organizational reform could be achieved.

INS reorganization is simply too important to undertake without careful bipartisan deliberation. We strongly urge you to participate in such a discussion and not allow this issue to be addressed recklessly and without sufficient review.

Sincerely,

American Immigration Information Center
American Immigration Lawyers Association
American Jewish Committee
American-Arab Anti-Discrimination Committee
Anti-Defamation League
B'nai Brith
Council of Jewish Federations
Hebrew Immigrant Aid Society
Immigration and Refugee Services of America
Lutheran Immigration and Refugee Service
Mexican American Legal Defense and Education Fund
National Asian Pacific American Legal Consortium
National Federation of Filipino American Associations
National Council of La Raza
National Immigration Forum
Organization of Chinese Americans
Unite! (Union of Needletrades, Industrial and Textile Employees, AFL-CIO, CLC)
United States Catholic Conference – National Conference of Catholic Bishops

cc: Maria Echaveste, Deputy Chief of Staff

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PRESERVATION**

The Rogers Bill is the Wrong Approach to Restructure the INS

- Administration Shares Rogers Concerns. The Administration is deeply committed to the fundamental restructuring of the INS. The Administration desires change and shares Chairman Rogers concerns about the problems inherent in its co-mingling enforcement and service responsibilities. It shares his goals of separating these two primary responsibilities - so as to both better improve the delivery of immigrant services and strengthen the enforcement of our immigration laws. However, the Administration strongly disagrees with the approach contained in the current Rogers legislation.
- Administration Has Introduced Legislation. Earlier this year, the Administration unveiled its proposal for a new INS -- one that clearly separates the agency's enforcement and service roles by establishing two separate chains of command and houses them in a single agency. The proposal was subsequently introduced in legislation. The Administration believes that its proposal would best strengthen accountability and improve efficiency and effectiveness by allowing each of the two chains of command to focus on its unique requirements. At the same time, the Administration proposal assures strong leadership and direction through shared support services and a single agency head accountable for the management of the Nation's immigration system.
- Rogers' Bill Undermines Progress. To divide the agency into two new agencies would undermine the significant progress that the INS already has made in reforming its core operations and infrastructure and the substantial investment of tax dollars the Congress has made in modernizing the INS infrastructure. The Administration wants fundamental reform but wants it done properly.
- Widespread Opposition to Rogers' Bill. Every major organization that works on behalf of immigrants believes that Rogers' bill would make the immigration system substantially worse than it is today.
- The Rogers Proposal is the Wrong Approach:
 - It ignores the unique nature of the immigration system that, with its two like-minded missions, depends on effective integration and requires a single leader with full-time responsibility for immigration issues.
 - It does not provide for the critical shared support between enforcement and immigration services.
 - The 180 day timeframe for implementation is unrealistic and would jeopardize critical INS services.
- Administration Dialogue. The Administration wants to work with Congress as it engages in the discussion of how to fundamentally restructure INS and would like to reach consensus on a good government approach. To approve such an unprecedented measure as the Rogers bill now would not only be premature but potentially disastrous as well as there are many more questions to be answered before such a drastic restructuring plan should be considered.

105TH CONGRESS
2D SESSION

H. R. 4264

To establish the Bureau of Enforcement and Border Affairs within the
Department of Justice.

IN THE HOUSE OF REPRESENTATIVES

JULY 17, 1998

Mr. ROGERS introduced the following bill; which was referred to the
Committee on the Judiciary

A BILL

To establish the Bureau of Enforcement and Border Affairs
within the Department of Justice.

1 *Be it enacted by the Senate and House of Representa-*
2 *tives of the United States of America in Congress assembled,*

3 **SECTION 1. ESTABLISHMENT OF BUREAU OF ENFORCE-**
4 **MENT AND BORDER AFFAIRS.**

5 (a) ESTABLISHMENT OF BUREAU.—

6 (1) IN GENERAL.—There is established in the
7 Department of Justice a bureau to be known as the
8 Bureau of Enforcement and Border Affairs (in this
9 section referred to as the “Bureau”).

1 (2) DIRECTOR.—The head of the Bureau shall
2 be the Director of the Bureau of Enforcement and
3 Border Affairs who—

4 (A) shall be appointed by the President, by
5 and with the advice and consent of the Senate;
6 and

7 (B) shall report directly to the Attorney
8 General.

9 (3) COMPENSATION.—The Director shall be
10 paid at the rate of basic pay payable for level III of
11 the Executive Schedule.

12 (4) FUNCTIONS.—The Director shall perform
13 such functions as are transferred to the Director by
14 this section or otherwise vested in the Director by
15 law.

16 (c) TRANSFER OF FUNCTIONS.—There are trans-
17 ferred from the Commissioner of the Immigration and
18 Naturalization Service to the Director all functions per-
19 formed under the following programs, and all personnel,
20 infrastructure, and funding provided to the Commissioner
21 in support of such programs immediately before the effec-
22 tive date of this section:

23 (1) The Border Patrol program.

24 (2) The detention and deportation program.

25 (3) The intelligence program.

1 (4) The investigations program.

2 (5) The inspections program.

3 (d) REFERENCES.—With respect to any function
4 transferred by this section and exercised on or after the
5 effective date of this section, reference in any other Fed-
6 eral law, Executive order, rule, regulation, or delegation
7 of authority, or any document of or pertaining to an office
8 from which a function is transferred by this section—

9 (1) to the head of such office is deemed to refer
10 to the Director of the Bureau of Enforcement and
11 Border Affairs; or

12 (2) to such office is deemed to refer to the Bu-
13 reau.

14 (e) EXERCISE OF AUTHORITIES.—Except as other-
15 wise provided by law, a Federal official to whom a function
16 is transferred by this section may, for purposes of per-
17 forming the function, exercise all authorities under any
18 other provision of law that were available with respect to
19 the performance of that function to the official responsible
20 for the performance of the function immediately before the
21 effective date of the transfer of the function under this
22 section.

23 (f) SAVINGS PROVISIONS.—

24 (1) LEGAL DOCUMENTS.—All orders, deter-
25 minations, rules, regulations, permits, grants, loans,

1 contracts, agreements, certificates, licenses, and
2 privileges—

3 (A) that have been issued, made, granted,
4 or allowed to become effective by the President,
5 the Attorney General, the Commissioner of the
6 Immigration and Naturalization Service, the
7 Assistant Commissioner for Border Patrol, the
8 Assistant Commissioner for Detention and De-
9 portation, the Assistant Commissioner for Intel-
10 ligence, the Assistant Commissioner for Inves-
11 tigation, or any other Government official, or
12 by a court of competent jurisdiction, in the per-
13 formance of any function that is transferred by
14 this section; and

15 (B) that are in effect on the effective date
16 of such transfer (or become effective after such
17 date pursuant to their terms as in effect on
18 such effective date);

19 shall continue in effect according to their terms until
20 modified, terminated, superseded, set aside, or re-
21 voked in accordance with law by the President, any
22 other authorized official, a court of competent juris-
23 diction, or operation of law.

24 (2) PROCEEDINGS.—This section shall not af-
25 fect any proceedings or any application for any bene-

1 fits, service, license, permit, certificate, or financial
2 assistance pending on the effective date of this sec-
3 tion before an office whose functions are transferred
4 by this section, but such proceedings and applica-
5 tions shall be continued. Orders shall be issued in
6 such proceedings, appeals shall be taken therefrom,
7 and payments shall be made pursuant to such or-
8 ders, as if this section had not been enacted, and or-
9 ders issued in any such proceeding shall continue in
10 effect until modified, terminated, superseded, or re-
11 voked by a duly authorized official, by a court of
12 competent jurisdiction, or by operation of law. Noth-
13 ing in this subsection shall be considered to prohibit
14 the discontinuance or modification of any such pro-
15 ceeding under the same terms and conditions and to
16 the same extent that such proceeding could have
17 been discontinued or modified if this section had not
18 been enacted.

19 (3) SUITS.—This section shall not affect suits
20 commenced before the effective date of this section,
21 and in all such suits, proceeding shall be had, ap-
22 peals taken, and judgments rendered in the same
23 manner and with the same effect as if this section
24 had not been enacted.

1 (4) NONABATEMENT OF ACTIONS.—No suit, ac-
2 tion, or other proceeding commenced by or against
3 the Department of Justice or the Immigration and
4 Naturalization Service, or by or against any individ-
5 ual in the official capacity of such individual as an
6 officer or employee in connection with a function
7 transferred by this section, shall abate by reason of
8 the enactment of this section.

9 (5) CONTINUANCE OF SUITS.—If any Govern-
10 ment officer in the official capacity of such officer
11 is party to a suit with respect to a function of the
12 officer and under this section such function is trans-
13 ferred to any other officer or office, then such suit
14 shall be continued with the other officer or the head
15 of such other office, as applicable, substituted or
16 added as a party.

17 (6) ADMINISTRATIVE PROCEDURE AND JUDI-
18 CIAL REVIEW.—Except as otherwise provided by this
19 section, any statutory requirements relating to no-
20 tice, hearings, action upon the record, or administra-
21 tive or judicial review that apply to any function
22 transferred by this section shall apply to the exercise
23 of such function by the head of the office, and other
24 officers of the office, to which such function is trans-
25 ferred by this section.

1 (g) TRANSFER AND ALLOCATION OF APPROPRIA-
2 TIONS AND PERSONNEL.—

3 (1) IN GENERAL.—The personnel of the De-
4 partment of Justice employed in connection with the
5 functions transferred by this section (and functions
6 that the Attorney General determines are properly
7 related to the functions of the Bureau and would, if
8 so transferred, further the purposes of the Bureau),
9 and the assets, liabilities, contracts, property,
10 records, and unexpended balance of appropriations,
11 authorizations, allocations, and other funds em-
12 ployed, held, used, arising from, available to, or to
13 be made available to the Immigration and Natu-
14 ralization Service in connection with the functions
15 transferred by this section, subject to section 202 of
16 the Budget and Accounting Procedures Act of 1950,
17 shall be transferred to the Bureau for appropriate
18 allocation by the Director. Unexpended funds trans-
19 ferred pursuant to this paragraph shall be used only
20 for the purposes for which the funds were originally
21 authorized and appropriated. The Attorney General
22 shall retain the right to adjust or realign transfers
23 effected under this section for a period of 2 years
24 after the date of the establishment of the Bureau.

25 (2) EFFECT ON PERSONNEL.—

1 (A) IN GENERAL.—The transfer under this
2 section of full-time personnel (except special
3 Government employees) and part-time personnel
4 holding permanent positions shall not cause any
5 such employee to be separated or reduced in
6 grade or compensation for 1 year after the date
7 of transfer to the Bureau.

8 (B) EXECUTIVE SCHEDULE.—Any person
9 who, on the day preceding the effective date of
10 this section, held a position compensated in ac-
11 cordance with the Executive Schedule pre-
12 scribed in chapter 53 of title 5, United States
13 Code, and who, without a break in service, is
14 appointed in the Bureau of Enforcement and
15 Border Affairs to a position having duties com-
16 parable to the duties performed immediately
17 preceding such appointment shall continue to be
18 compensated in such new position at not less
19 than the rate provided for such previous posi-
20 tion, for the duration of the service of such per-
21 son in such new position.

22 (h) DELEGATION AND ASSIGNMENT.—Except as oth-
23 erwise expressly prohibited by law or otherwise provided
24 in this section, the Director of the Bureau of Enforcement
25 and Border Affairs to whom functions are transferred

1 under this section may delegate any of the functions so
2 transferred to such officers and employees of the Bureau
3 as the Director may designate, and may authorize succes-
4 sive redelegations of such functions as may be necessary
5 or appropriate. No delegation of functions under this sub-
6 section or under any other provision of this section shall
7 relieve the official to whom a function is transferred under
8 this section of responsibility for the administration of the
9 function.

10 (i) AUTHORITIES OF ATTORNEY GENERAL.—

11 (1) DETERMINATIONS.—If necessary, the Attor-
12 ney General shall make any determination of the
13 functions that are transferred under this section.

14 (2) INCIDENTAL TRANSFERS.—The Attorney
15 General, at such time or times as the Attorney Gen-
16 eral shall provide, may make such determinations as
17 may be necessary with regard to the functions trans-
18 ferred by this section, and to make such additional
19 incidental dispositions of personnel, assets, liabilities,
20 grants, contracts, property, records, and unexpended
21 balances of appropriations, authorizations, alloca-
22 tions, and other funds held, used, arising from,
23 available to, or to be made available in connection
24 with such functions, as may be necessary to carry
25 out the provisions of this section. The Attorney Gen-

1 eral shall provide for such further measures and dis-
2 positions as may be necessary to effectuate the pur-
3 poses of this section.

4 (3) AUTHORITY WITH RESPECT TO FUNDS.—

5 Notwithstanding any other provision of law, the At-
6 torney General may control retention and disburse-
7 ment of funds transferred under this section.

8 (4) TREATMENT OF SHARED RESOURCES.—The

9 Attorney General is authorized to provide for an ap-
10 propriate allocation, or coordination, or both, of re-
11 sources involved in supporting shared support func-
12 tions for the Bureau and the Immigration and Natu-
13 ralization Service other offices within the Depart-
14 ment of Justice. Such shared support functions may
15 include information resources management, human
16 resources and training, security, records and forms
17 management, equal opportunity activities, facilities
18 and procurement administration, and budgeting.
19 The Attorney General shall maintain oversight and
20 control over the shared computer databases and sys-
21 tems and records management.

22 (j) DEFINITIONS.—For purposes of this section:

23 (1) The term “Director” means the Director of
24 the Bureau of Enforcement and Border Affairs.

1 (2) The term “function” includes any duty, ob-
2 ligation, power, authority, responsibility, right, privi-
3 lege, activity, or program.

4 (3) The term “office” includes any office, ad-
5 ministration, agency, bureau, institute, council, unit,
6 organizational entity, or component thereof.

7 (k) EFFECTIVE DATE; TRANSITION.—The transfer of
8 functions under this section shall take effect on the date
9 that is 180 days after the date of the enactment of this
10 Act. The Bureau of Enforcement and Border Affairs shall
11 be established, and the Director of the Bureau of Enforce-
12 ment and Border Affairs shall be appointed, not later than
13 such effective date. During fiscal year 1999, the Attorney
14 General shall provide for an appropriate accounting of
15 funds and an appropriate transfer of funds appropriated
16 to the Bureau of Enforcement and Border Affairs to the
17 Immigration and Naturalization Service to the extent
18 functions to be transferred to the Bureau under this sec-
19 tion continue to be performed by such Service.

○



U.S. Department of Justice
Office of Legislative Affairs

Office of the Assistant Attorney General

Washington, D.C. 20530

August 4, 1998

The Honorable Henry J. Hyde
Chairman
Committee on the Judiciary
U.S. House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

This letter provides the views of the Department of Justice on H.R. 4264, legislation to establish the Bureau of Enforcement and Border Affairs, which was introduced on July 17, 1998. The Department of Justice strongly endorses the legislation's objective of changing the Immigration and Naturalization Service's (INS) current structure in order to improve accountability and performance at the agency; however, we oppose H.R. 4264 in its current form. While we have a conceptual concern that the bill fails to create a proper balance between enforcement and service, our greatest concerns are operational. The bill does not provide an effective way to coordinate and integrate enforcement and service functions that are interdependent, and it does not allow technologies and recordkeeping that are vital to both functions to be used effectively on a daily basis.

As you know, we have invested a substantial amount of effort to develop a fundamental restructuring proposal for the INS that will enhance enforcement of the nation's immigration laws and improve the delivery of services. This proposal, which is embodied in H.R. 4363, the Immigration and Naturalization Service Restructuring Act of 1998, would untangle INS' current confusing and overlapping structure and replace it with two clear organizational chains of command -- one to accomplish its enforcement mission and the other to provide immigration-related services. The restructuring would eliminate current INS regional and district offices, and would extend from the lowest level of the agency to the highest. It will greatly improve the ability of the INS to perform its duties effectively and efficiently.

H.R. 4264 is consistent with a number of the underlying principles of the Department's approach. It recognizes that to improve performance, service and enforcement functions must be split from the ground level to the highest levels of the Department. It also acknowledges that both enforcement and administration of the immigration laws belong primarily in the Department of Justice, not other Cabinet agencies. Finally, it recognizes that the enforcement and service functions in the Department are supported by a set of shared services, including records, technology, training, and other management functions.

Despite these similarities, H.R. 4264 as introduced fails to address several critical aspects of our immigration system, omissions which could undermine our efforts to enhance accountability and results. Under the bill, there would no longer be any one person within the Federal government solely responsible for managing our immigration system on a full-time basis. By diffusing INS' current functions into two different agencies that connect only through the Office of the Attorney General, the bill weakens the coordination necessary to administer the immigration laws effectively.

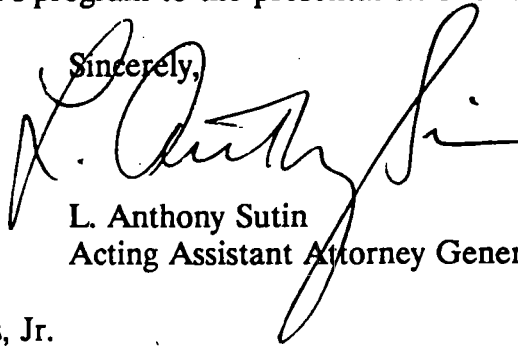
While it would seem on paper that providing that the head of the enforcement bureau report directly to the Attorney General would heighten oversight of this activity, the reality is quite different. The vast scope of responsibilities and competing priorities which ultimately reside with the Attorney General and Deputy Attorney General mean that these offices will not be able to give sufficient attention to providing the vital coordination between immigration enforcement and immigration services. The result would be weakened accountability.

This structure would also create delays in the development of policy and procedures that affect services and enforcement by forcing concurrence with a separate agency outside each agency's chain of command that has very different priorities and perspectives. The result would be weakened effectiveness. It is essential that any restructuring legislation ensure that our immigration system is managed full-time by a single high-level Department official.

H.R. 4264 also fails to take advantage of shared infrastructure -- such as records and computer systems -- and will create inefficiencies in the use of important joint systems. It would be difficult, cumbersome, and expensive to set up effective coordinating mechanisms that would provide the flexibility necessary to keep operations running smoothly. Instead, the bill should permit a separate supporting unit to provide these shared services to both the enforcement and services sides.

The Department wants to continue to work with the Committee on appropriate legislation to restructure INS in a manner which will improve effectiveness and accountability. If we may be of additional assistance, please do not hesitate to contact us. The Office of Management and Budget has advised that there is no objection from the standpoint of the Administration's program to the presentation of this report.

Sincerely,

A handwritten signature in black ink, appearing to read "L. Anthony Sutin", written over the typed name and title.

L. Anthony Sutin
Acting Assistant Attorney General

cc: The Honorable John Conyers, Jr.
Ranking Minority Member

Congress of the United States

Washington, DC 20515

July 30, 1998

The Honorable Lamar Smith
Chairman
Subcommittee on Immigration & Claims
B-370B Rayburn Office Building
Washington, D.C. 20515

Dear Chairman Smith:

In light of your Subcommittee's upcoming consideration of H.R. 4264, a bill to establish the Bureau of Enforcement and Border Affairs within the Department of Justice (DOJ), the Members of the Congressional Hispanic Caucus are writing to share with you our views on the important task of restructuring the Immigration and Naturalization Service (INS). As you know, we have a substantial interest in this issue because of its profound effect on many of our constituents.

We share your concern that the current structure of the INS is inefficient and cumbersome. We believe that any reform of the INS must address the conflicting missions the agency is currently tasked with — service and enforcement. The separation of the two conflicting missions is essential to the long-term success of our national immigration policy. It is vitally important that both components receive equal attention and support and both receive adequate funding, specifically funding to address the largest naturalization backlog in history.

While we believe reform of the INS is vital, we are concerned with H.R. 4264 in its current form. This legislation does not address one of the priorities of the Congressional Hispanic Caucus — immigrant services. H.R. 4264 would separate the enforcement components of the INS but does not address the equally important immigrant service components.

We are also concerned that this bill does not address the problem of unifying our national immigration policy. Upon the creation of a new enforcement agency, it will be essential to have one senior level DOJ official tasked with overseeing a national immigration policy. H.R. 4264 does not provide that guidance.

The Congressional Hispanic Caucus is committed to working with you on a comprehensive INS reform bill that adequately addresses our concerns. We thank you for considering our views and look forward to working with you on this issue.

Sincerely,

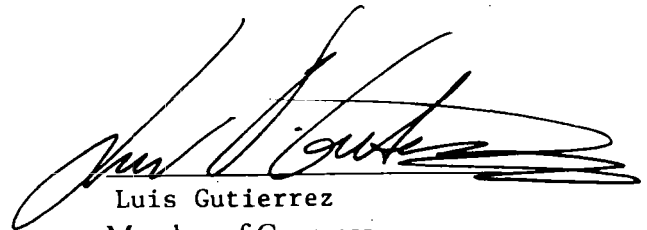


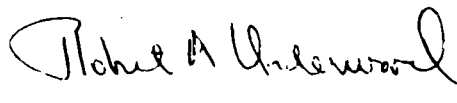
Xavier Becerra
Member of Congress



Silvestre Reyes
Member of Congress

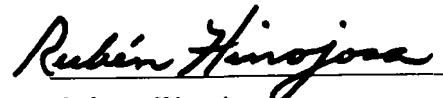

Ciro Rodriguez
Member of Congress

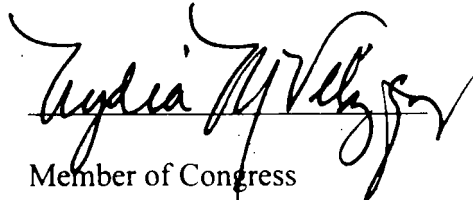

Luis Gutierrez
Member of Congress


Robert Underwood
Member of Congress

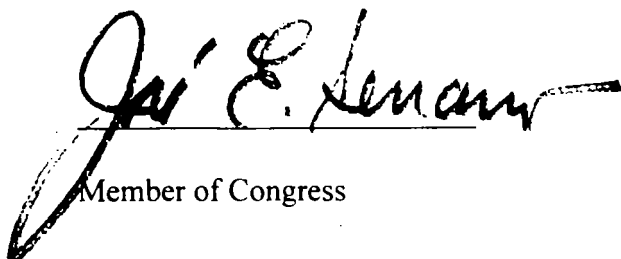

Carlos Romero-Barcelo
Member of Congress


Lucille Roybal-Allard
Member of Congress

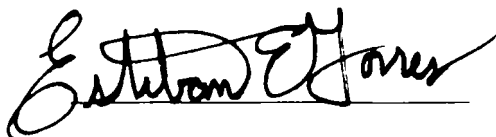

Ruben Hinojosa
Member of Congress


Lydia M. Velazquez
Member of Congress


Robert Menendez
Member of Congress


Jai E. Lenow
Member of Congress


Loretta Sanchez
Member of Congress


Estaban Torres
Member of Congress


Member of Congress

The Rogers Bill is the Wrong Approach to Restructure the INS

- As you know, the Administration is deeply committed to the fundamental restructuring of the INS. The INS desires change and shares Chairman Rogers concerns about the problems inherent in its co-mingling enforcement and service responsibilities. It shares his goals of separating these two primary responsibilities -- so as to both better improve our delivery of immigrant services and strengthen the enforcement of our immigration laws. However, the Administration strongly disagrees with the approach contained in the current Rogers legislation.
- Earlier this year, the Administration unveiled its proposal for a new INS -- one that clearly separates the agency's enforcement and service roles by establishing two separate chains of command and houses them in a single agency. The Administration believes that this proposal would best strengthen accountability and improve efficiency and effectiveness by allowing each of the two chains of command to focus on its unique requirements. At the same time, the Administration proposal assures strong leadership and direction through shared support services and a single agency head accountable for the management of the nation's immigration system.
- To divide the agency into two new agencies would undermine the significant progress that the INS already has made in reforming its core operations and infrastructure and the substantial investment of tax dollars the Congress has made in modernizing the INS infrastructure. The Administration wants fundamental reform but wants it done properly.
- 1. The Rogers Bill ignores the unique nature of the immigration system that, with its two like-minded missions, depends on effective integration and requires a single leader with full-time responsibility for immigration issues.
 - *Weakened Coordination.* Under the Rogers Bill, the complementary enforcement and service sides of immigration would be integrated only at the level of the Attorney General. However, everyday coordination below that level between the two components of our immigration system is absolutely essential in a variety of contexts. Without this linkage, routine operations would be impeded.
 - e.g. Benefit Fraud: Officers adjudicating benefits claims must be cognizant of potential fraud cases and need to coordinate with enforcement personnel to share the appropriate information. Further, there is the need to have staff in the service centers understand benefit fraud in the same way as investigators. It is crucial that there is a uniformity in definition.
 - e.g. Naturalization: Officers who need to decide on change of status requests for non-immigrants need to have access to Port-of-Entry information in order to properly adjudicate the request.

e.g. Political Asylum: Border patrol agents and inspectors at the Ports-of-Entry will need to be aware of and have access to information regarding immigrants rights to claims of political asylum and other benefits agreed to through organizations such as the United Nations High Commission for Refugees.

e.g. Removals: Investigators who develop leads on permanent residents who may have lost their eligibility to remain in the U.S. will need to work directly with officers in the service branch. This coordination is necessary to ensure that such immigrants are properly removed and are afforded all legal proceedings to which they are entitled.

- *Lack of Leadership.* One leader is needed that can devote full-time attention to ensuring the two interrelated immigration missions are integrated. The Rogers proposal would break the INS into two entirely separate, and unbalanced, divisions with the immigration enforcement bureau reporting directly to the Attorney General and the immigration services bureau reporting to the Deputy Attorney General. Not only does this bifurcated reporting process add to the layers of confusion in coordination, but also undermines accountability and forces all final decisions, however minute, to the level of the Attorney General.
- *Impeded Operational Decision Making.* No one at the local level, or even regional level, would be in the position of coordinating the two interrelated immigration missions. Short of going all the way to the nation's top law enforcement official, local officials would not be able to resolve immigration questions involving both enforcement and service aspects. Local officials would be put in the position of weighing whether a problem would be worth pushing all the way to the top. Problems would either go unaddressed or decided without proper coordination. A single leader is needed that can be responsive to local leaders with immigration problems by ensuring that linkage occurs at the proper level.
- *Impeded Administrative Decision-Making.* Under the Rogers bill, administrative issues more appropriate for Commissioner-level resolution, such as resource allocation, personnel decisions and budget questions, all would be forced up to the Attorney General.
- *Weakened Accountability.* Without the proper accountability to one leader responsible for both immigration missions, significant problems would arise both in the field and in headquarters.

e.g. Enforcement personnel along the border would be making decisions on who to let in the country without the full context provided by immigrant services.

2. The Rogers proposal does not provide for the critical shared support between enforcement and immigration services.

- *Duplication of Infrastructure.* In the last 5 years, Congress has invested hundreds of millions of dollars in technology and infrastructure. Splitting the agency into two would require a duplication in many of these supportive services including technological support, legal services, and training -- a very poor return on the taxpayer's investment.
- *Higher Application Fees.* Without the necessary economy of scale created by a unified INS subsidizing immigrant services costs, the prices for applications will rise even higher, in effect, pricing out those least able to afford such increases and erecting barriers to U.S. citizenship.
- *Slowed Records Processing.* With the unique nature of immigration records, it is absolutely critical to have one central repository for immigrant files and data. There needs to be one record on all aspects of an alien's status. In the past five years, the INS has spent millions of dollars to integrate paper-based and already automated records so as to create one records repository. Splitting the agency could complicate record management, create duplicate layers of record keeping and invite questions about record ownership -- all of which would set back recent efforts to develop a unified record system.

e.g. With IDENT, which relies on an alien's fingerprints, one automated system can be accessed by both enforcement and service INS personnel to determine such key information as whether an alien has been detained before, denied entry or removed as well as whether the alien has applied for political asylum, questions with implications for both immigration missions.

- *Creation of Substantial Privacy Issues.* By creating two separate agencies, significant privacy concerns of information exchange arise. Even within Department of Justice divisions now, there are privacy barriers which serve a necessary role but often create timely coordination problems and prevent the efficient sharing of information. Erecting privacy of records-sharing barriers between the enforcement and service sides of immigration would create an administrative nightmare.

e.g. Enforcement officer request for alien status. In order to obtain the information, a formal request to the separate division would have to be made, dramatically slowing the adjudication process, while appropriate protections are followed.

3. The 180 day timeframe for implementation is unrealistic and would jeopardize critical INS services.

- *Unrealistic Timeframe.* To require an agency of over 29,000 employees to divide into two entirely separate bureaus during a six month period is simply unrealistic. Indeed, Booz-Allen & Hamilton, the management consulting expert retained by the INS earlier this year to assist in the restructuring effort, estimated that such an effort would require 3 years -- by its own account an aggressive timeline based on comparable experiences in the private sector! Substantial questions of personnel rights (including the geographic location of employees), labor agreements, and support staffing cannot easily be dismissed. In addition, there looms the difficult question of which INS facilities in which areas around the country will be closed.
- *Six Month Shutdown of Critical Services.* To even attempt such an effort under such a timeframe would severely threaten the INS' ability to continue effective enforcement actions both at the border and in the interior as the entire agency would necessarily be involved in the restructuring effort to try to reach such a deadline. Likewise, there would be a severe drop off in immigrant application processing, bringing the naturalization process and other benefit processing to a virtual halt. Business application fees would plummet and border crossing and green cards would go unissued. Put simply, the INS cannot afford such an interruption in service.
- Just as we have worked together in the past, the INS wants to work with Congress now as it engages in the discussion of how to fundamentally restructure the agency and would like to reach consensus on a good government approach. To approve such an unprecedented measure as the Rogers bill now would not only be premature but potentially disastrous as well as there are many more questions to be answered before such a drastic restructuring plan should be considered.

**PHOTOCOPY
PRESERVATION**

Embargoed for release
10 am September 30

Contact: Paul Donnelly
202-776-8642
Evenings: 301-559-7812

Bipartisan Commission Calls For "A New Americanization Movement" *Urges "a national commitment to help legal immigrants become Americans"*

Washington (September 30): The bipartisan U.S. Commission on Immigration Reform today released its Final Report to Congress *Becoming an American: Immigration and Immigrant Policy*, which contains far-reaching recommendations on the management structure of the immigration system, re-ordering the priorities for deportation and removal of illegal aliens and proposing a simplification of more than 40 categories of temporary visas into a Limited Duration Admission system. But the theme of the Congressional commission's final work is an historic call for a policy on immigrants that will fulfill the goals of our policies for immigration.

"When the President appointed me to chair this bipartisan Congressional commission," said Shirley M. Hufstedler, "he emphasized the importance of a comprehensive approach to immigration and immigrants. The President asked me to carry on the work of the late Barbara Jordan, to grapple with the tough questions and come up with good answers in an area that is always controversial and often divisive."

"I deeply appreciate the support the administration has provided to the Commission, and I would like to single out INS Commissioner Doris Meissner for praise and thanks," Hufstedler said. "Many of our recommendations build on her achievements."

"But it is also time to look at the debate about immigration in a new way. Immigration is about immigrants, but it is also about the rest of us. In this report, we call for a New Americanization Movement, to go beyond policies on immigration to carry out an immigrant policy that will fulfill the promise of Americanization," Hufstedler said. "That means the cultivation of a shared commitment to the American values of liberty, democracy, and equal opportunity. Those business groups in particular who lobby for high levels of immigration must make a far greater effort not only to support immigration, but to support immigrants, through English classes, naturalization, and civic education. We must reinvigorate the public-private partnership that defined the best in our earlier Americanization efforts."

"In initiating the national dialogue on race and reconciliation, President Clinton has shown that strong leadership can help us deal with a divisive issue," Hufstedler noted. "The country needs similar leadership in grappling with the Americanization of new immigrants: What does it mean to be a nation of immigrants in the 21st century?"

"Americanization cannot be reduced to just a government policy. It challenges all of us," Hufstedler said. "We call upon the President and Congressional leadership to convene leaders from both the public and private sectors to define the outlines of a New Americanization Movement, one that will involve communities throughout the United States."

"Education is the principal tool of Americanization. We urge a renewed commitment to the education of immigrant children," continued Hufstedler, who was the founding Secretary of Education. "We emphasize that rapid acquisition of English should be the paramount goal of any immigrant language instruction program. Because there are many ways effectively to teach English, we recommend flexibility -- and accountability."

"The Commission recognizes that naturalization is the most important act in the process of becoming an American," concluded Hufstedler. "We support the current legal requirements, but we need to improve the methods and measurements that ensure the integrity of the process," including standardized tests, a single English and civics testing service, and a revision of the Citizenship Oath to make it easier to understand while retaining its solemnity.

"For five years, my fellow Commissioners have sought consensus on these complicated, emotionally-charged issues," Hufsteder added. "In 1994, this Commission proposed a comprehensive strategy for deterring illegal immigration. Many of those proposals, particularly to change border strategy and to test for a better system for worksite verification, have been adopted by the administration and enacted into law. In 1995, the Commission proposed that we prioritize legal admissions to end the worsening conflict between immigrants' marriage vows, their obligations as parents of small children, and U.S. immigration law. Strong families make a strong nation, so it harms the national interest to separate husbands, wives, and small children, or to force them to break our laws in order to unite their families. We should do all we can to ensure that immigrants do not continue to face the many-year separations required by current law. A few months ago, we called for the United States to take leadership in a post-Cold War refugee policy for the world."

"With this final report, the Commission completes its Congressional mandate to undertake a comprehensive examination of immigration policy and to recommend reforms to serve the national interest."

Enclosures

Becoming an American: U.S. Immigration and Immigrant Policy Summary of Recommendations

Immigrant Policy: Americanization and Integration of Immigrants

- *CIR reiterates its call for the Americanization of new immigrants*, the cultivation of a shared commitment to the American values of liberty, democracy and equal opportunity.
- *CIR urges the federal government to implement immigrant policies* to help orient immigrants and their new communities as to their mutual rights and responsibilities, providing information they need for successful integration, and encouraging the development of local capacities to mediate when divisions occur between groups. The federal government should help immigrants and local communities by:
 - Giving orientation materials to legal immigrants upon admission;
 - Encouraging state governments to establish information clearinghouses in major immigrant receiving communities; and
 - Promoting public/private partnerships to orient and assist immigrants in adapting to life in the United States.
- *CIR urges a renewed commitment to the education of immigrant children, with rapid acquisition of English as the paramount goal of all immigrant language instruction programs.* The U.S. educational system should:
 - Conduct regular evaluations of students' English competence and their ability to apply it to academic subjects;
 - Collect and analyze data on immigrant students;
 - Include appropriate grade-level instruction in other academic disciplines;
 - Involve parents of immigrant students in their schooling;
 - Be responsive to the needs of immigrant children and an orientation to the U.S. school system and the community, as we have seen in "newcomer" schools;
 - Revive and emphasize instruction in the common civic culture that is essential to citizenship; and
 - Address urgently the disturbing shortage of qualified teachers for children with limited English proficiency with recruitment, training and support programs.
- *CIR supports immigrant education funding based on a more accurate assessment of the impact of immigration on school systems and that is adequate to alleviate these impacts.* The federal government should:
 - Provide flexibility in federal funding for the teaching of English to immigrant children to achieve maximum local choice of instructional model.
 - Make funding contingent on performance outcomes—that is, English language acquisition and mastery of regular academic subject matter by students served in these programs.
- *CIR urges federal, state and local governments and private institutions to enhance educational*

opportunities for adult immigrants.

- *CIR believes that current legal requirements for naturalization are appropriate but improvements are needed in the means used to measure whether an applicant meets these requirements.* CIR supports:
 - Maintaining current residency requirements (five years for most immigrants, three years for spouses of U.S. citizens and those who serve in the U.S. military);
 - Improving the mechanisms used to demonstrate knowledge of U.S. history, civics and English competence by using standardized tests to evaluate a common core of information;
 - Expediting swearing-in ceremonies while maintaining their solemnity and dignity; and
 - Revising the naturalization oath to make it comprehensible, solemn and meaningful.
- *CIR calls for urgently needed reforms to increase the efficiency and integrity of the naturalization process.* Building on steps already underway to reengineer naturalization, we recommend:
 - Instituting efficiencies without sacrificing quality controls;
 - Improving the integrity and processing of fingerprints;
 - Contracting with a single English and civics testing service;
 - Increasing professionalism;
 - Improving automation; and
 - Establishing clear fee-waiver guidelines and implementing them consistently.

Immigration Policy: A Credible Framework for Reform

- *CIR reiterates its support for a properly-regulated system for admitting lawful permanent residents.* Such a system:
 - Redefines priorities and reallocates existing admission numbers to fulfill more effectively the objectives of our immigration policy;
 - Gives priority to nuclear family members—spouses and minor children of U.S. citizens, parents of U.S. citizens and spouses and minor children of lawful permanent residents [LPRs]—and includes a backlog clearance program to permit the most expeditious entry of the spouses and minor children of LPRs;
 - Enhances the opportunities for the entry of highly-skilled immigrants, particularly those with advanced degrees, and eliminates the category for the admission of unskilled workers;
 - Bases refugee admissions on human rights and humanitarian considerations, as one of several elements of U.S. leadership in assisting and protecting the world's persecuted.
- *CIR continues to recommend against denying benefits to legal immigrants solely because they are noncitizens.* Denial of access to safety net programs for immigrants truly in need of help violates the essence of the American covenant with its immigrant newcomers, which is built on mutual obligations.
- *CIR recommends that the visa categories for limited duration stays in the United States be reorganized to make them more coherent and understandable.* Five categories capture the various reasons people come for limited stays in the United States: official representatives, short-term visitors, foreign workers, foreign students, and family members (such as fiancées) in need of

transitional status. A coherent system includes:

- Extension of the visa waiver program for short-term visitors from countries with little likelihood of visa abuse, with the program becoming permanent upon implementation of an entry-exit control system;
 - Classification of foreign workers into three classes—those exempt by law from labor market protection standards because their admission generates substantial benefits and poses little potential for undermining wages and working conditions of U.S. workers; those whose admission is subject to treaty obligations; and those subject by law to labor market protection standards.
 - Labor market tests that are commensurate with the skill level and experience of the foreign worker to be admitted;
 - Special provisions—including regular, independently conducted audits of their compliance with the requirements of the program—for employers who are at special risk of violating labor market protection standards because of their extensive use of temporary foreign workers, history of prior serious violations, or status as a job contracting or employment agency;
 - Enhanced monitoring of and enforcement against fraudulent applications and postadmission violations of labor market protection standards; and
 - Strict review of employer requests for lesser-skilled and unskilled workers, with no provisions for large-scale admission of guest workers.
- *CIR continues to support a comprehensive strategy to deter illegal migration, including:*
 - Managing border crossings to prevent illegal entries and facilitate legal ones;
 - Reducing the employment magnet, particularly through more effective procedures for verifying work authorization;
 - Restricting eligibility of illegal aliens for publicly-funded services or assistance, except those made available on an emergency basis or for similar compelling reasons to protect public health and safety or to conform to constitutional requirements;
 - Addressing the causes of unlawful migration in source countries through cooperative bilateral and international efforts; and
 - Responding in a timely, effective and humane manner to migration emergencies.
 - *CIR urges immediate reforms to improve management of the removal system and ensure that aliens with final orders of deportation, exclusion or removal are indeed removed from the United States. This requires:*
 - Establishing priorities and numerical targets for the removal of criminal and noncriminal aliens;
 - Local oversight and accountability for development and implementation of plans to coordinate apprehensions, detention, hearings, removal and the prevention of reentry;
 - Continued attention to improved means for identifying and removing criminal aliens with a final deportation order;
 - Authorizing the Executive Branch to develop, provide and fund programs that educate aliens about their rights and facilitate legal representation, where to do so would be beneficial to the administration of justice;
 - Improved detention conditions and monitoring;
 - Improved data systems; and

- Instituting a last-in-first-out strategy to demonstrate the credibility of the removal system.
- *CIR urges Congress to clarify that the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 and the Antiterrorism and Effective Death Penalty Act of 1996 do not apply retroactively to cases pending when the new policies and procedures went into effect.*

Achieving Immigration Policy Goals

- *CIR recommends fundamental restructuring of responsibilities within the federal government to support more effective management of the core functions of the immigration system.* The aim is to overcome dual problems: mission overload, where some agencies have so many responsibilities that they have proved unable to manage them all effectively; and diffusion of responsibility for certain functions, where no one agency has full responsibility or can be held accountable. CIR recommends:
 - Immigration enforcement at the border and in the interior to be placed in a Bureau for Immigration Enforcement at the Justice Department, with the new agency being set at the same level as the Federal Bureau of Investigation;
 - All adjudication of applications for immigration-related services to be placed under an Undersecretary of State for Citizenship, Immigration and Refugees;
 - Enforcement of immigration-related standards for employers to be consolidated in the Department of Labor; and
 - Administrative review of all immigration-related decisions to be considered by a newly-created independent agency, the Agency for Immigration Review, that would hear cases in which appeals can now be made as well as a limited range of new cases (i.e., review of consular decisions overseas on immigrant visas and limited duration admission visas in which there is a U.S. petitioner).
- *CIR urges the federal government to make needed reforms to improve management of the immigration system, including:*
 - Setting more manageable and fully-funded priorities;
 - Developing more fully the capacity for policy development, planning, monitoring and evaluation;
 - Improving systems of accountability;
 - Recruiting and training managers;
 - Strengthening customer service orientation; and
 - Using fees for immigration services more effectively.
- *CIR reiterates its 1994 recommendations to improve immigration data collection, coordination, analysis, and dissemination.*

September 30, 1997

Statement of Mrs. Shirley M. Hufstedler
Chair
U.S. Commission on Immigration Reform

Thank you for coming. Today, the bipartisan U.S. Commission on Immigration Reform presents its Final Report to Congress. Its title is *Becoming an American: Immigration and Immigrant Policy*.

Copies of the Executive Summary are available for you on the table. Copies are also available from the Commission staff.

I wish to make a brief statement on behalf of the Commission, and then all of us will answer your questions. First, I would like to introduce our Commissioners: our Vice Chairs, Drs. Lawrence Fuchs and Michael Teitelbaum, who led the effort to develop Americanization proposals; Commissioners Robert Hill and Bruce Morrison, who led the management team. Commissioners Richard Estrada, Harold Ezell and Nelson Merced.

Before I turn to our specific recommendations, let me say how much I have enjoyed working with my colleagues on the Commission. We have dealt with some of the most complex, controversial and divisive issues facing the Nation; yet, our conclusions and recommendations are unanimous or near unanimous. We believe that we have successfully completed our mission.

The original chair of this Commission was Bernard Cardinal Law of Boston, appointed by President Bush. He set the Commission's direction for bipartisan consensus. We can also thank Cardinal Law for appointing our very able Executive Director, Dr. Susan Martin, who has pulled together an outstanding and dedicated staff.

My immediate predecessor as Chair was the late Barbara Jordan. This report is dedicated to her memory. During her service as Chair, she revived the word *Americanization*. During the last comparable period of significant immigration, there was a national movement, led by the President, that included every community in the country, to help newcomers adjust to their new home. But, as some of my colleagues reminded her, that first Americanization movement degenerated into a sump of ethnic prejudice during and after the First World War. Barbara's response was direct: "It is our word, and we are taking it back," she said.

I would also like to single out Commissioner Meissner of the INS for praise and thanks. Many of our recommendations build on her achievements. After decades in which the INS was neglected and underfunded, through Commissioner Meissner's leadership, assisted by the Clinton Administration and by Congress, substantial progress has been made in controlling

the border, removing criminal aliens, stopping abuses in the political asylum system, and obtaining significant increases in funding to meet our immigration goals.

But these very accomplishments have shown us that policy leadership, new initiatives and more resources will not by themselves solve the still serious problems in our immigration system. The clear record over several administrations demonstrates that there are systemic problems – problems that go far beyond the INS.

After five years and more than forty hearings and site visits in the United States and selected foreign countries, the Commission recommends fundamental restructuring to support more effective management of the core functions of the immigration system. You see from the charts on pages 42 and 43 of the report how the Commission identified the core functions of the immigration system: enforcement at the border and inside the country; granting of legal immigration and naturalization benefits; immigration-related employment standards; and appeals.

We concluded that there are two basic problems with the current system: First, *mission overload*. The INS is responsible for all four basic functions, including review of some of its own adjudications decisions. That is not acceptable. No one agency can do everything now expected of INS. Moreover, its missions are often in conflict. Some have said that there is a synergy between enforcement and services, but, too often, both sides are harmed, not helped, by the association. Stopping illegal migration is a clear Justice Department responsibility, but it sends the wrong signals to treat legal immigration as a law enforcement problem.

The second systemic flaw we have identified is critical to the efficiency of our overall immigration system: *responsibilities are diffused among different agencies*. When it comes to something as basic as who gets a visa, it seems like everyone is responsible – but no one is accountable. The result? Lengthy delays, sometimes 30 months or more, in approving legitimate requests from employers and family members who must sometimes go to three different departments for a single decision.

As has been widely reported, the Commission recommendation is to separate the basic functions and then assign responsibility for each to the agency that can most effectively and efficiently carry it out. We have drafted a blueprint for structural reforms that builds on existing strengths, assigns clear responsibility, and, most important, makes it clear which agency is accountable for which results. The responsibility now rests with the Executive Branch and the Congress to take the next steps. We look forward to discussions and planning to implement this proposal in the coming months.

But let me turn to the news we are making today. After five years at the center of a tumultuous national debate, this bipartisan Commission is today completing its main work by

unanimously calling for *policies for immigrants* that will fulfill the goals of our *immigration policies*.

First, let me briefly summarize our recommendations on immigration policy. Three years ago, we defined credibility for immigration policy by a simple yardstick: Those who should get in, get in; those who should not get in are kept out; and those who should not be here, and are judged deportable, are required to leave.

We said then that the first priority was curbing illegal migration. We set out a comprehensive strategy to deter illegal entry and remove illegal aliens. Many of our recommendations, particularly for better border management and worksite enforcement, have been adopted by the Executive Branch and Congress. In this report, we trace the progress made and lay out more detailed recommendations for removal of the illegal aliens who have entered the country.

More than two years ago, the Commission addressed legal immigration issues. We continue to believe that properly-regulated legal immigration serves the national interest. A well-regulated system sets priorities for admission, facilitates nuclear family reunification; gives U.S. employers access to a global labor market while ensuring that American workers are not displaced or hurt; and fulfills our commitment to resettle refugees as one key to our world leadership.

However, we must do better, in setting priorities for admission. In particular, we must end the worsening conflict between immigrants' marriage vows and obligations as parents, and U.S. immigration law. Strong families make a strong nation, so it harms the national interest to separate husbands, wives and small children, or to force them to break our laws in order to unite their families. We should do everything we can to make sure that immigrants do not face the many-year separations from their spouses and minor children that occur under current law.

Much as all of these issues are important and must continue to command attention, it is time to look at immigration differently. Immigration is about immigrants, *and* it is about all of the rest of us. It is about who and what we are as a Nation. As a Nation, we must go beyond a debate about admissions policy — will we accept six, seven, eight hundred thousand immigrants per year? — to one about *immigrant* policy: What do we expect of the immigrants we admit? How will we receive them? Will we help them adapt and contribute to our society? Will we help communities and individuals who are adversely effected by the presence of immigrants? Immigration is a benefit, but it is not without costs and sometimes the largest costs are borne by those least able to afford them.

The Commission took a long, hard look at how we are answering these questions. And, frankly, we did not like what we saw. Recent legislative changes, for example, effectively

exclude new legal immigrants from the public safety net until such time as they become naturalized citizens. This Commission previously recommended against such policies. We continue to believe it is likely that these restrictive policies will lead to greater problems both for immigrants and for the communities in which they live. The effect is not to exalt citizenship, but to diminish it. Some of the members of Congress who are justifiably proud of their pro-immigration record nevertheless supported such anti-immigrant policies. We ask them to rethink their approach.

We believe that the U.S. has a covenant with its immigrant newcomers. The covenant is voluntary — No one forces immigrants to come here; no one forces us to accept them. We do so because it is in our national interest to admit immigrants. The covenant also includes mutual obligations. We expect immigrants to obey our laws, pay our taxes, respect other cultures and ethnic groups. We expect their U.S. sponsors to help new immigrants when they get into trouble. At the same time, we, the citizens of the United States, also incur obligations—to provide an environment in which newcomers can become fully participating members of our society.

In this report, we call for immigrant policies that will fulfill the promise of Americanization. That means the cultivation of a shared commitment to the American values of liberty, democracy, and equal opportunity. Some fear that the diversity brought by immigration will undermine our nation. We think not. As long as we continue to value our most basic American principles, and provide the opportunity for immigrants to join with us, immigration can make us a stronger nation.

We make specific recommendations for:

- Developing greater capacities to orient both newcomers and the communities that receive them, including a modest federal grant program to help states establish information clearinghouses;
- Educating newcomers in English language skills and our core civic values; and
- Revisiting the meaning and conferral of citizenship to ensure the integrity of the naturalization process.

We see a strong federal role in supporting immigrant policy, but ultimately we must reinvigorate the public-private partnership that defined the best in our earlier Americanization efforts. While immigration is always a national policy, the actual process of Americanization takes place in local communities. Every town hall, school, business, church, synagogue, mosque; every foundation, charity, and ethnic association -- including both the older ones founded to help immigrants of generations past, and the new ones -- should play an important role in helping newcomers adjust.

In initiating the national dialogue on race and reconciliation, President Clinton has shown that strong leadership can help us deal with a divisive issue. The country needs similar leadership in grappling with the Americanization of new immigrants: What does it mean to be a nation of immigrants in the 21st century? We call upon the President and the Congressional leadership to convene leaders from both the public and private sectors to define the outlines of a new Americanization movement, one that will involve communities throughout the United States.

Americanization challenges all of us. Those business groups in particular who lobby for high levels of immigration must make a far greater effort not only to support immigration, but also to support immigrants, through English classes, naturalization, and civic education.

They should follow the example of two Massachusetts companies whose officers testified before the Commission. Malden Mills is well known because its owner continued to pay employee salaries while the plant was rebuilt after a devastating fire. Less well known is Malden Mills' commitment to provide training to its largely immigrant workforce to upgrade skills so they will be able to take on tomorrow's high tech jobs. United Electric Control Corporation also launched an in-house training program, geared to the needs of its limited English speaking workers. Employees are given time off from work to attend classes because, as the company testified, "education is progress." These companies have learned that they do well by doing good.

Local educational institutions bear the primary responsibility for educating immigrant children. But there is a federal role in promoting and funding English acquisition, including teacher training, and in civic education for immigrants.

We visited newcomer schools throughout this country that are models of what can be done to help immigrant children. Right here in the District, we visited Bell MultiCultural, a high school struggling with inadequate resources but demonstrating its full commitment to provide a quality education to its students.

We emphasize that rapid acquisition of English should be the paramount goal of any immigrant language instruction program. There are many ways effectively to teach English. We recommend flexibility – and accountability. We should not mandate any one mode of instruction, whether it is bilingual education, or ESL, or immersion. What really counts is well-trained teachers, a serious community commitment to educate immigrant children, parental involvement, and regular evaluations of student progress. We should make funding contingent on performance outcomes. That means that students learn English and don't lose ground on their academic subjects.

Regarding naturalization. The Commission recognizes that this is the most important act in the process of becoming an American. We support the current legal requirements, but we need to improve the methods and measurements that ensure the integrity of the process.

We believe that the mechanisms used to demonstrate knowledge of U.S. history, civics and English competence can be improved. Tests should be standardized, and there should be a single English and civics testing service. We can do better than the current system, with the 100 questions, and so forth. How many in this room recall which state was the 49th to enter the Union? Isn't it more important that immigrants know what it means to have freedom of speech, or a trial by a jury of peers, than to provide rote answers on cue.

We also recognize that the current Oath of Renunciation and Allegiance is not easy to comprehend. How many native-born Americans know what it means to "abjure" allegiance to a "potentate?" We believe that it is important that newly naturalized citizens understand exactly what they are saying when they pledge allegiance to this country. To fulfill the statutory requirements of the law while capturing the essence of naturalization, the Commission recommends the following revision:

Solemnly, freely, and without any mental reservation, I hereby renounce under oath all former political allegiances. My sole political fidelity and allegiance from this day forward is to the United States of America. I pledge to support and respect its Constitution and laws. Where and if lawfully required, I further commit myself to defend them against all enemies, foreign and domestic, either by military or civilian service. This I do solemnly swear.

Our full set of recommendations are spelled out in the report. My colleagues and I are pleased to answer your questions.

Final Report

RESTRUCTURING WORKPLAN

**Immigration and Naturalization
Service**

Washington, D.C.
May 7, 1998

*This report is confidential and intended solely for the use and
information of the company to whom it is addressed*

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I. INTRODUCTION AND EXECUTIVE SUMMARY

EXECUTIVE SUMMARY: PREFACE TO RESTRUCTURING WORKPLAN

Why Change?

As outlined in the "Framework for Change", INS restructuring is a fundamental transformation of the agency's organization, processes, systems, and culture. Restructuring an organization is a major commitment to overhauling the business to achieve substantial improvements in performance. It must be carefully planned to ensure critical issues are addressed, but be implemented at a rate to show progress to internal and external stakeholders. The largest challenge for any organization is keeping this momentum without significantly impacting daily operations. Regardless of how well-managed the restructuring project is, the effort will be difficult, cause anxiety, and be resisted by some. Even with these considerations, it is the right thing for the INS to pursue at this time.

Benefits to be achieved from restructuring are significant. Restructuring will create a Service organization patterned after best-in-class commercial operations. Customers will be well-served in convenient locations. Applications will be processed in a timely fashion consistently across the country. In Enforcement, restructuring will yield better integrated operations. This integration is required to effectively address illegal migration and employment in this country and abroad. With support activities, the INS' move to a Shared Support structure will improve support provided to the field while ensuring that economies of scale are achieved. Throughout the INS, employees will have clearer career paths and improved training that will result in development of specialized technical and management skills. The new INS will become an organization dedicated to professional service and enforcement operations and offer fulfilling career opportunities for its employees.

EXECUTIVE SUMMARY: PREFACE TO RESTRUCTURING WORKPLAN (CONTINUED)

How do we get from here to there?

The workplan presented in this document outlines an approach for moving forward with INS restructuring. During the first four months of this year, 1998, the agency has focused on developing a "Framework for Change." This phase of work, Phase One in the overall process, articulated the "what and why" of changes needed in the current organization. The next phase of work, Phase II or blueprinting, focuses on the "how". In other words, how the new organization will function and how restructuring will improve performance.

Booz-Allen suggests a two-step approach to Phase II. The first step, Phase II A, focuses on performing key analysis and establishing the project infrastructure and management to drive the transformation. Phase II A is aimed at addressing a number of difficult questions. These questions include:

- How much is restructuring likely to cost or save the agency?
- What are options for new Immigrant Services and Enforcement Operations Area boundaries?
- How should Shared Support be provided to improve service levels and efficiency?
- How will INS manage restructuring while focusing on day-to-day operations and working on reducing significant benefits backlogs?

A key output of Phase II A is the creation of a Restructuring Office. The Restructuring Office will be responsible for 1) overall project management of the effort and 2) managing Communications and Human Resource issues. Central to the success of the Restructuring Office is development of a comprehensive communications strategy and plan. A restructuring communication plan ensures through multiple vehicles that INS employees and external stakeholders are well-informed of plans and have a means to provide input and feedback.

EXECUTIVE SUMMARY: PREFACE TO RESTRUCTURING WORKPLAN (CONTINUED)

Phase II B, detailed blueprinting, would begin after Phase II A is complete. Phase II B includes work modules to 1) design the operations organization, Immigrant Services and Enforcement Operations, and 2) detail new integration mechanisms needed to tie the INS together. Phase II B will address how Immigrant Services and Enforcement Operations function with two separate chains of command. It will define how Service and Enforcement will work together and develop mechanisms to ensure integration across these disciplines to minimize conflicts. Phase II B will involve a large number of INS staff in its detailed planning efforts. This involvement is needed to arrive at the best “answer” for how the new organization will function and will facilitate employee “buy-in” to Restructuring. Phases II A and B begin to answer the critical question of INS employees, “What will happen to me?”.

How long will this take? What can be done now?

Based upon previous client experience, Booz-Allen & Hamilton estimates that Phase II will take six to nine months to complete, assuming that 1) appropriate resources are dedicated to the effort and 2) the INS is able to obtain needed Congressional approvals. Based upon this schedule, the INS could begin Phase III, implementation, in the beginning of 1999 (calendar year). It is anticipated that INS will pursue a pilot approach to implementation—roll-out the new design in a select location to test design concepts and make revisions as needed. The phased work approach outlined in this document has a number of benefits. It permits the agency to focus on day-to-day operations while aggressively pursuing restructuring. The approach calls for extensive involvement from the field to ensure that the best structure is designed and to ensure buy-in. The workplan sequences the work modules to leverage prior efforts and to attempt to minimize disruption—Phase II is staged into two parts (Phase II A and Phase II B).

There are efforts that the INS can undertake immediately that will be beneficial to the organization. Backlog reduction, for example, is a critical performance improvement effort that will demonstrate momentum. Other examples include training managers in conflict resolution or change management principles or conducting an occupational inventory and survey of employees. These activities are useful regardless of the final path pursued for Restructuring.

**THIS DOCUMENT CONTAINS A WORKPLAN OUTLINING BOOZ-ALLEN'S PERSPECTIVE ON HOW
INS SHOULD PROCEED WITH ITS RESTRUCTURING EFFORTS**

- Work completed in the first quarter of 1998 represents the “Framework for Change” or vision for what INS needs to change and why
- This workplan outlines additional work required to “blueprint” this recommendation—detail what the new organization will look like down to the grass roots level and how it will operate
- This document is divided into five sections and contains two appendices
 - Overview of Restructuring Benefits
 - Workplan Summary
 - Phase II A Modules
 - Phase II B Modules—Division Blueprinting
 - Phase II B Modules—Integration Mechanisms
 - Appendix A—Restructuring Benefits by Division
 - Appendix B—Detailed Workplans

II. OVERVIEW OF RESTRUCTURING BENEFITS

IN DEVELOPING ITS “FRAMEWORK FOR CHANGE,” THE INS ARTICULATED FOUR GOALS TO BE ACHIEVED THROUGH RESTRUCTURING

- Develop clear lines of accountability
- Create customer-oriented service capabilities
- Build professional capabilities in law enforcement and services
- Fulfill INS' single mission: to uphold the immigration laws of the United States as intended by Congress

THE “FRAMEWORK FOR CHANGE” WAS AN ACKNOWLEDGMENT THAT THE AGENCY NEEDS TO FUNDAMENTALLY CHANGE THE WAY IT DOES BUSINESS

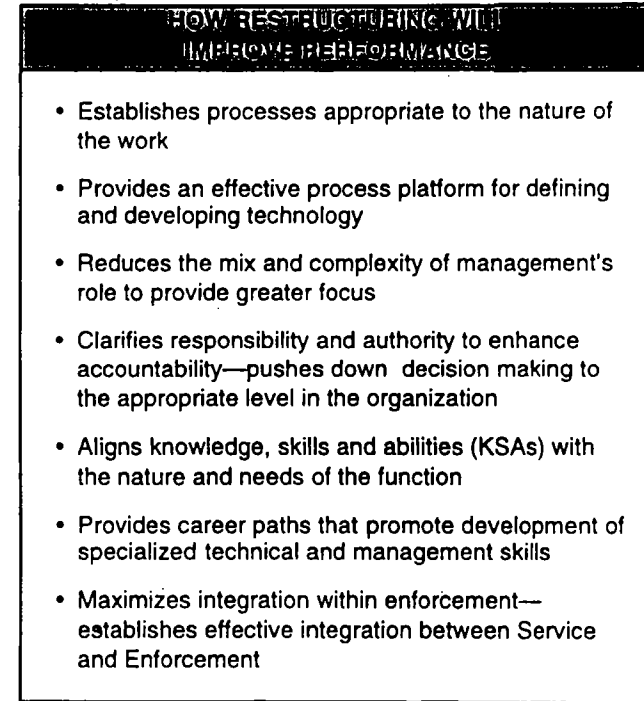
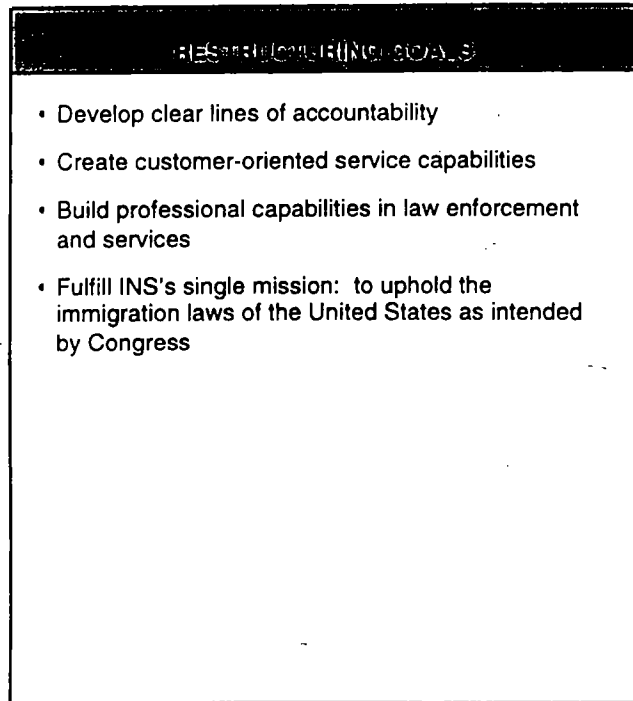
- While the catalyst for change was driven by external forces ...
 - Huge increases in demand for services—naturalization applications doubled within the last five years
 - Complex immigration laws and recent legislative changes at the state and federal levels
 - Increasing public and political pressures for improved performance—higher expectations for good service
 - Economic and political forces driving increases in illegal migration
- ... INS recognized that it needed to re-examine the way it conducted business to deal effectively with these pressures
 - The agency was growing so fast that its processes, information systems and organization structure were stretched to the point of impacting performance
 - The “Framework for Change” is not a commentary on individual INS employee performance, but a realization that the agency’s structure, processes and technology must be overhauled to meet the challenges of the twenty-first century

WHILE THE “FRAMEWORK FOR CHANGE” FOCUSED ON THE NEED FOR A NEW INS ORGANIZATION STRUCTURE, IT RECOGNIZED THAT STRUCTURE ALONE WILL NOT RESOLVE PERFORMANCE ISSUES

- Business processes also must be reengineered
- IT enhancements may be required
- Changes in the agency’s culture to enhance accountability and focus on performance may also be needed

RESTRUCTURING WILL IMPROVE PERFORMANCE BY CLARIFYING ACCOUNTABILITY, CREATING SPECIALIZED MANAGEMENT FOCUS AND REENGINEERING KEY PROCESSES

HOW RESTRUCTURING GOALS WILL BE ACHIEVED

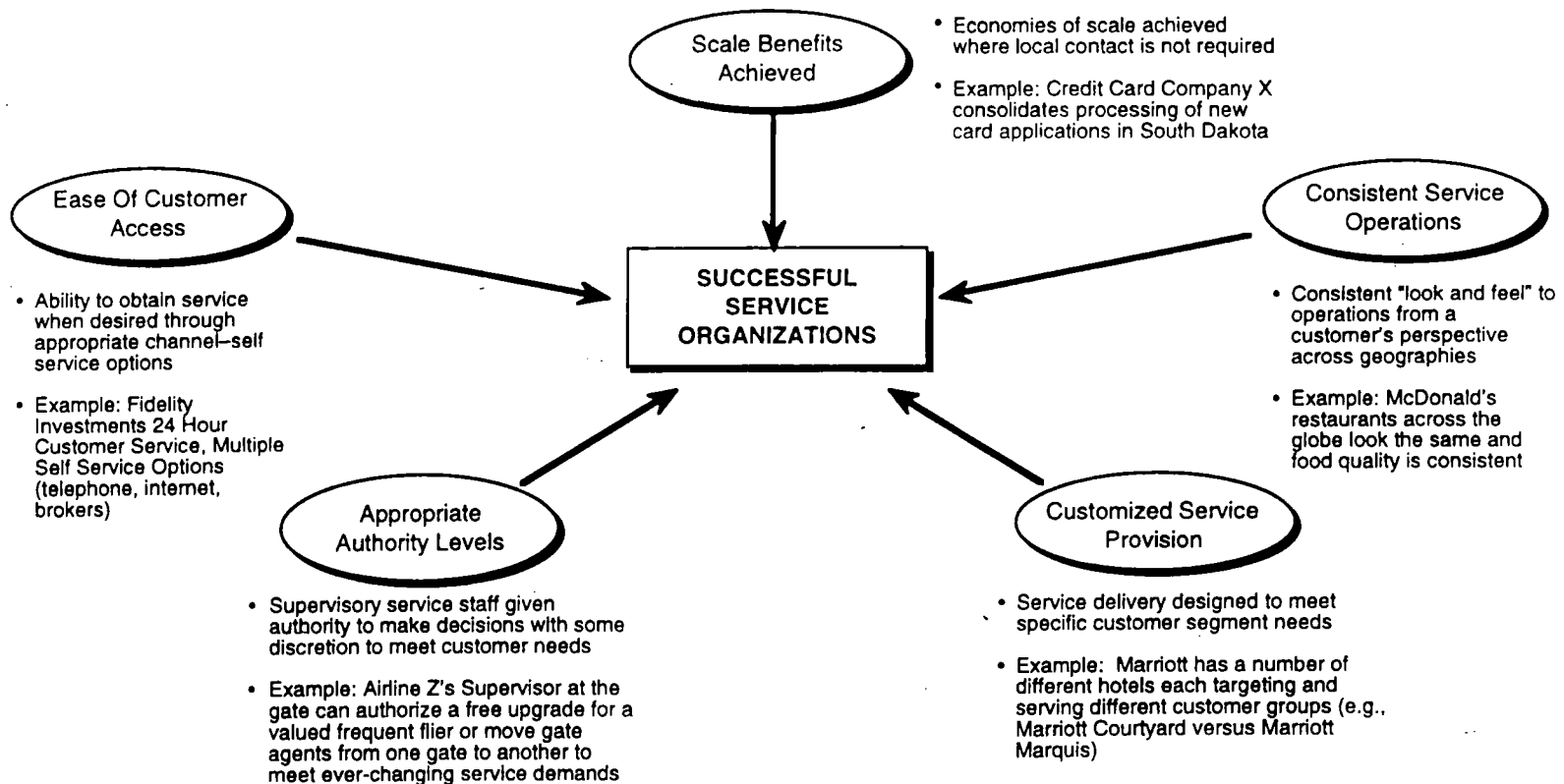


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DETAILS OF HOW PERFORMANCE WILL BE IMPROVED IN EACH DIVISION (e.g., IMMIGRANT SERVICES) ARE INCLUDED IN APPENDIX A

THE DESIRED OUTCOME FOR IMMIGRANT SERVICES IS “BEST IN CLASS” SERVICE CAPABILITIES SIMILAR TO THOSE FOUND IN SUCCESSFUL COMMERCIAL ORGANIZATIONS

BEST IN CLASS SERVICE OPERATIONS: SELECT ORGANIZATION ELEMENTS

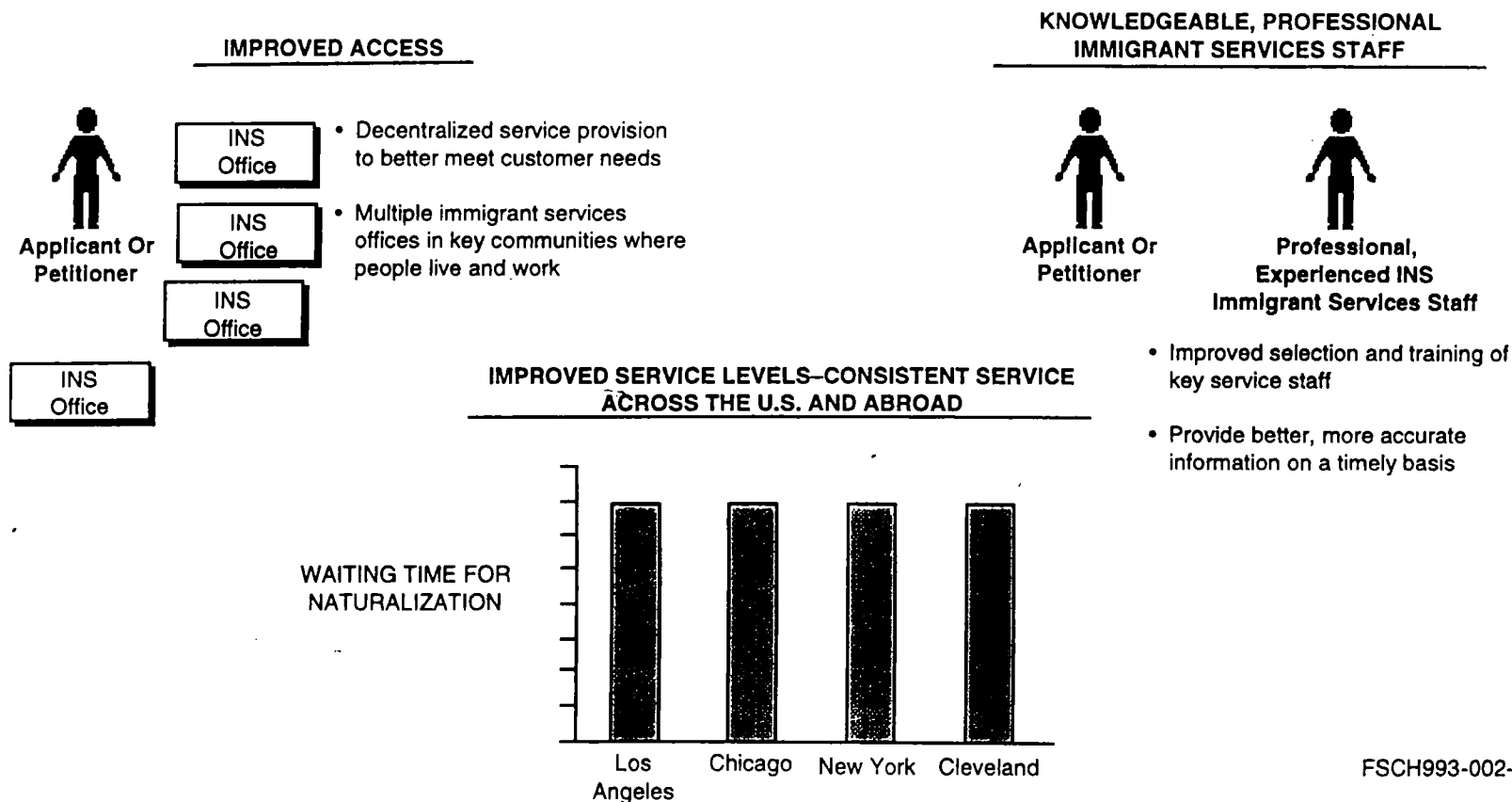


Source: BA&H Intellectual Capital

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THE COMMUNITIES THAT INS SERVES WOULD EXPERIENCE SIGNIFICANTLY IMPROVED, PROFESSIONAL CUSTOMER SERVICE

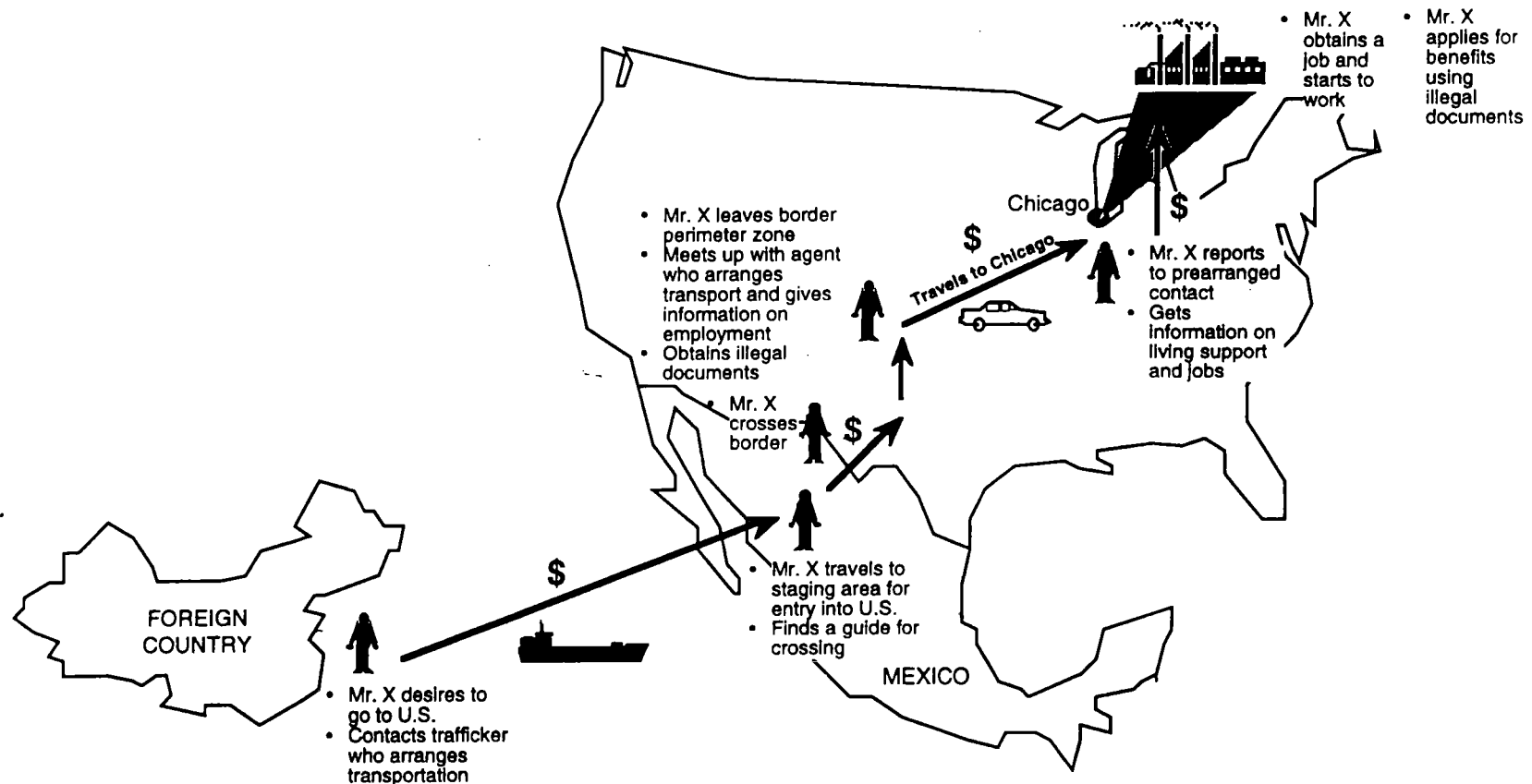
RESTRUCTURING BENEFITS—SERVICE



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THE NATURE OF ILLEGAL MIGRATION SUGGESTS THE NEED FOR AN INTEGRATED ENFORCEMENT ORGANIZATION—IN THE U.S. AND ABROAD

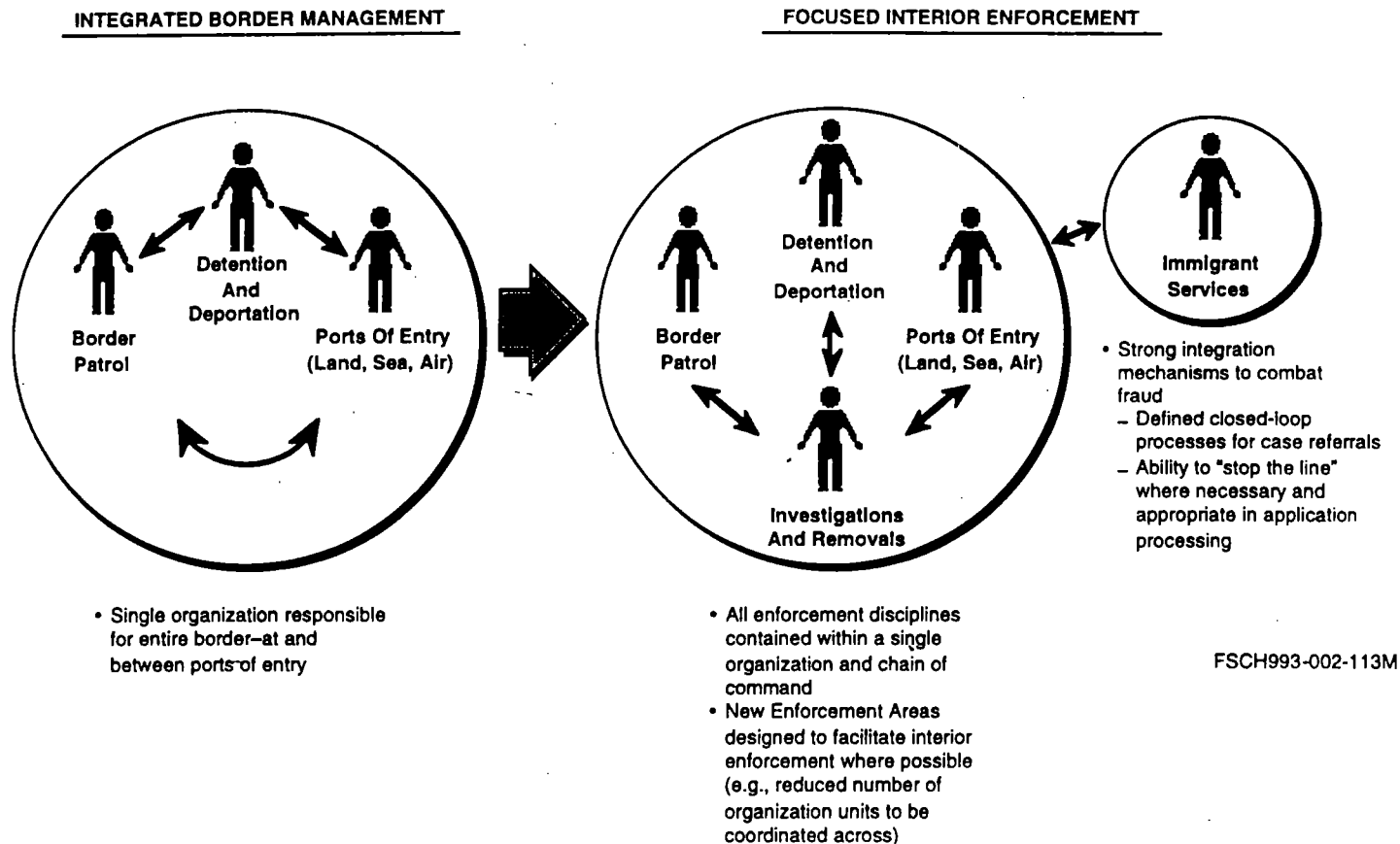
TARGETING ANTI-SMUGGLING : THE NEED FOR AN INTEGRATED SOLUTION



FSCH993-002-036Map

THE FRAMEWORK FOR CHANGE PRESENTS AN INTEGRATED APPROACH TO ENFORCEMENT OF IMMIGRATION LAWS AT THE BORDER AND IN THE INTERIOR OF THE COUNTRY

RESTRUCTURING BENEFITS-ENFORCEMENT



IMPLEMENTING A SHARED SUPPORT STRUCTURE HIGHLIGHTS THE IMPORTANCE OF SUPPORT ACTIVITIES AND FOCUSES ON IMPROVING PERFORMANCE IN ADMINISTRATIVE AREAS

- Through restructuring, the INS will re-think what support is required for the field and how the agency should provide it
 - Not an acceptance of the status quo way of doing things...
 - ...but “out of the box” thinking about how support might be more efficiently and effectively provided
 - New technology should be considered as a means to streamline and automate the work
- Without critical infrastructure and administrative support, field operations staff can not effectively perform their duties
 - While the agency as a whole has received significant funding increases for more personnel, particularly in enforcement during the last five years...
 - ...it appears that funding for support activities has not kept pace
 - The INS will develop a new support provision model that is responsive to needs of the field, but provides support in a cost-effective manner
 - The impact of significant agency growth must also be understood in this new model—What impact does adding 100 border patrol agents have on support provision? In which functions?

THE SHARED SUPPORT* ORGANIZATION POOLS PROVISION "LIKE" ACTIVITIES TO REDUCE COSTS AND ENHANCE SERVICE

COMMERCIAL CLIENT EXAMPLES

- Consolidates activities to serve multiple users
- Establishes a "line" service organization with responsibility for cost control and service performance
- Sets and maintains a "contract" with business unit customers
 - Lines of business demand services as a buyer
 - Shared services manages supply as a seller
- Monitors performance regularly against the contract and external Best Practices
- Standardizes work policies and implements Best Practices
- Consolidates and employs common systems
- Operates with few management layers and large spans of control

RESULT:
Joint ownership and accountability by both the lines of business and shared service

- *Client Service Agreements*
- *Performance reviews*
- *Benchmarks*
- *Outside vendors*

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Note: In commercial organizations, this structure is referred to as "Shared Services". These terms can be used interchangeably

DETAILED ANALYSIS WILL BE PERFORMED IN PHASE II A TO DETERMINE HOW AND WHERE SHARED SUPPORT ACTIVITIES SHOULD BE PROVIDED AT THE INS

A NUMBER OF FORTUNE 500 COMPANIES USE SHARED SUPPORT FOR THE BENEFITS IT OFFERS—GOVERNMENT AGENCIES ARE ALSO EXPLORING THIS APPROACH

SHARED SUPPORT BENEFITS

Benefit	Sources
Cost Reduction	• Leverages economies of scale through sharing of services across business unit boundaries • Minimizes redundancies and duplication among services • Eliminates services not valued by businesses • Creates greater cost consciousness among services due to external competition • Results in a ~15-30% improvement in overall service costs*
Customer Orientation	• Allows businesses to dictate the level and quality of services they require • Causes service delivery to be monitored to ensure alignment with business needs
Enhanced Focus	• Enables business units to concentrate efforts on revenue generating/value creation activities • Strengthens capabilities within services through pooling and specialization

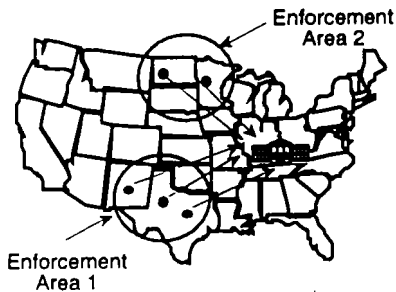
* Based on analysis of BAH experience, benchmark interviews, literature searches

THE SHARED SUPPORT CONCEPT AT INS WOULD IMPROVE SUPPORT LEVELS, INCREASE EFFICIENCY AND LEVERAGE EXISTING EFFORTS TO REALIZE SCALE BENEFITS

ILLUSTRATIVE

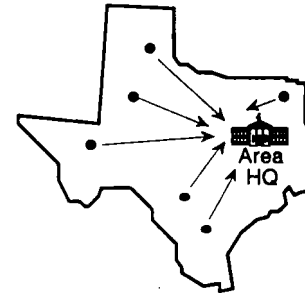
SHARED SERVICES CONCEPT (As Applied To INS)

Shared Across Geographies



- Activities that are "scalable"—cheaper to perform in large quantities
- Functions that do not require face-to-face contact to perform
- Examples might include:
 - Payroll processing
 - Accounts payable

Shared Within A Service Or Enforcement Area



- Activities that require specialized expertise and may require knowledge of local market conditions
- Examples:
 - Specialized HR functions (arbitration)
 - General counsel advice

Performed At A Local Level



Immigrant
Services Office

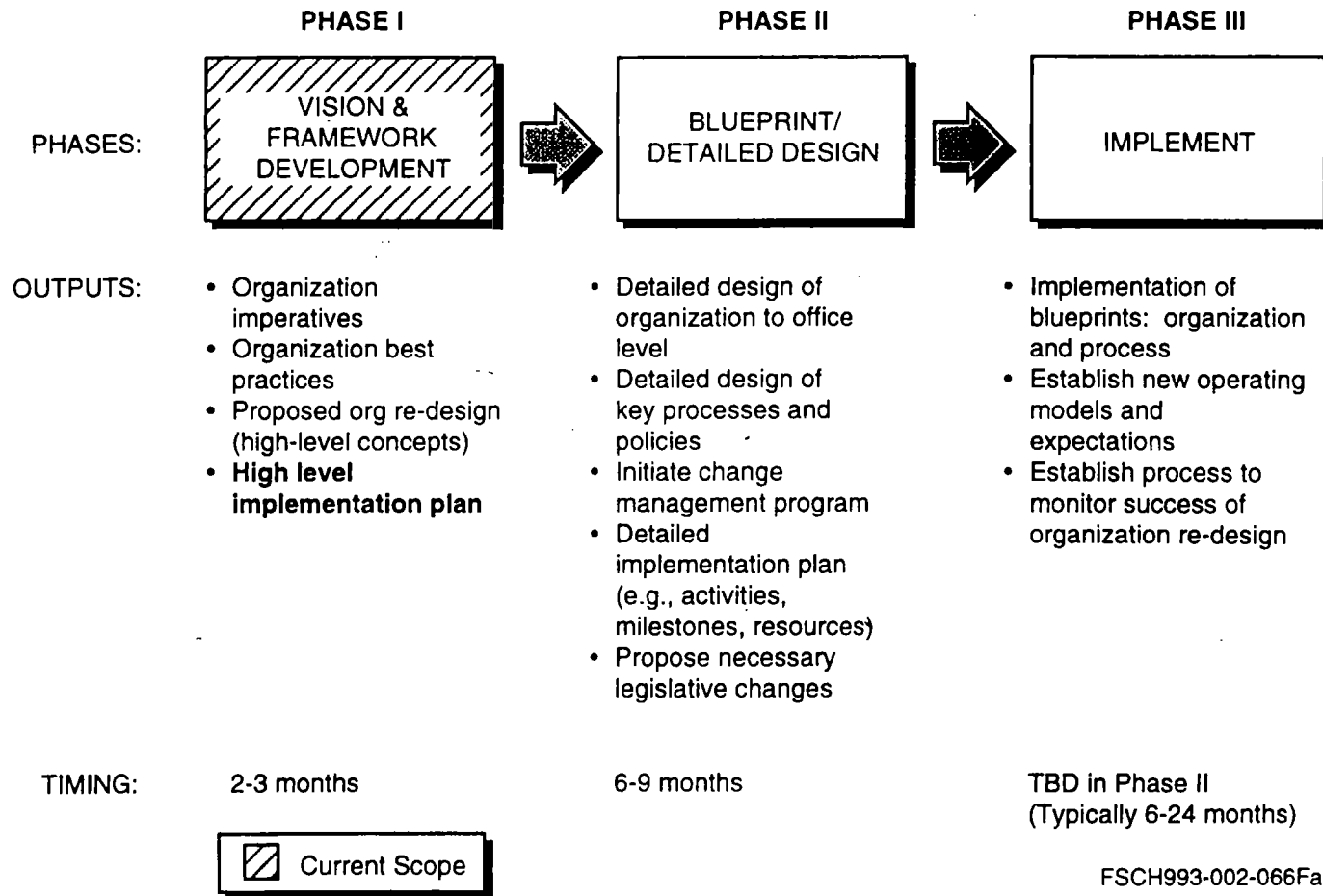
- Activities that require face-to-face contact
- Examples might include:
 - HR counseling
 - Basic procurement activities

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III. WORKPLAN SUMMARY

INS RESTRUCTURING IS A THREE-PHASED EFFORT TAKING PLACE OVER TWO TO THREE YEARS—THIS DOCUMENT FOCUSES ON THE IMPLEMENTATION PLAN FOR MOVING FORWARD

ORGANIZATION RE-DESIGN AND IMPLEMENTATION

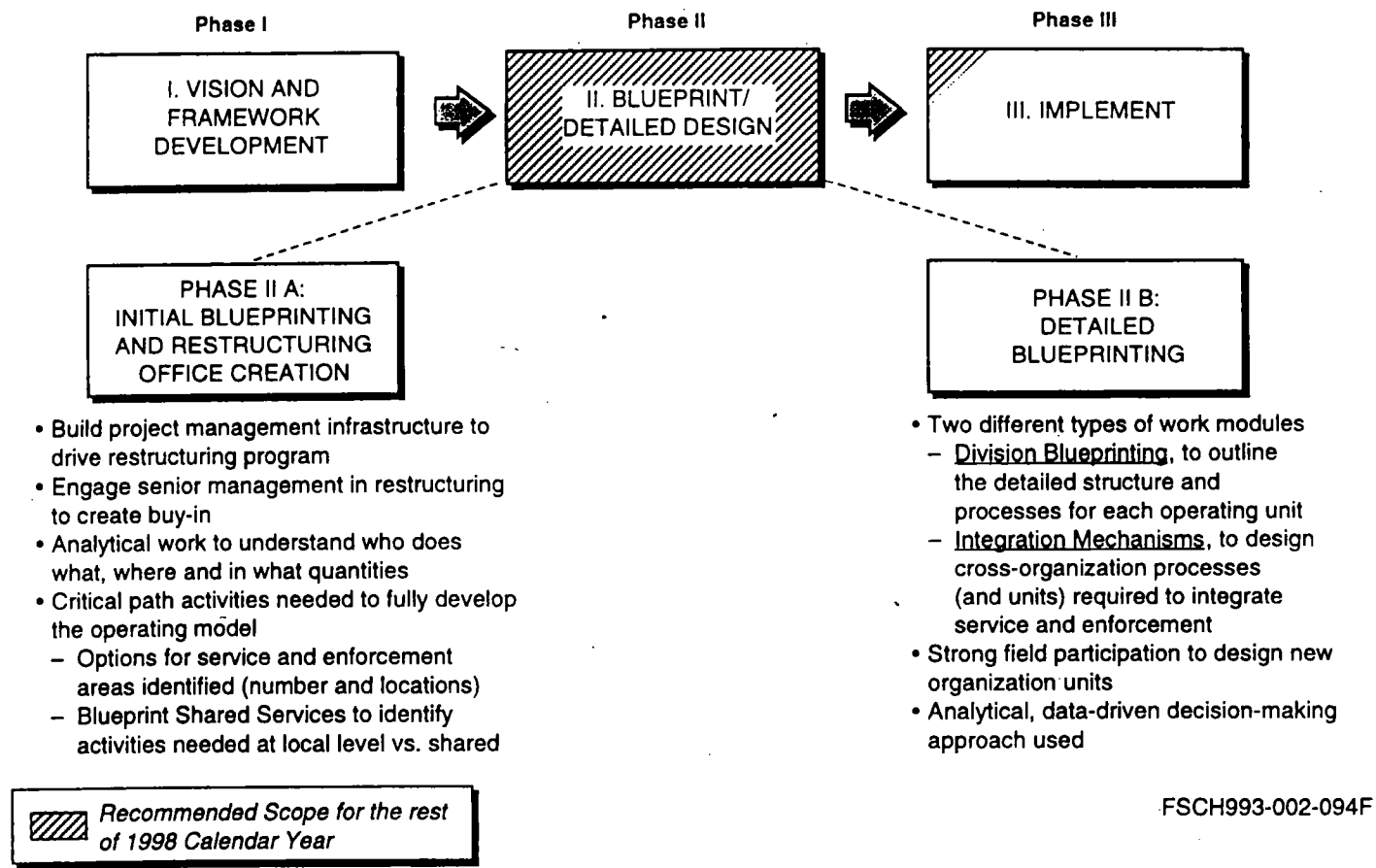


PHASE I FOCUSED ON THE “WHAT AND WHY” OF CHANGES NEEDED IN THE CURRENT ORGANIZATION—PHASE II WILL PROVIDE THE “HOW”

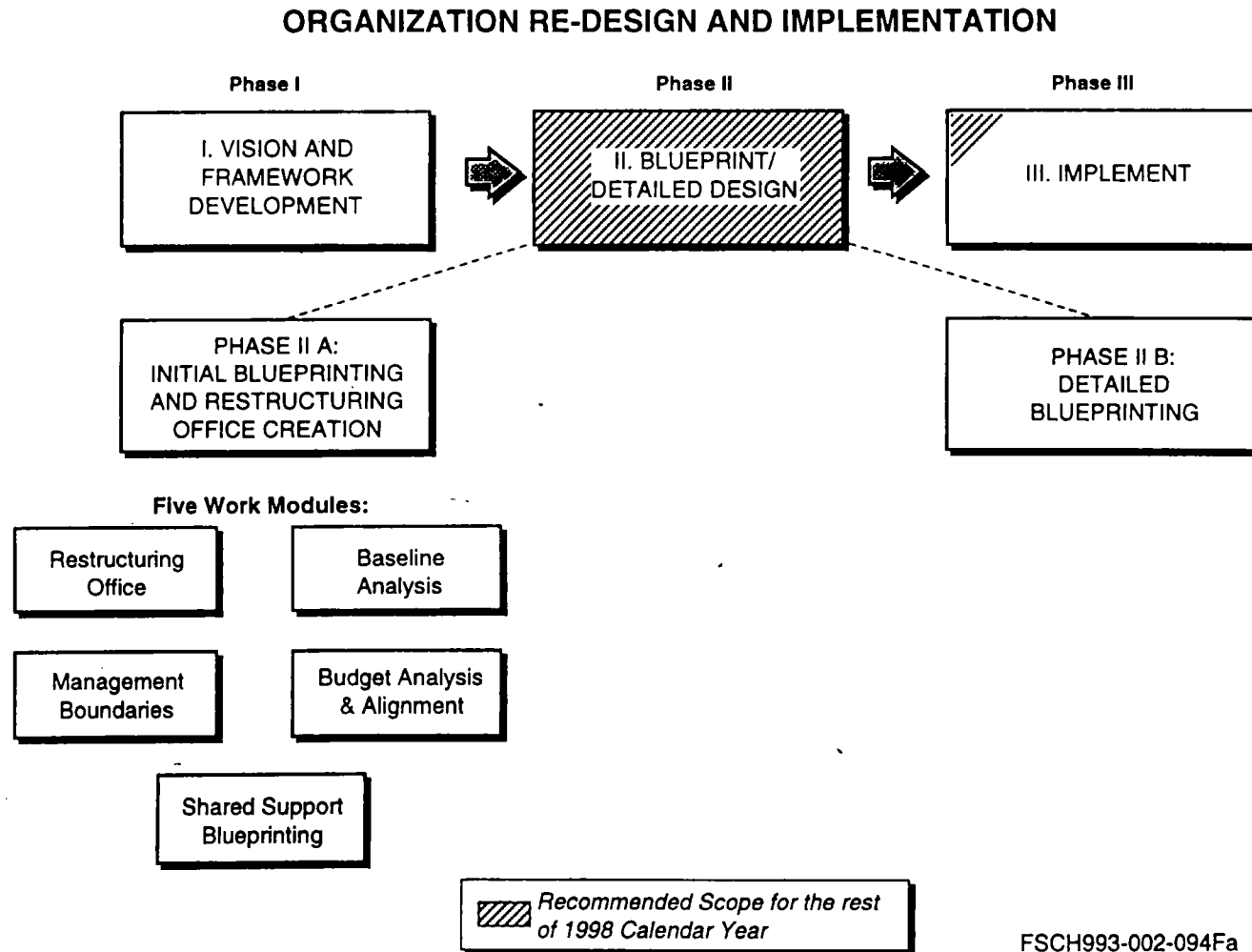
- Phase II work represents “blueprinting” or detailing how the new structure will actually operate
- Based upon past client experience, we estimate that blueprinting will take six to nine months to complete
 - This estimate could change based upon a number of factors
 - Factors influencing time to complete blueprinting include the number of resources dedicated to the task (internal and external) and the number of features that require Congressional or other approval
- Key milestones in Phase II include:
 - Creation of a Restructuring Office and appointment of a senior restructuring team
 - Completion of a detailed baseline analysis of current organization structure, activity placement, workload and performance by geography
 - Options for new management boundaries (i.e., number and location) identified for Immigrant Services and Enforcement Operations
 - Design completed for the recommended shared support blueprint including the Office of the CFO
 - Detailed operating plans created for Immigrant Services, Enforcement Operations and other units, including organization charts and re-designed processes
 - Development of processes and other ways in which the linkage between service and enforcement will be achieved in the new structure

WE SUGGEST A TWO-STEP APPROACH TO PHASE II—BASELINE ANALYSIS, RESTRUCTURING OFFICE CREATION AND SHARED SUPPORT BLUEPRINTING FIRST, FOLLOWED BY OTHER DESIGN LATER

ORGANIZATION RE-DESIGN AND IMPLEMENTATION



AS A FIRST STEP, PHASE II A, WE PROPOSE FIVE SEPARATE WORK MODULES



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THESE WORK MODULES PERFORM KEY ANALYSES AND ESTABLISH PROJECT INFRASTRUCTURE AND MANAGEMENT TO DRIVE THE TRANSFORMATION

WORK MODULES IN PHASE II A

WORK MODULE	OBJECTIVES	RATIONALE FOR WORK
Design and Establish the Restructuring Office	- Establish singular unit responsible and accountable for change program - Assemble knowledge of current Immigrant Services, Enforcement Operations, and Shared Support activities to be leveraged in design of new organization - Team members seen as leaders within INS, touching all geographic units	- Single, visible point of contact at INS accountable for communication, design, scheduling and driving change - INS needs to send a message to its organization that restructuring is real as reflected by personnel assigned and points of contact established - Selection of team members and establishment of scope and responsibilities is vital to transformation success
Conduct Baseline Analysis	- Identifies who does what, where and in what quantities—critical for tracking progress, prioritizing work and targeting resources for potential redeployment - Defines targets for future operations consistent with GPRA considering commercial achievements - Highlights areas with greatest improvement needs and expected benefits	- This information is critical to understand the size of the gap between current operations and future targets - Baselining will provide the fundamental information about the amount of change needed and the associated cost. It will also facilitate prioritization and scheduling based on highest-impact opportunities - Baselining will help identify where integration is required between Immigrant Services and Enforcement Operations
Develop Options for New Management Boundaries	- Develop options for new Service and Enforcement Area boundaries evaluating work, cost, legal and political considerations - Optimize spans of control given geographic and other constraints	A prerequisite to other restructuring (blueprinting) initiatives—outline options for new Enforcement Operations and Immigrant Services Areas (number and boundaries)

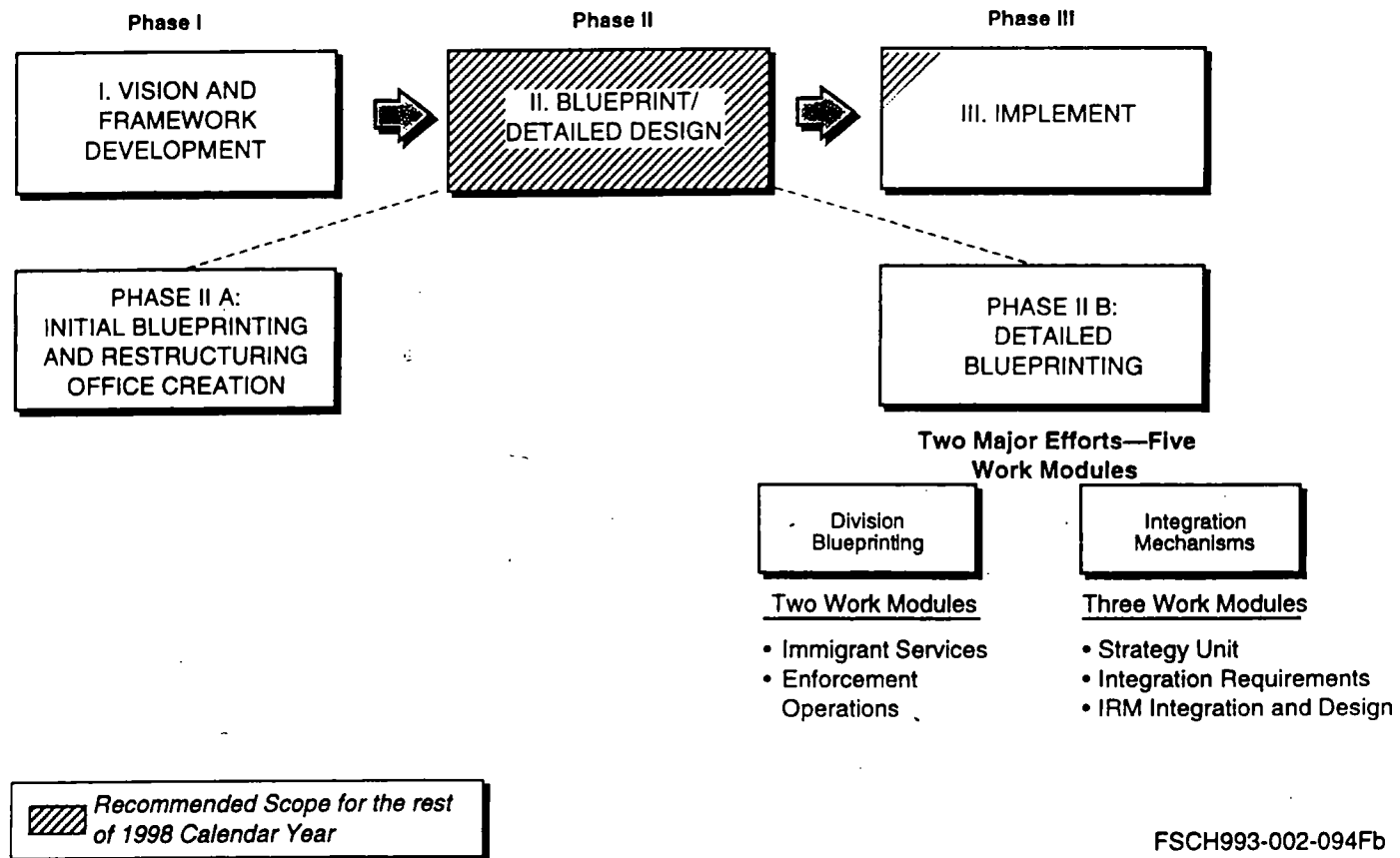
WE PROPOSE FIVE WORK MODULES IN PHASE II A... (CONTINUED)

WORK MODULES IN PHASE II A (cont.)

WORK MODULE	OBJECTIVES	RATIONALE FOR WORK
Refine Budget Account Structure to Support New Organization	- Facilitate INS' ability to demonstrate to Congress that expenditures are in line with Congressional directions - Identify issues with fee structure for Immigrant Services and authorizations for Enforcement Operations work	- Long lead times for submission of FY 2001 budget—validate that proposal submitted to Congress best meets INS' needs - Provide a system to track cost of work and planned activities that are tied to the budget
Shared Support Blueprinting & CFO Office	- Recommend what work be done within Immigrant Services and Enforcement-Operations structures, shared between them for economies of scale (e.g., Accounts Receivable), and at Headquarters - Define the roles and responsibilities of the CFO consistent with best practices, both governmental and commercial	- Least understood part of the redesign—performing this blueprinting first, provides clarity in other field operations design because the support model will have been designed before other blueprinting begins - Creation of the CFO office a natural component of this work as budget and financial management activities are included in Shared Support

PHASE II B, DETAILED BLUEPRINTING, FOCUSES ON TWO MAJOR EFFORTS—PLANNING KEY OPERATING DIVISIONS AND DESIGNING INTEGRATION MECHANISMS

ORGANIZATION RE-DESIGN AND IMPLEMENTATION



WORK ON THESE FIVE MODULES WOULD BEGIN AFTER THE SHARED SUPPORT BLUEPRINT AND KEY ANALYSES ARE COMPLETED IN PHASE II A

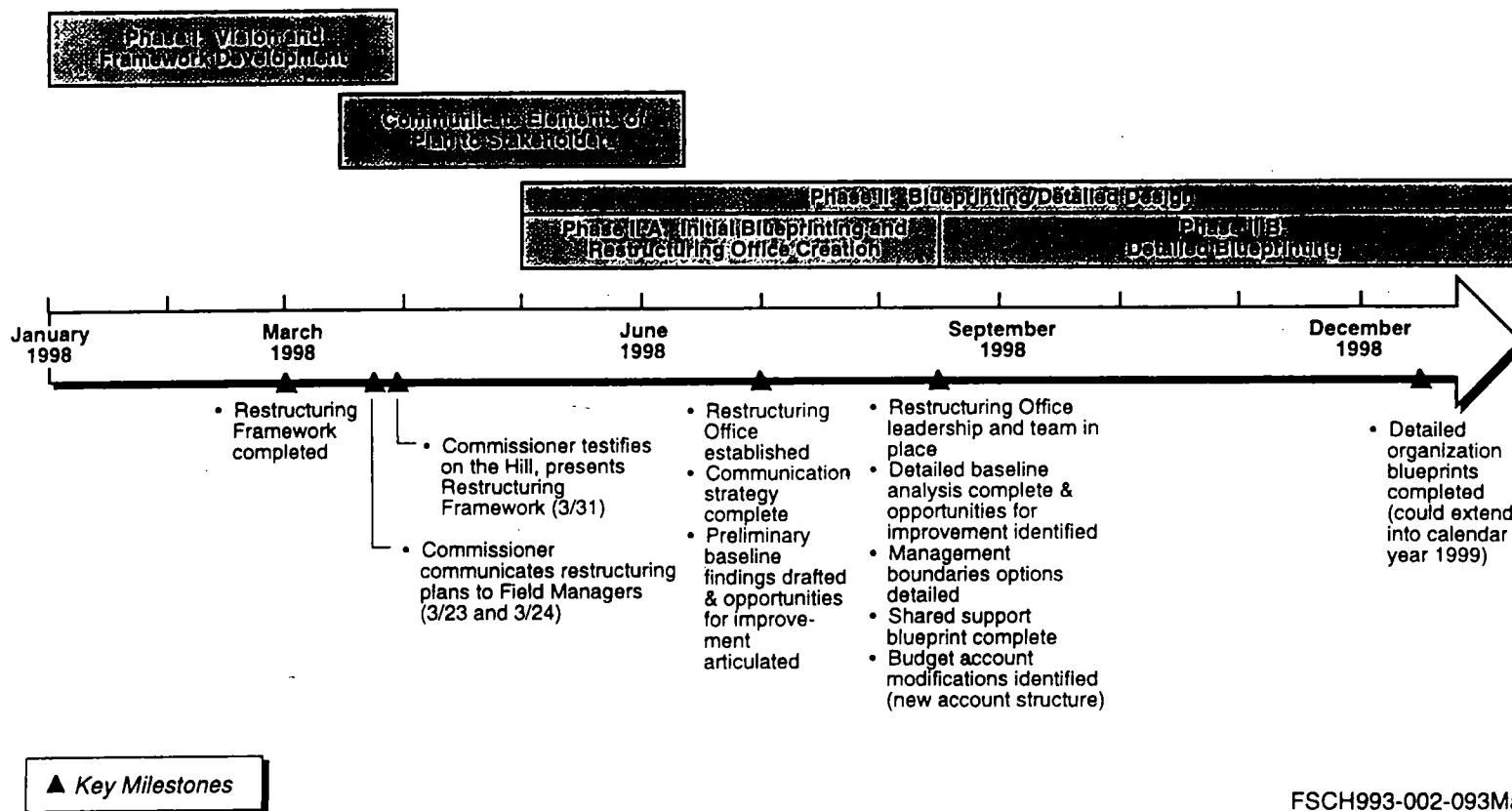
THESE WORK MODULES PERFORM THE DETAILED DESIGN OF THE REMAINING ORGANIZATION UNITS AND PROCESSES THAT TIE THE INS TOGETHER

WORK MODULES IN PHASE II B

WORK MODULE	OBJECTIVES	RATIONALE FOR WORK
Division Blueprinting Modules – Immigrant Services – Enforcement Operations	• Develop the detailed structure, activities and processes for each operating division • Immigrant Services and Enforcement Operations units to be modeled after best-in-class service and enforcement operations • Ensure that KSAs are aligned with the new structure	• Cannot blueprint Immigrant Services structure independent of Enforcement Operations due to linkages and shifting of responsibilities from current to future structure • While blueprinting (design) must be performed together, service and enforcement implementation priorities and staging may be different (i.e., Immigrant Services designs may be implemented first) • Blueprints will provide the definition of how things will work and will answer many employee questions and concerns
Integration Mechanism Modules – Strategy (R&D) – Integration Requirements – IRM Integration and Changes	• Design processes to allow resolution of conflicts between service and enforcement at the lowest feasible level in the new organization • Aggregate IRM changes from redesign and prioritize in light of existing efforts • Clearly define where strategy stops and operations begins, e.g., R&D facilitated by Strategy Unit, but carried out largely by operational units	• Design of cross-organization processes and organization units required to integrate service and enforcement operations prior to separation

THIS PROJECT SCHEDULE MAINTAINS MOMENTUM OF CHANGE WITH MILESTONES THAT CAN BE REACHED BY THE END OF THIS CALENDAR YEAR

INS RESTRUCTURING TIMELINE
Calendar Year 1998



FSCH993-002-093Ma

THIS TIMING IS BASED ON THE ASSUMPTION THAT PHASE II BEGINS BY MID-MAY 1998

THE OVERALL RESTRUCTURING TIMELINE FACILITATES A PHASED APPROACH TO BLUEPRINTING AND A PILOT APPROACH TO IMPLEMENTATION

RESTRUCTURING TIMELINE*
(Calendar Year 1998-1999)

WORK MODULE	Q2 '98	Q3 '98	Q4 '98	Q1 '99	Q2 '99
PHASE II A					
Restructuring Office (1.0)					
Baseline Analysis (2.0)					
Management Boundaries (3.0)					
Budget Analysis And Alignment (4.0)					
Shared Support Blueprinting (5.0)					
PHASE II B					
Immigrant Services (6.0)					
Enforcement Operations (7.0)					
Strategy (8.0)					
Integration Requirements (9.0)					
IRM (10.0)					

*Depending upon
project pace,
Phase II B work
could extend into
Q1 '99*



Phase II A

Phase II B

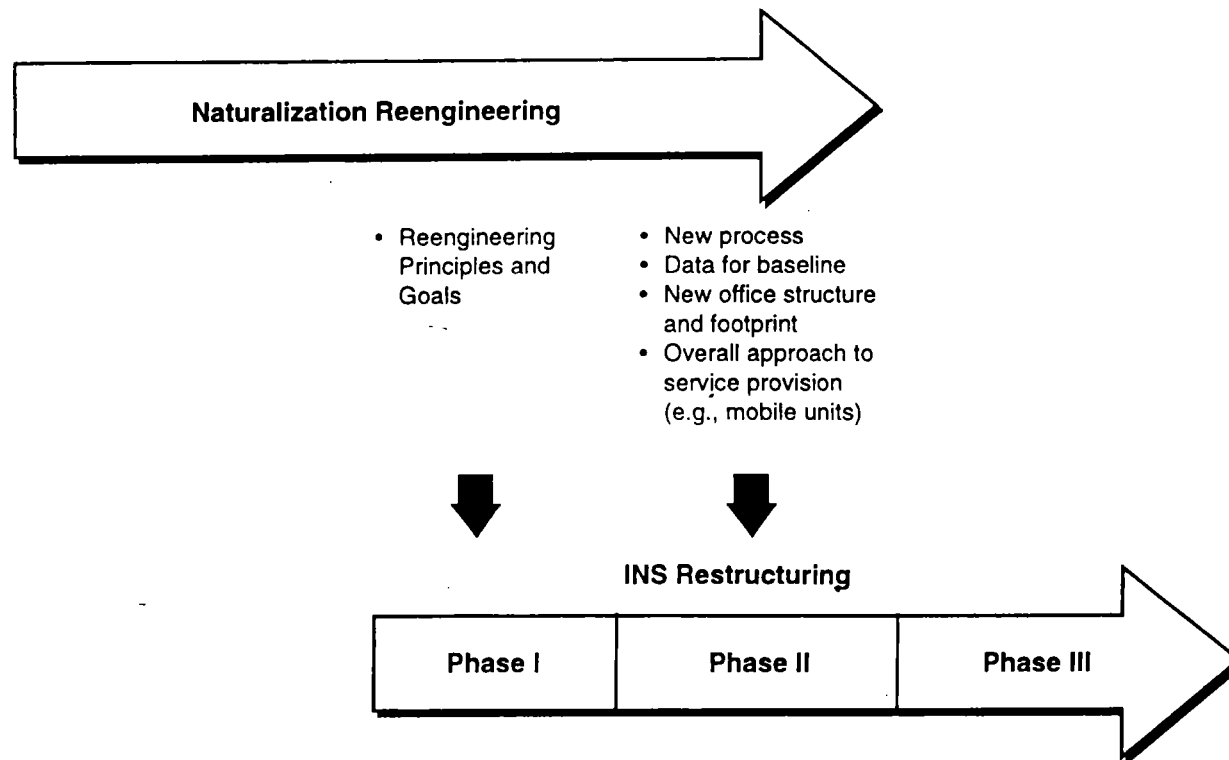
Phase III

* Workplan assumes that Phase II A begins in May 1998. If work begins at a later date, timeline dates need to be pushed forward accordingly. Dates represented (e.g. Q2 '98) are for the calendar year

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AS THE RESTRUCTURING MOVES FORWARD, THE INS SHOULD CONTINUE TO LEVERAGE WORK BEING DONE WITH NATURALIZATION REENGINEERING AND OTHER KEY INITIATIVES (e.g., RECORDS CONSOLIDATION)

**RELATIONSHIP BETWEEN NATURALIZATION REENGINEERING
AND RESTRUCTURING**



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**A CHALLENGE WILL BE TO IMPLEMENT NATURALIZATION IMPROVEMENTS WHILE
MAINTAINING SERVICE LEVELS IN OTHER AREAS**

- INS will continue to focus on successfully implementing the new naturalization process and demonstrating progress...
- ... but at the same time, strive to deliver appropriate service levels for other applicants for benefits
- The agency should be vigilant in leveraging prior reengineering work (i.e., ONO) as it begins to redesign other application processes

THE PHASED APPROACH TO BLUEPRINTING HAS A NUMBER OF BENEFITS

BENEFITS TO PHASED BLUEPRINTING

- The phased approach allows INS to move forward with restructuring while also focusing on real-time issues and productivity
- Performing a detailed baseline up-front avoids duplication of effort later in the process, minimizes the potential for “wrong turns”, and provides insight into the current cost structure—the agency can make informed decisions about where resources might be redeployed for greater impact
- Baselineing also permits the agency to prioritize blueprinting resources and focus on efforts that will yield the greatest benefits—these opportunities will be identified in Phase II A
- Other key first steps will be completed in a logical sequence (i.e., developing options for management boundaries and designing shared support model) before detailing Immigrant Services and Enforcement Operations
- Naming the restructuring team early provides a degree of stability in a changing organization—staff know who the change leaders in the organization are as they are identified early on in the process

ANY SIGNIFICANT RESTRUCTURING EFFORT, HOWEVER, PRESENTS CHALLENGES FOR AN ORGANIZATION REGARDLESS OF HOW WELL THE PROJECT IS STRUCTURED AND MANAGED

INS CHALLENGES WITH RESTRUCTURING

- The agency will face significant HR issues—training and transition concerns
 - Significant additional training is likely to be required
 - .. Specific training required on how to manage during restructuring (e.g., how to communicate with staff)—this should be provided up-front in Phase II
 - .. Job-related training required with new roles and responsibilities (e.g., Immigrant Services Area Directors should receive advanced customer service operations training including analytical techniques)
 - Transition of people into new roles is always difficult
 - .. Fear of the unknown—what will happen to me?
 - .. How to identify the best roles for valued employees given their knowledge, skills, abilities and personal interests
 - .. Timing of transition—what happens when

CHALLENGES TO IMPLEMENTATION (CONTINUED)

INS CHALLENGES WITH RESTRUCTURING

- The INS needs to keep project momentum and active participation from the field while ensuring daily work activities are completed—effective communication is key
 - Keep the field “in the loop” as much as possible without creating an process for their involvement that is unmanageable—hard to blueprint with 150 field managers involved on a daily basis
 - Be patient, but actively push forward—restructuring is not an issue of months but years
- Obtaining funding and legislative changes needed for complete implementation may be time-consuming and difficult
- Implementing a cultural transformation beyond structure and process requires a good deal of active senior management attention—need to demonstrate that change is happening and reinforce positive behaviors

THE BIGGEST CHALLENGE FOR THE INS IS TO DEMONSTRATE MOMENTUM AND QUICKLY SHOW PROGRESS IN SEVERAL KEY AREAS

- Backlog reduction, particularly in naturalization, is perceived as being the number one priority for the INS
- Naturalization reengineering and other key initiatives (e.g., records consolidation) need to be rolled into a comprehensive workplan to get the benefits of all these efforts
- Several HR issues need to be addressed early on to establish the amount of flexibility available to INS in dealing with transition issues:
 - 6(c) coverage for Inspectors—retirement and overtime pay issues resolved
 - Number of SES positions available to INS
 - Early-out packages
 - Grandfathering decisions for key positions
- Preliminary restructuring cost estimates need to be developed to address questions of cost
- Through all of this, communication is an imperative—INS employees and external stakeholders will either dismiss or undermine change without a steady flow of information

ALL THESE NEED TO BE ADDRESSED IN PARALLEL WITH PHASE II

THE SECTIONS THAT FOLLOW DESCRIBE THE PHASE II A AND PHASE II B WORK MODULES IN GREATER DETAIL

- Outlining key questions and objectives for each of the ten work modules in Phase II A and Phase II B
- Providing a suggested team structure and preliminary estimate of resources required
- Presenting examples of potential work output to demonstrate what will be produced in each work module. For example:
 - Organization chart options driven down to the field office level
 - Detailed cost analyses by unit and process
 - New process flow diagrams based on the new organization structure
- Detailing worksteps and output expected—these detailed workplans are contained in Appendix B for all ten modules

IV. PHASE II A MODULES

- Restructuring Office (1.0)**
- Baseline Analysis (2.0)**
- Management Boundaries (3.0)**
- Budget Analysis & Alignment (4.0)**
- Shared Support Blueprinting (5.0)**

THE RESTRUCTURING OFFICE IS CRITICAL TO EFFECTIVELY OVERSEE AND MANAGE THE ENTIRE TRANSFORMATION EFFORT

WORK MODULE 1.0: DESIGN AND ESTABLISH THE RESTRUCTURING OFFICE

KEY QUESTIONS

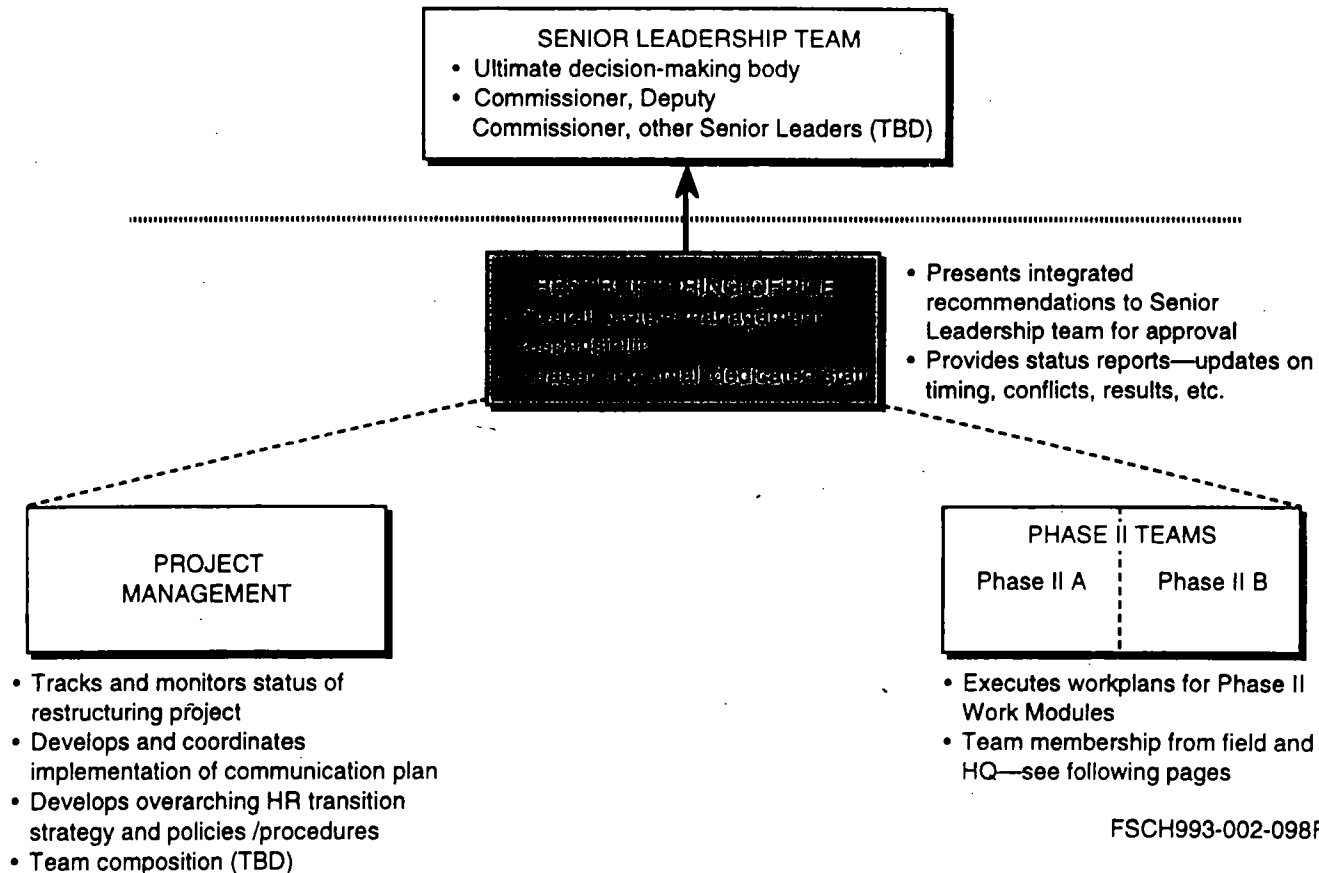
- How should the overall restructuring process be managed?
- Who should lead the project management office? What additional resources will be required?
- What is the best way to effect a cultural transformation? What change management processes need to be established? What type of change management training is needed and for which personnel?
- How should the INS manage communications to internal and external stakeholders (message, media, frequency)?
- How will the INS handle HR transition issues in a consistent, proactive fashion?
- What will be the role of the INS senior management team?

MODULE OBJECTIVES

- Establish office to lead the restructuring effort
 - Clear source of direction for INS staff
 - Singularly accountable for managing the effort—worksteps completed on-time, conflicts identified and resolved, etc.
- Create teams up-front to manage communication and HR transition issues—these will be important for the duration of the restructuring process
- Identify the restructuring team who will lead the effort

THE RESTRUCTURING OFFICE HAS TWO PRIMARY RESPONSIBILITIES—OVERALL PROJECT MANAGEMENT AND OVERSIGHT OF PHASE II BLUEPRINTING TEAMS

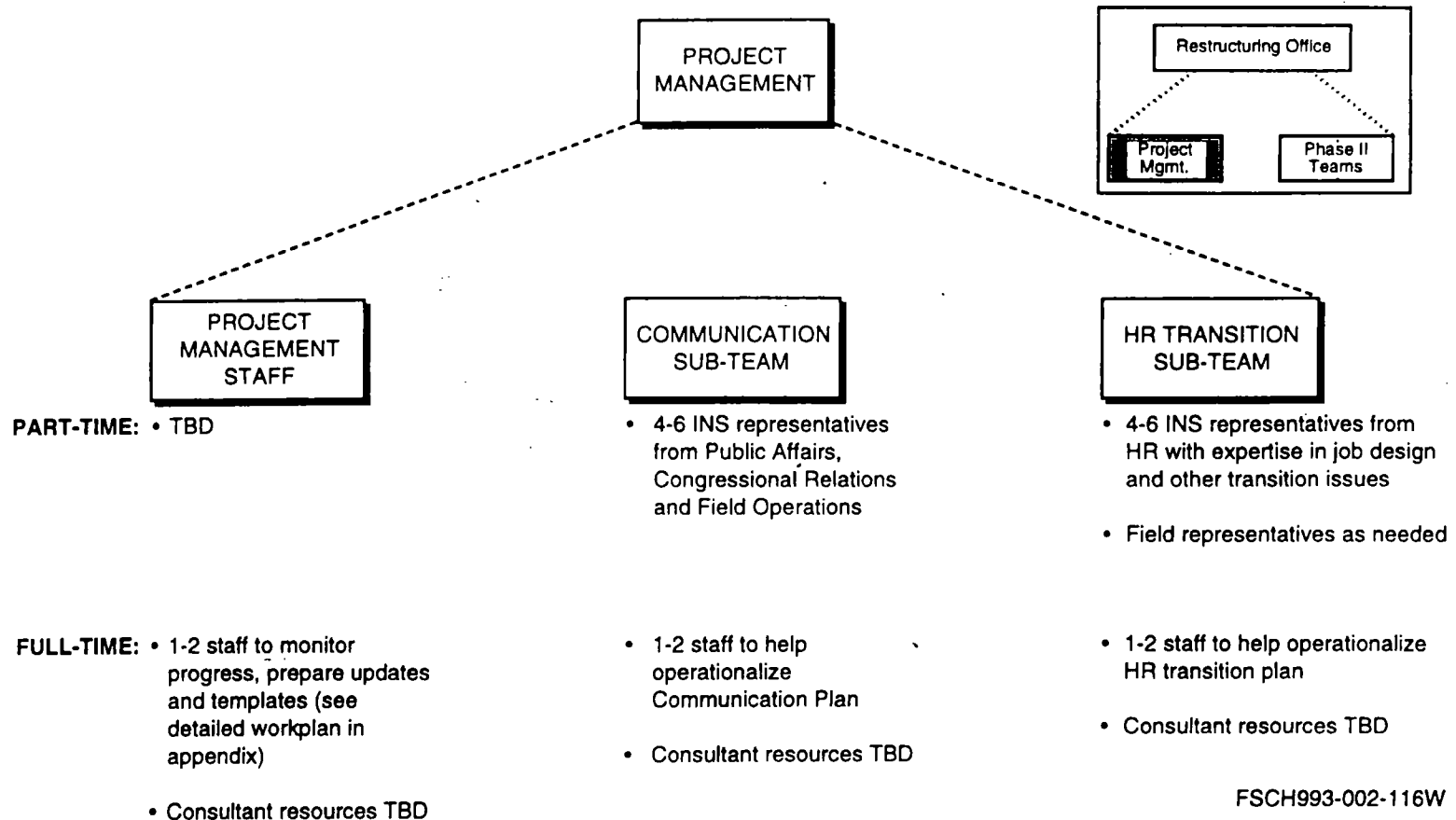
RESTRUCTURING OFFICE DESIGN



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THE PROJECT MANAGEMENT COMPONENT HAS A SMALL NUMBER OF FULL-TIME STAFF AND TWO SUB-TEAMS TO DEAL WITH COMMUNICATIONS AND HUMAN RESOURCE ISSUES

PROJECT MANAGEMENT STRUCTURE



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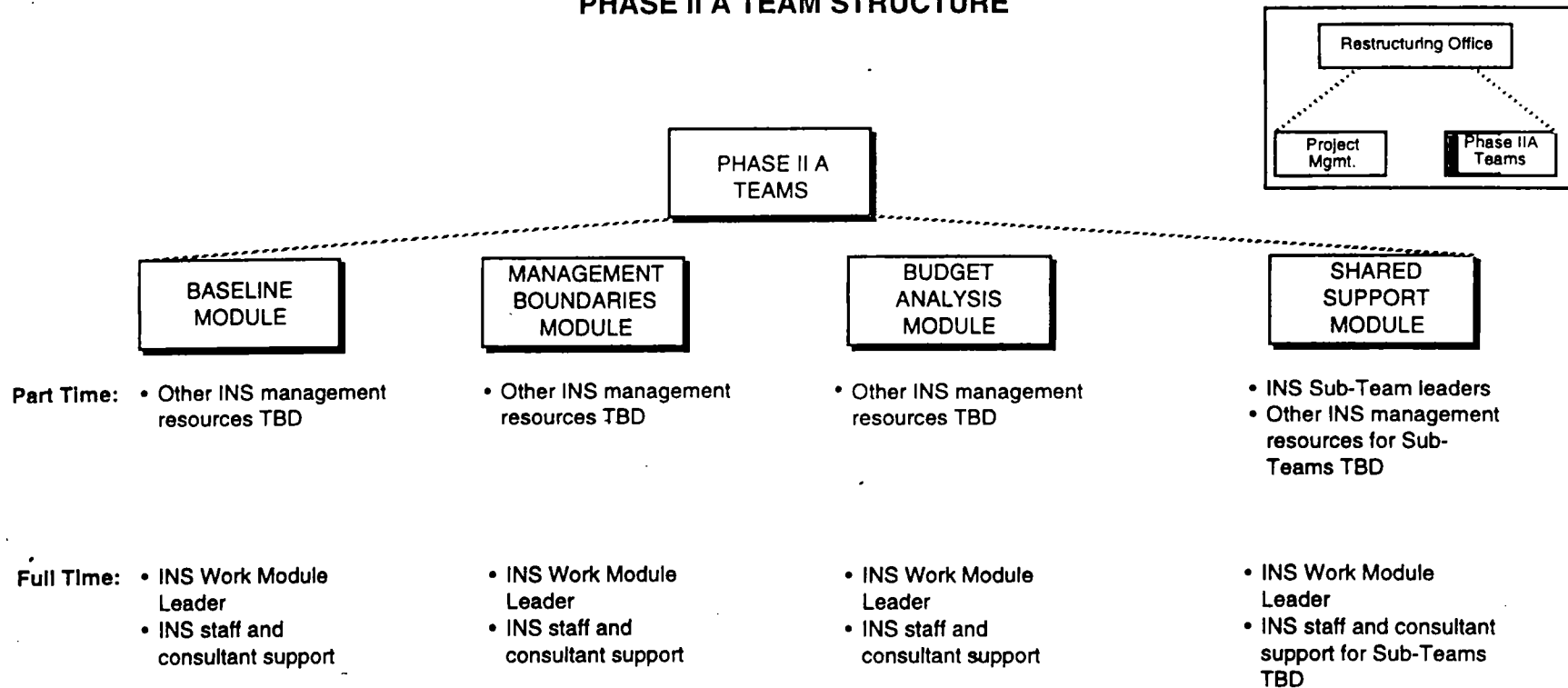
THESE SUB-TEAMS WORK ON INITIATIVES THAT IMPACT THE ENTIRE EFFORT AND ARE CRITICAL TO THE SUCCESS OF RESTRUCTURING

- Identify training needs
 - Conflict Resolution
 - Change Management
 - Team Leadership Skills
- Develop agency's HR strategy and recommend new policies/procedures required with restructuring
 - Relocation and Compensation
 - Incentives for Participation in the Restructuring Project
 - Culture Survey
 - Occupational Survey
 - New Position Descriptions
- Actively and aggressively manage the communication effort with the field and external stakeholders

THESE SUB-TEAMS SHOULD BE LAUNCHED AS SOON AS POSSIBLE—EVEN IF OTHER RESTRUCTURING EFFORTS ARE DELAYED

THE RESTRUCTURING OFFICE ALSO OVERSEES THE WORK OF FOUR BLUEPRINTING TEAMS IN PHASE II A...

PHASE II A TEAM STRUCTURE

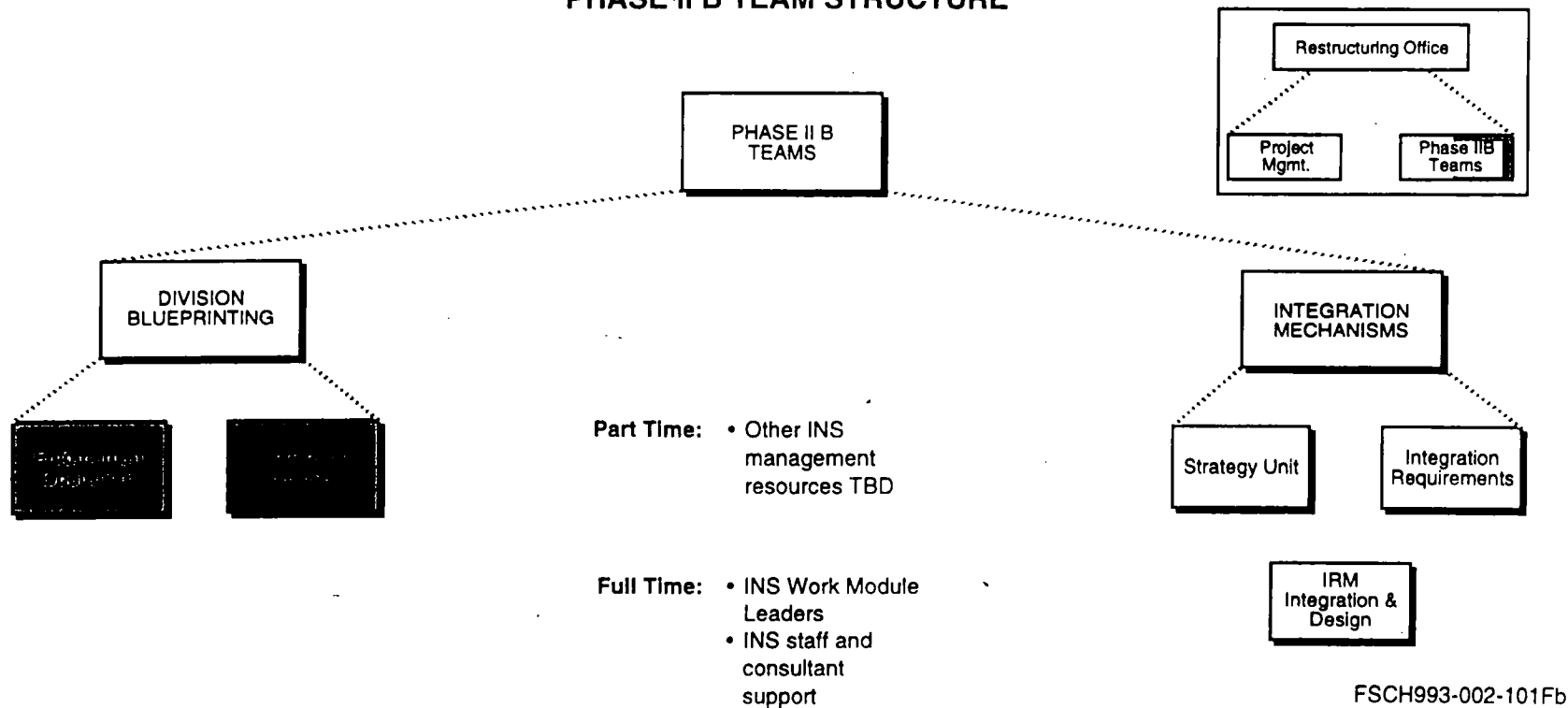


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Phase II A ... Restructuring Office ...

...AND FIVE BLUEPRINTING TEAMS IN PHASE II B— DESIGNING IMMIGRANT SERVICES AND ENFORCEMENT OPERATIONS IS THE PRIMARY FOCUS, BUT OTHER WORK IS REQUIRED TO DETAIL INTEGRATION MECHANISMS

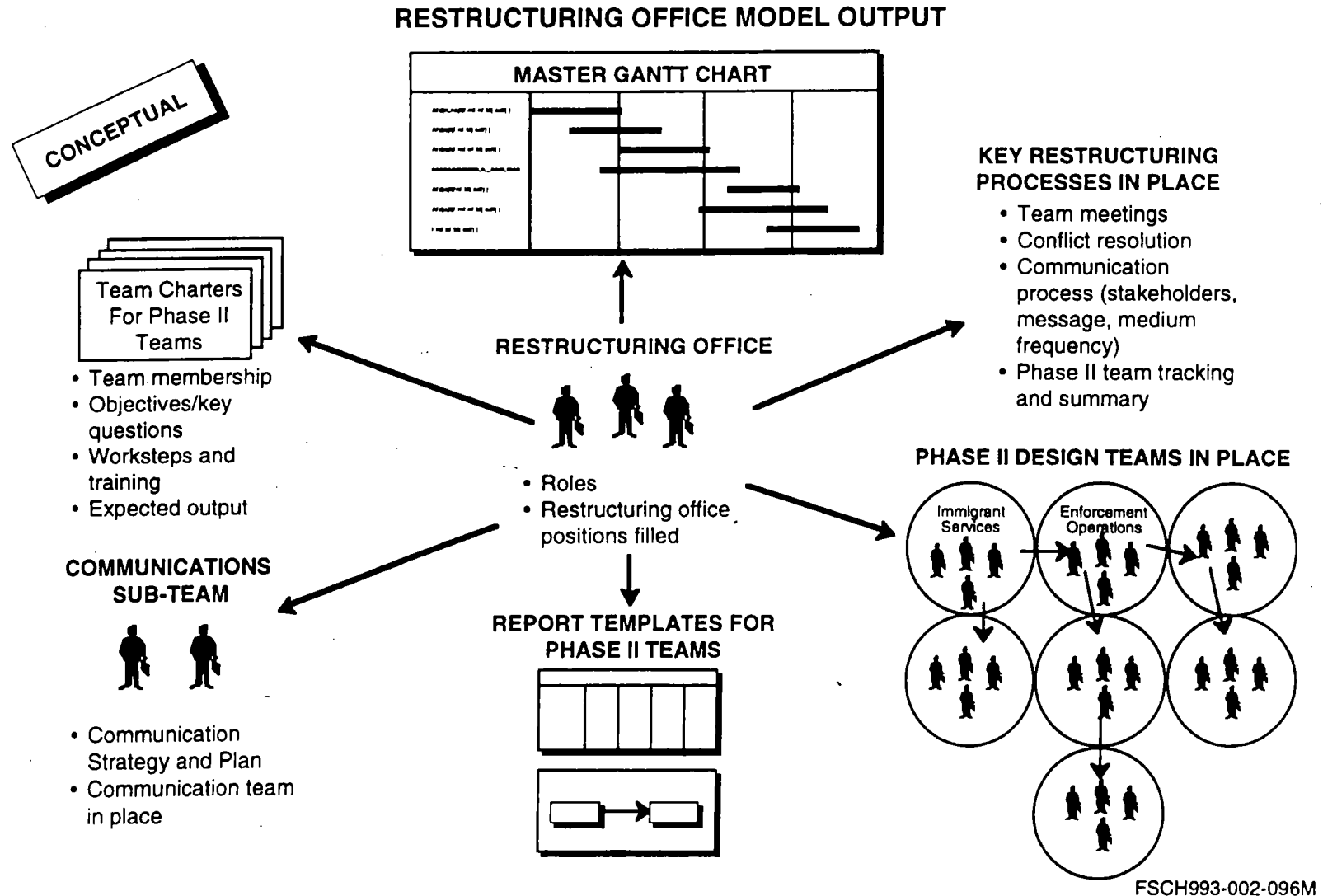
PHASE II B TEAM STRUCTURE



THE PHASE II WORK MODULES PRESENT A NUMBER OF OPPORTUNITIES TO ENGAGE INS LEADERS BY GIVING THEM ROLES ON RESTRUCTURING TEAMS

- There are fundamentally three different levels of leadership in the restructuring work
 - Senior Leadership Team—final decision making body (Commissioner, Deputy and other Senior Leaders)
 - Work Module Leaders—ensure completion of an entire work module, e.g., Enforcement Operations blueprinting
 - Sub-Team Leaders—responsible for a component of a work module, e.g., HQ design within the Enforcement Operations module
- Filling these key leadership roles should be a top priority of the Commissioner and the Deputy Commissioner early in Phase II A

THE OUTPUT OF THIS MODULE IS AN OPERATIONAL RESTRUCTURING OFFICE



BASELINE ANALYSIS OF CURRENT RESOURCES AND PERFORMANCE LEVELS WILL ENABLE INS TO MAKE DATA-DRIVEN DECISIONS ABOUT PRIORITIES AND MONITOR IMPROVEMENTS

WORK MODULE 2.0: CONDUCT BASELINE ANALYSIS

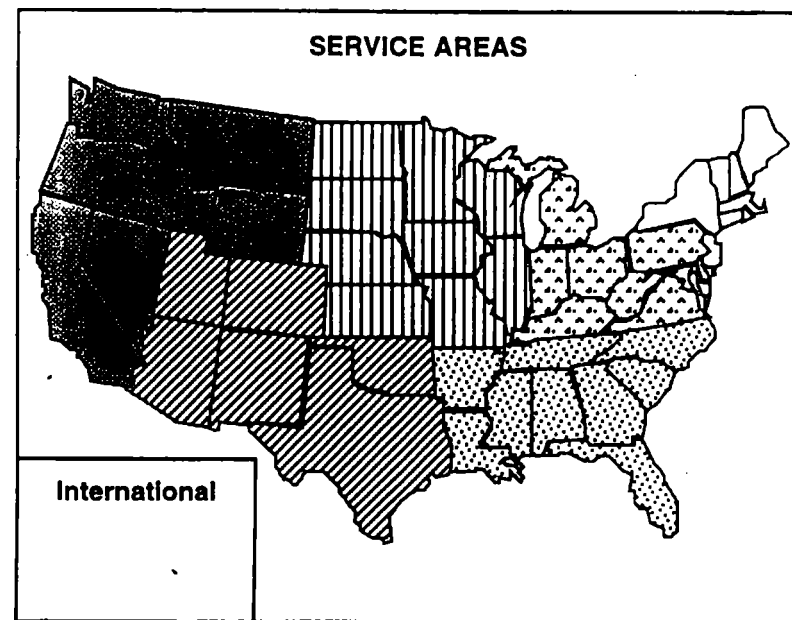
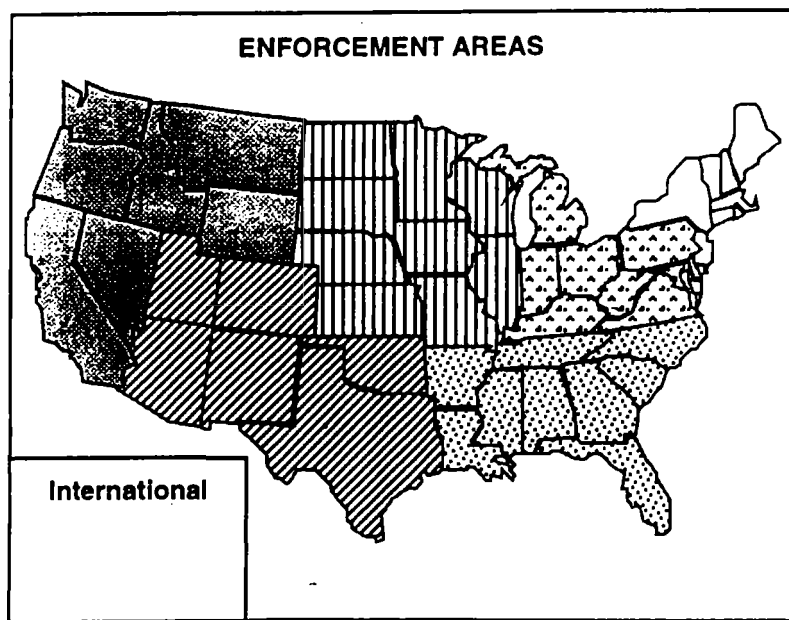
KEY QUESTIONS
• What processes need to be re-designed? • How can re-design work be prioritized to maximize impact and minimize the time it takes to implement changes? • How much change needs to occur between how INS functions today and how it will function in the future?

MODULE OBJECTIVES
• Determine who does what, where and in what quantities—critical for tracking progress, prioritizing Phase II work and targeting resources for potential redeployment • Standardize data to be used by other Phase II teams (e.g., Immigrant Services, Enforcement Operations) • Build the foundation for a blueprinting process that is data-driven, rather than based on current perceptions or assumptions, and de-personalizes potentially difficult decisions

THE OUTPUT OF THIS MODULE IS OPTIONS AND TRANSITION PLANS FOR NEW SERVICE AND ENFORCEMENT AREAS DOWN TO THE SUB-AREA LEVEL

CONCEPTUAL

MANAGEMENT BOUNDARIES MODULE OUTPUT



Note: There may be advantages to creating similar boundaries between service and enforcement (as shown here). This decision is a key part of this work module

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DIVISION BLUEPRINTING TEAMS IN PHASE II B WILL DESIGN LOCAL OFFICE FOOTPRINTS

AS THE AGENCY HAS RECENTLY SUBMITTED PLANS TO SIMPLIFY ITS BUDGET ACCOUNT STRUCTURE, LITTLE WORK SHOULD BE REQUIRED TO VALIDATE THAT THIS APPROACH SUPPORTS THE NEW ORGANIZATION

WORK MODULE 4.0: REFINE BUDGET ACCOUNT STRUCTURE TO SUPPORT NEW ORGANIZATION

KEY QUESTIONS

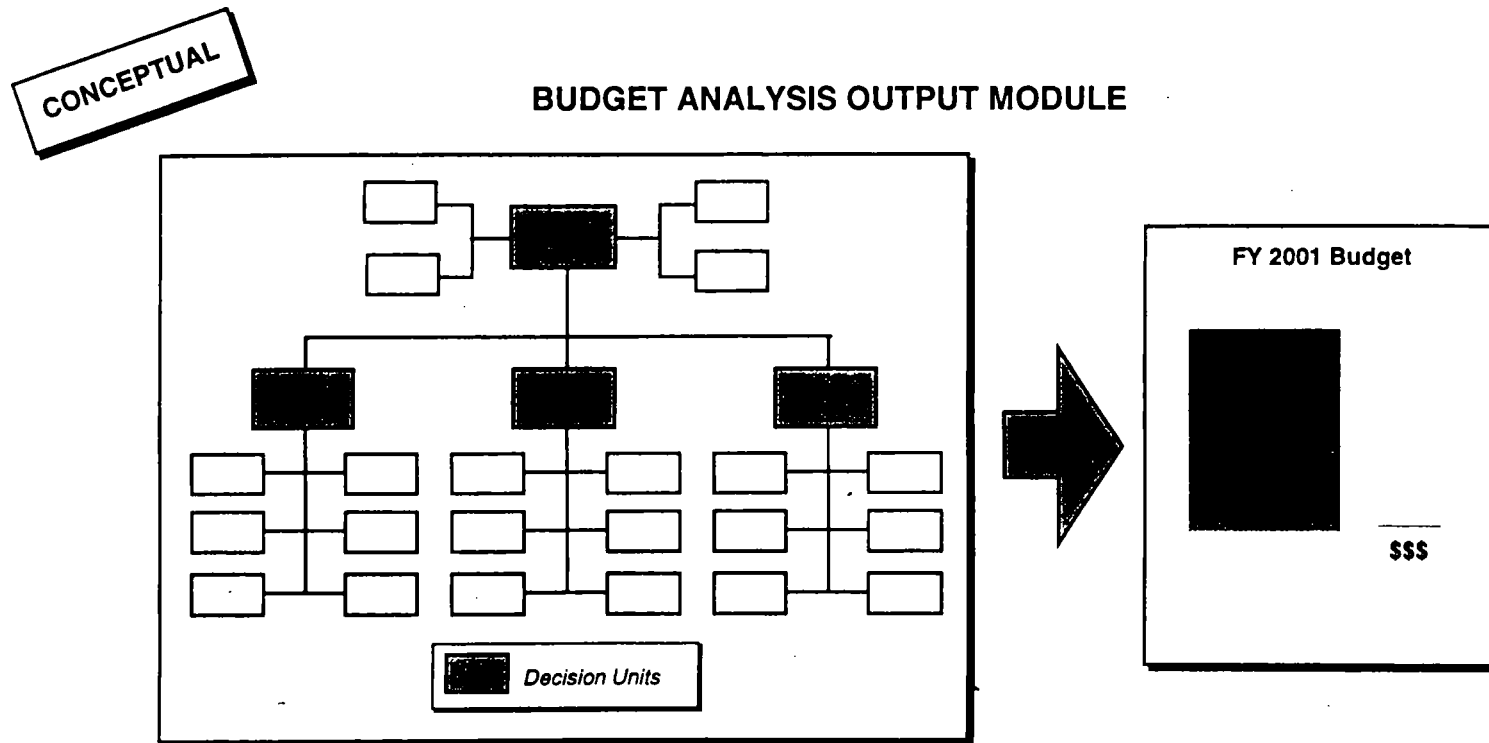
- Does the revised budget account structure enable the clear tracking of funds between service and enforcement?
- What is the proper number of decision units in the new organization structure and where should those reside?
- How will the new budget structure maximize the effective distribution and tracking of funds to the field?

MODULE OBJECTIVES

- Validate that the budget structure sent to Congress best fits the objectives of the new organization
- Refine the proposal as necessary to fit both the structural and non-structural objectives of the restructuring effort

Phase II A ... Refine Budget Structure ...

**THE END PRODUCT IS VALIDATION THAT THE NEW SET OF DECISION UNITS AND ACCOUNTS
WORK FOR THE NEW ORGANIZATION AND CREATION OF THE FY 2001 BUDGET**



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SHARED SUPPORT DESIGN DETERMINES THE AMOUNT OF SUPPORT REQUIRED AT THE LOCAL LEVEL, ACTIVITIES THAT CAN BE SHARED ACROSS UNITS AND WHAT NEEDS TO BE PROVIDED AT HEADQUARTERS

WORK MODULE 5.0: SHARED SUPPORT BLUEPRINTING AND CFO OFFICE

KEY QUESTIONS

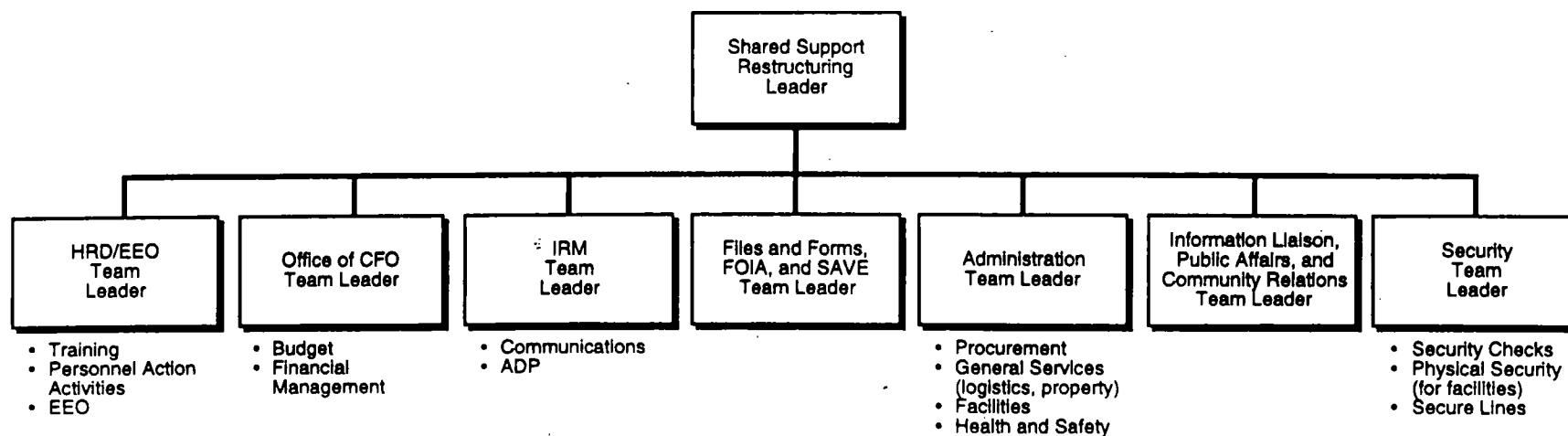
- Which shared support activities are best performed locally—within the Immigrant Services or Enforcement Operations structure?
- Which shared support activities are best shared between units or performed at Headquarters?
- How can support be most effectively and efficiently provided? Is new technology required? Should processes be reengineered?
- How should the amount of resources required for each local area be determined? (i.e., modular approach)
- Which activities should be shared between service and enforcement areas?
- How should performance levels be negotiated, measured and enforced for support that is provided on a shared basis or at headquarters?

MODULE OBJECTIVES

- Determine which support activities should be performed at the local level, which should be shared across INS, and which should be centrally managed and provided
- Design support processes for the new organization that align authority and responsibility and improve service levels
- Develop a staffing model for support provision—e.g., what kind and how much additional support is required for each new Border Patrol agent hired?
- Build templates and processes for setting up and agreeing to service levels between providers and users of shared/centralized support

BLUEPRINTING SHARED SUPPORT FOLLOWS A MODULAR APPROACH—SEVEN SUB-TEAMS WOULD DETERMINE WHERE AND HOW SPECIFIC FUNCTIONS ARE PERFORMED FROM HQ DOWN TO THE FIELD LEVEL

SHARED SUPPORT MODULE STRUCTURE



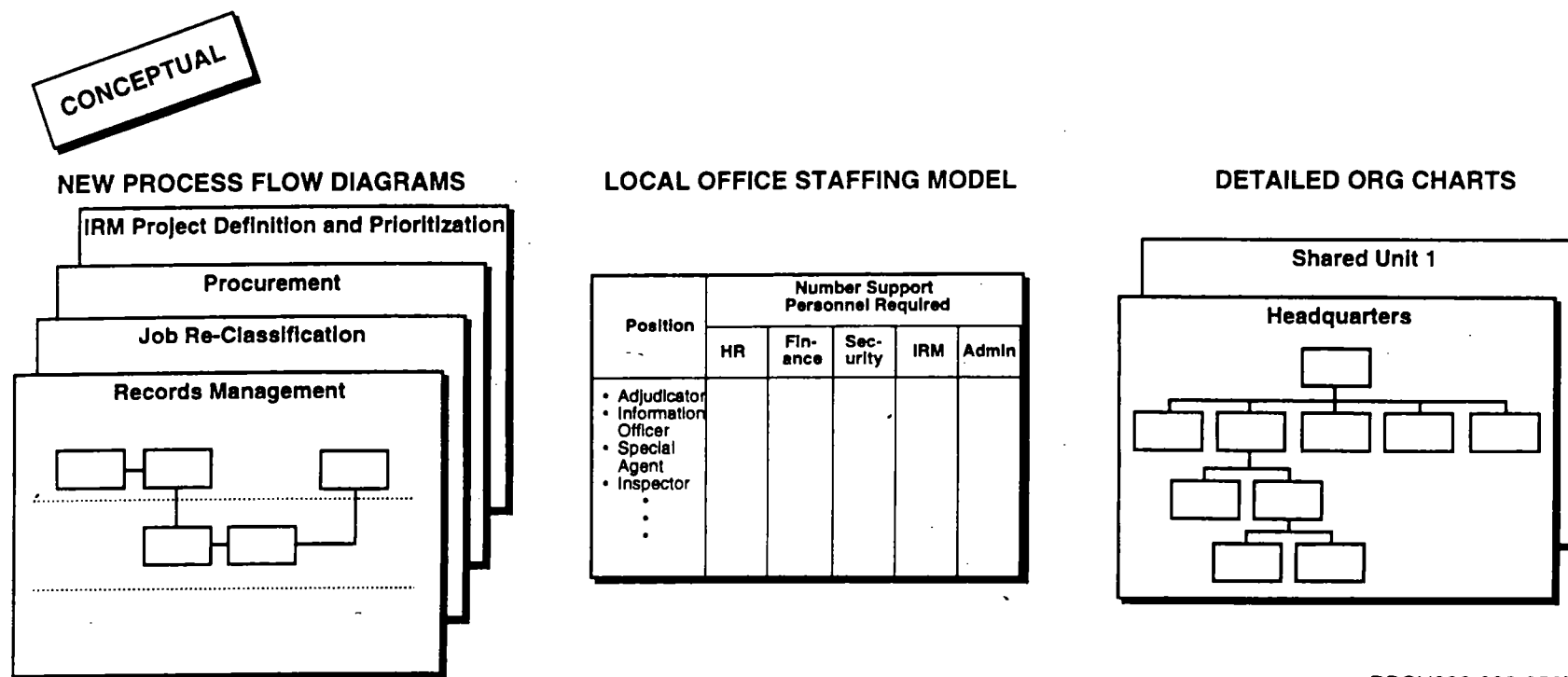
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THIS WORK MODULE INCLUDES DESIGN OF THE OFFICE OF THE CFO AS FINANCE AND BUDGETING ARE SHARED SUPPORT ACTIVITIES

Phase II A ... Shared Support ...

THE SHARED SUPPORT MODULE CREATES THE PROCESS FLOWS AND STAFFING MODELS NECESSARY TO BEGIN IMPLEMENTING THE NEW SHARED SUPPORT STRUCTURE

SHARED SUPPORT MODULE OUTPUT



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PHASE II B TEAMS WILL THEN DESIGN LOCAL SUPPORT UNITS BASED ON THIS MODEL

V. PHASE II B MODULES—DIVISION BLUEPRINTING

- Immigrant Services (6.0)**
- Enforcement Operations (7.0)**

PHASE II B WORK MODULES BEGIN AFTER LAYING THE ANALYTICAL GROUNDWORK AND SETTING UP PROJECT MANAGEMENT AND INFRASTRUCTURE (PHASE II A)

- The exact set of worksteps to be performed by Phase II B teams depends to a great extent upon the results of Phase II A, particularly as quick wins are identified in the Baseline Work Module
- This section presents a general plan for the Phase II B work modules
 - At a basic level, the worksteps for the Division Blueprinting teams are very similar to the Shared Support work (Module 5.0)
 - These workplans, however, have been written to reflect specific design requirements wherever possible

DIVISION BLUEPRINTING WORK MODULES DETAIL HOW THE NEW ORGANIZATION WILL FUNCTION WITH SEPARATE CHAINS OF COMMAND FOR SERVICE AND ENFORCEMENT

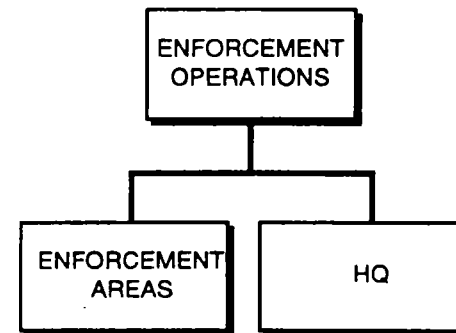
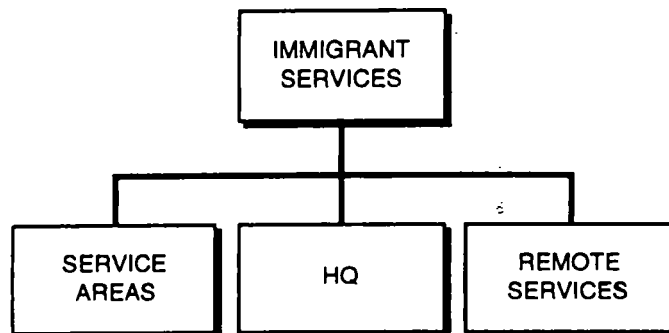
WORK MODULES 6.0-7.0: DIVISION BLUEPRINTING (IMMIGRANT SERVICES & ENFORCEMENT OPERATIONS)

KEY QUESTIONS
• What activities need to be performed in Immigrant Services and Enforcement Operations? What is the minimum efficient scale for these functions? • What activities will take place locally (e.g., at an Enforcement Sub-Area office); shared at the Area level, and at HQ? • How will activities/processes be coordinated within and across operational units and with Headquarters? • What knowledge, skills, and abilities are required for key positions? • How will field and headquarters organizations be structured? Who will have accountability/control over key functions? • How will International operations and Asylum fit into the new Immigrant Services and Enforcement Operations structures? What about their respective support activities? • What metrics will be used for monitoring and evaluating performance? Relationship/ similarity to existing metrics? • What are the anticipated transition costs/investments (e.g., technology) and plan for implementation?

MODULE OBJECTIVES
• Develop the operational vision and organization structure for Immigrant Services and Enforcement Operations—in the field and at HQ—including: – Organization charts – What activities are performed where, including International operations and Asylum – Process flows – High-level staffing requirements – Performance metrics • Identify options for transitioning to the new organization and the expected costs/ investments • Involve key INS personnel in the design effort to capture innovative thinking and experience while promoting ownership and buy-in

THERE ARE TWO DIVISION BLUEPRINTING TEAMS IN PHASE II B—SUB TEAMS ARE LIKELY TO EXIST TO DETAIL SPECIFIC OPERATIONS IN A GIVEN LOCATION (e.g., REMOTE SERVICES)

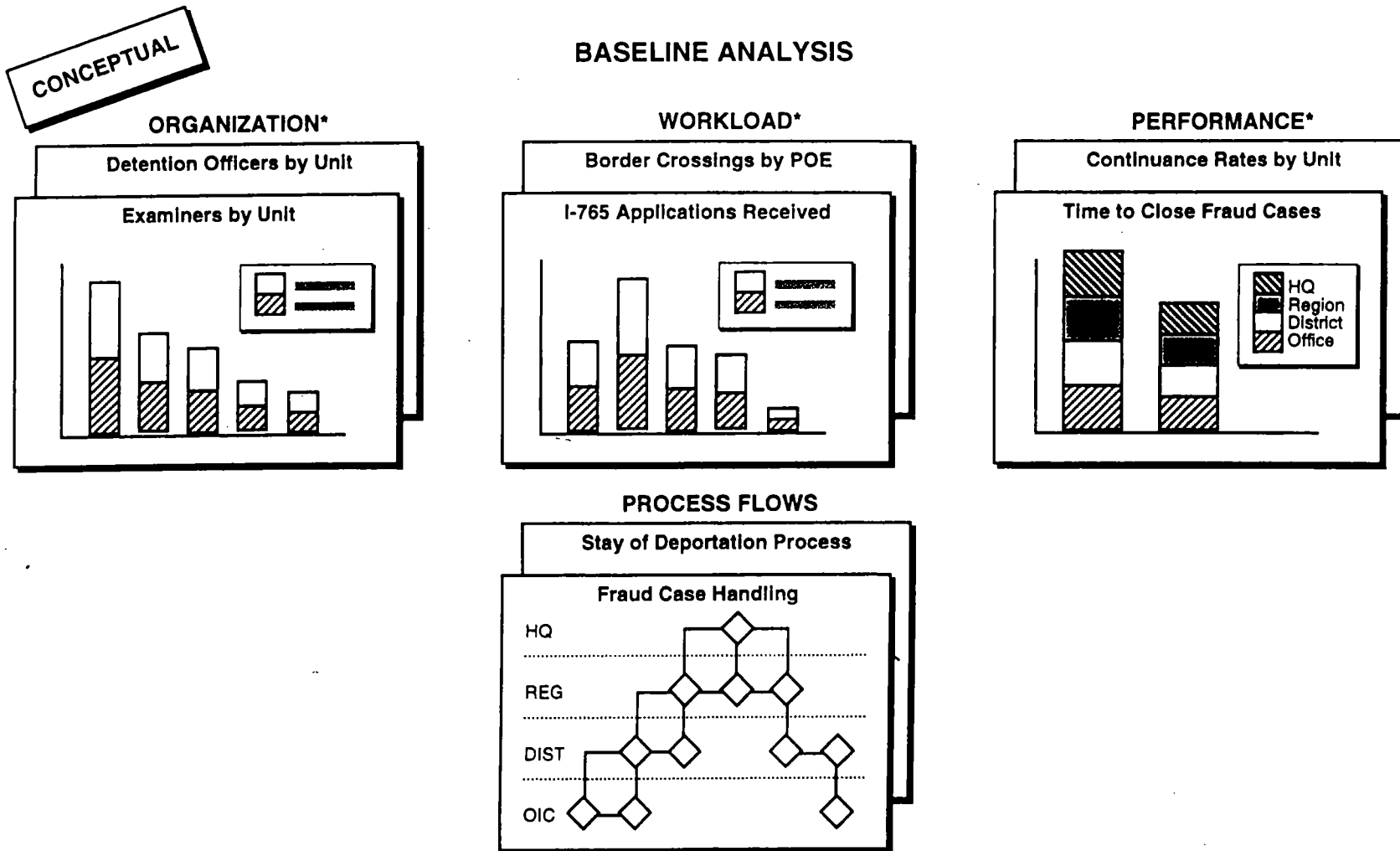
DIVISION BLUEPRINTING TEAMS



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TEAM FINDINGS WILL BE INTEGRATED BY THE RESTRUCTURING TEAM LEADER FOR THE WORK MODULE (e.g., IMMIGRANT SERVICES TEAM LEADER)

THESE TEAMS WILL ALL FOLLOW A HIGHLY ANALYTICAL PROCESS THAT BEGINS WITH A DETAILED UNDERSTANDING OF THE WORK THAT CURRENTLY IS BEING DONE (BASELINE)



* Phase II B teams will extend the work performed in Phase II A as necessary

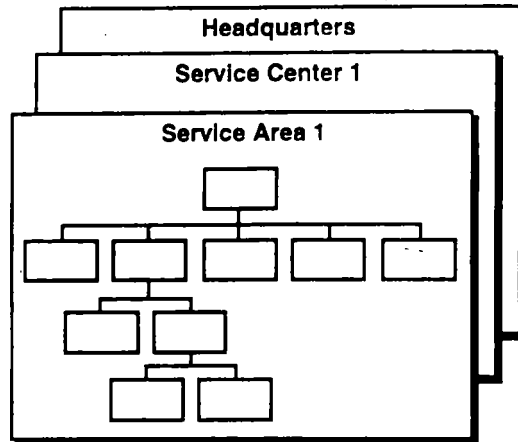
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THE DIVISION BLUEPRINTING TEAMS ARTICULATE HOW THE NEW STRUCTURE WILL OPERATE BY PRODUCING DETAILED ORGANIZATION CHARTS AND NEW PROCESS FLOWS

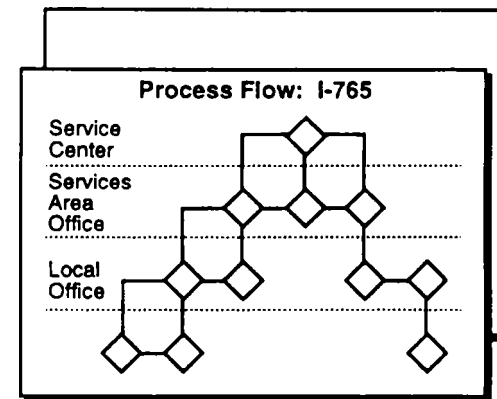
CONCEPTUAL

IMMIGRANT SERVICES MODULE EXAMPLE

ORGANIZATION CHARTS



PROCESS FLOW DIAGRAMS



- Which unit is responsible for what part(s) of which process(es)
- Criteria for hand-offs
- Clear instructions to minimize "exception processing"

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VI. PHASE II B MODULES—INTEGRATION MECHANISMS

- Strategy (8.0)**
- Integration Requirements (9.0)**
- IRM (10.0)**

INTEGRATION MECHANISM WORK MODULES WILL ADDRESS INTEGRATION ISSUES AND DESIGN HOW SERVICE AND ENFORCEMENT OPERATIONS WILL BE BROUGHT TOGETHER

WORK MODULES 8.0-10.0: INTEGRATION MECHANISMS

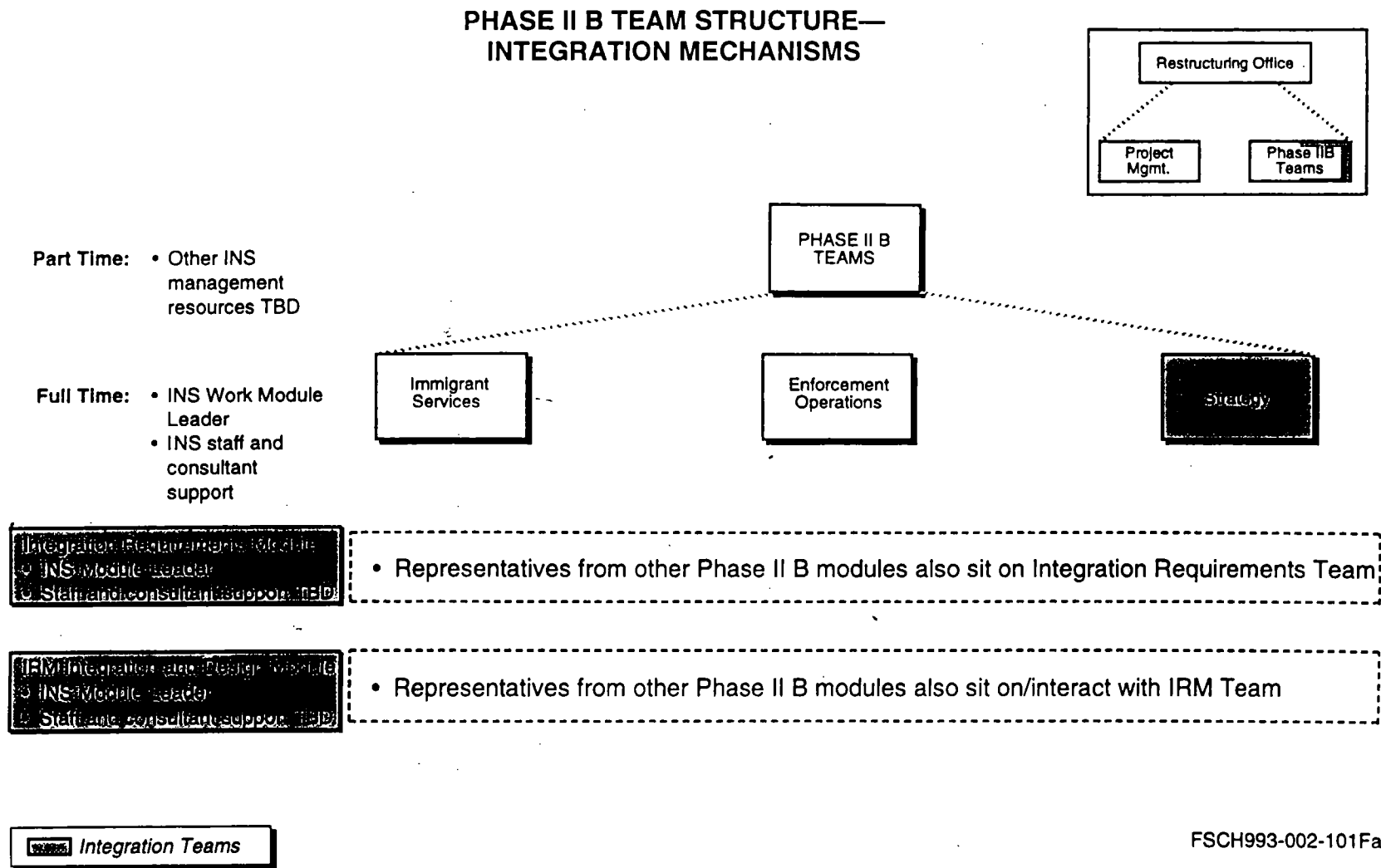
KEY QUESTIONS

- How do enforcement and immigrant services need to achieve integration in operations and management?
- How will integrating activities/processes (including R&D/program development, possibly budgeting and planning) be coordinated within/across field units, headquarters, and third parties?
- Which of these activities should be performed within the new Strategy unit? How should this unit be structured?
- Given that many of the Phase II teams will recommend IRM changes to support the new organization, how will these changes be prioritized and implemented?
- What knowledge, skills, and abilities are necessary to successfully perform key activities?
- What performance metrics will be used to measure the effectiveness of integration?
- What are the anticipated transition costs/investments (e.g., technology) and approximate timing of implementation?

MODULE OBJECTIVES

- Design integrative mechanisms for key operational and managerial processes, including:
 - R&D/program development
 - Budgeting and planning
 - Specific linkages between service and enforcement
- Structure the Strategy unit to perform its new analytical, facilitation role
- Understand needed IT changes (as a result of restructuring) and prioritize these requests for implementation

THERE ARE THREE INTEGRATION MECHANISM TEAMS—STRATEGY HAS DEDICATED TEAM MEMBERS, THE OTHER MODULES DRAW MEMBERS FROM DIVISION BLUEPRINTING TEAMS



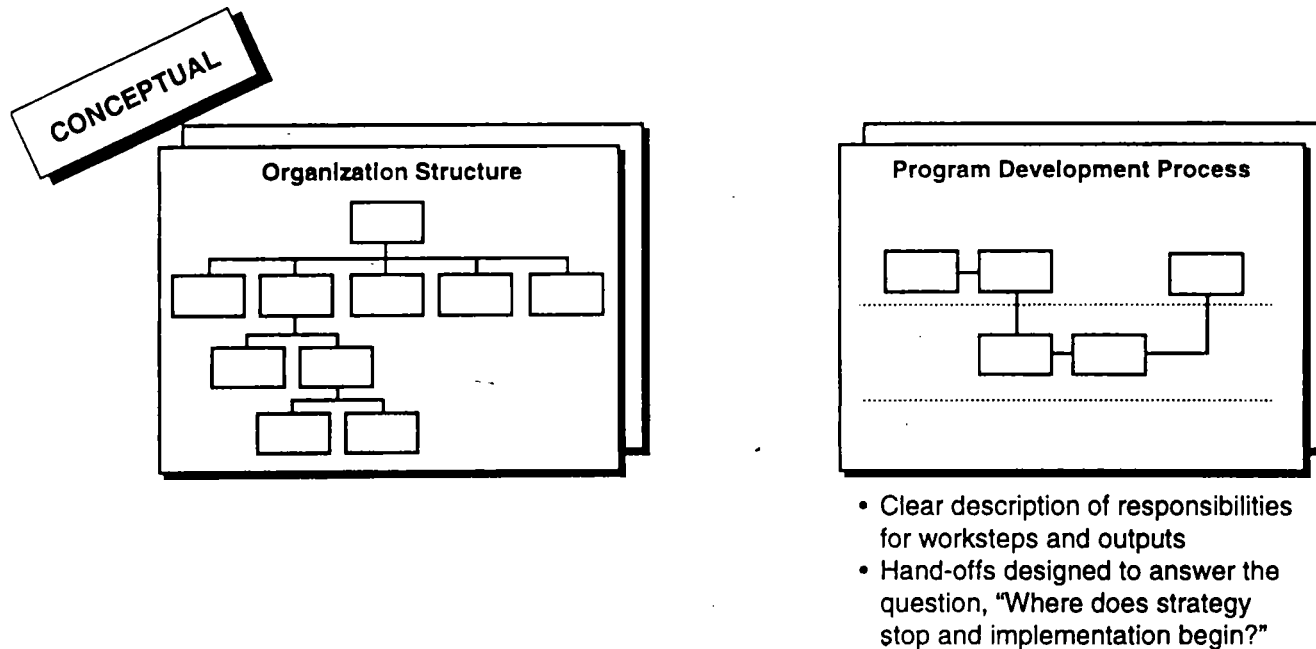
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THE STRATEGY WORK MODULE WILL RECOMMEND WHICH ACTIVITIES SHOULD BE PERFORMED IN THE STRATEGY UNIT AND HOW THE PROGRAM DESIGN PROCESS (R&D) WILL TAKE PLACE

- With the separation of service and enforcement operations into two separate chains of command, this unit plays a critical integration role for the agency
- In designing a new R&D/program development process, the team should benchmark how other agencies and commercial organizations effectively perform this activity

THIS MODULE WILL PROPOSE BOTH THE DETAILED ORGANIZATION STRUCTURE AND THE REDESIGNED PROGRAM DEVELOPMENT (R&D) DEVELOPMENT PROCESS

STRATEGY MODULE OUTPUT



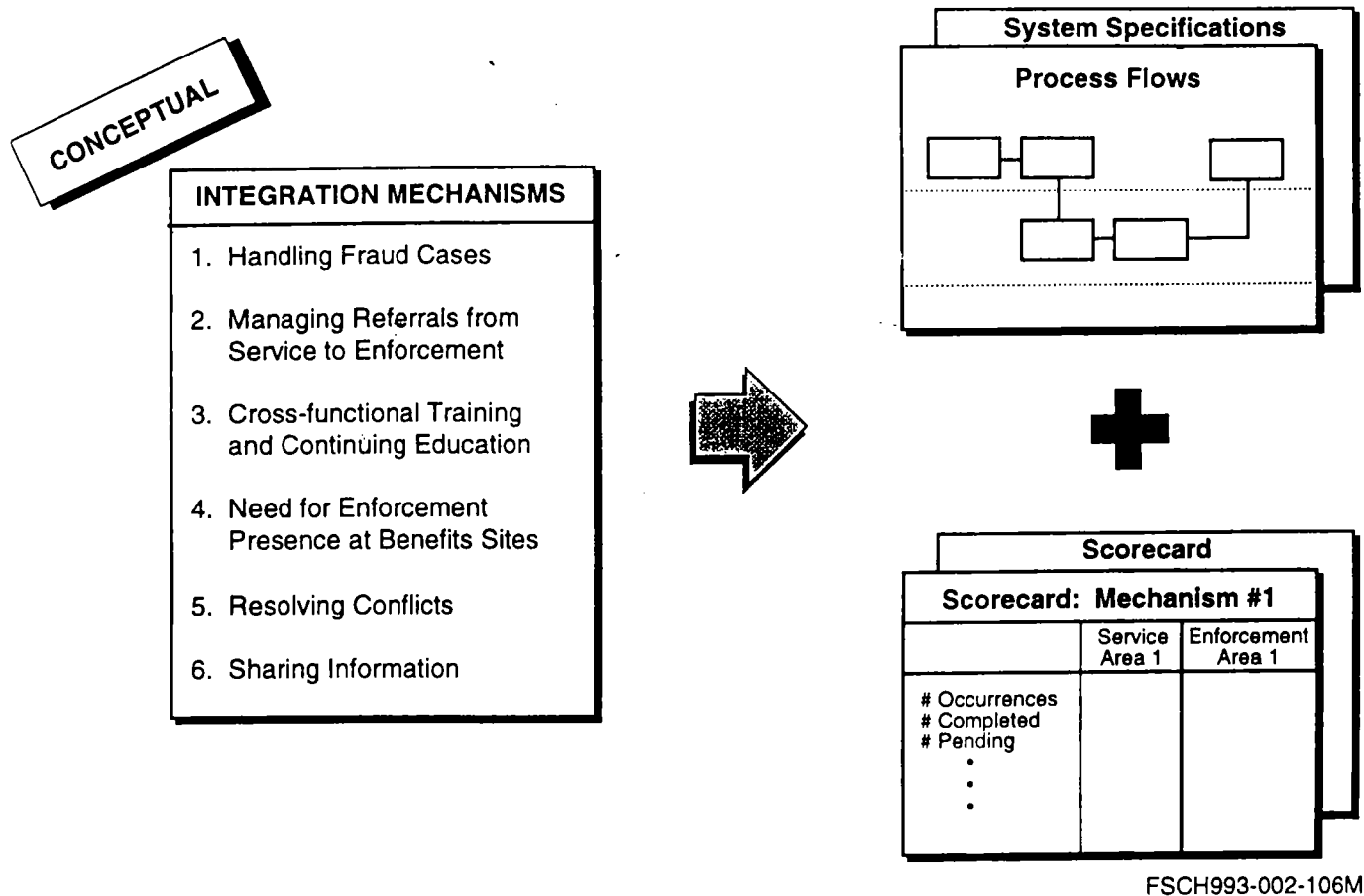
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THE INTEGRATION REQUIREMENTS WORK MODULE IDENTIFIES KEY POINTS OF INTEGRATION REQUIRED AND DESIGNS MEANS TO ACCOMPLISH THESE LINKAGES

- Works closely with other Blueprinting teams—in many ways is a “virtual team” as most or all of its members are permanent members of other teams (see page VI-2)
- Ensures current integration is not lost—highlights these key integration points and requirements for the future
- Brainstorms new “out of the box” ways that this vital integration could be achieved in the new organization
- Provides a feedback loop to other Blueprinting teams—shares interim findings and recommendations that may be useful to other work modules in their design

A LIST OF INTEGRATION MECHANISMS WILL BE PRODUCED, ALONG WITH DESIGNS FOR HOW THEY WILL WORK AND HOW PERFORMANCE WILL BE MEASURED

INTEGRATION MECHANISMS MODULE OUTPUT



THE IRM INTEGRATION AND DESIGN WORK MODULE TRACKS AND PRIORITIZES IRM CHANGES RECOMMENDED BY PHASE II TEAMS

- IRM team members will be drawn from other Phase II teams as needed, depending on the number of IRM changes anticipated from that work module. For example:
 - Immigrant Services, Enforcement Operations and Shared Support may have dedicated IRM team members on their Division Blueprinting team (heavy involvement expected)
 - Strategy and Integration Mechanisms teams may have IRM liaisons identified (less frequent involvement anticipated)
- As IT changes are recommended, the IRM team consolidates them into a master list that can be prioritized for phased development—these requests must be considered along with other efforts currently underway
 - Prioritization and timing reflect all initiatives in the pipeline or under consideration (i.e., not just those associated with restructuring)
 - Planning is consistent with the Commissioner's Priorities and resource constraints

A PRIORITIZED LIST OF IRM CHANGES AND CORRESPONDING IMPLEMENTATION PLANS WILL BE DEVELOPED FOR IRM TO USE GOING FORWARD—PERFORMANCE WILL BE MEASURED BASED ON THESE PLANS

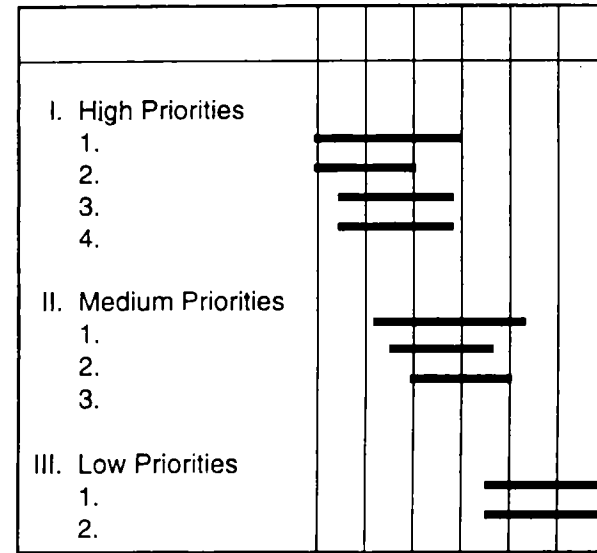
IRM CHANGES MODULE OUTPUT

CONCEPTUAL

IRM PRIORITIES – RECOMMENDED CHANGES	
High	1. 2. 3. 4.
Medium	1. 2. 3. 4.
Low	1. 2. 3. 4.



IRM MASTER GANTT



FSCH993-002-105M

THE BASELINE MODULE WILL GATHER ORGANIZATIONAL, WORKLOAD, AND PERFORMANCE DATA ACROSS EXISTING UNITS AND PROCESSES

BASELINE DATA COLLECTION

CONCEPTUAL

ORGANIZATIONAL DATA

Data Element	Cleveland District	Detroit District	Los Angeles District
• Full Time Personnel - By Position • Part Time/ Temporary - By Position • Money for Personnel - Budget - Actual			

WORKLOAD DATA

Data Element	Admin Center	Service Center	Laredo Sector
• # Applications - I-series .. 485 .. 765 - N-series .. 400 .. 500s • # border crossings • # jobs reclassified • # procurement requests			

PERFORMANCE DATA

Data Element	UNIT 1		
	Border Crossings	I-485 Interviews	Expedited Removals
• # begun - 1997 - 1996 - 1995 • # completed - 1997 - 1996 - 1995 • Time To Completion			

FSCH993-002-102M

THE BASELINE TEAM WILL INTERACT VERY CLOSELY WITH CURRENT MAJOR ORGANIZATION UNITS TO GATHER THESE DATA

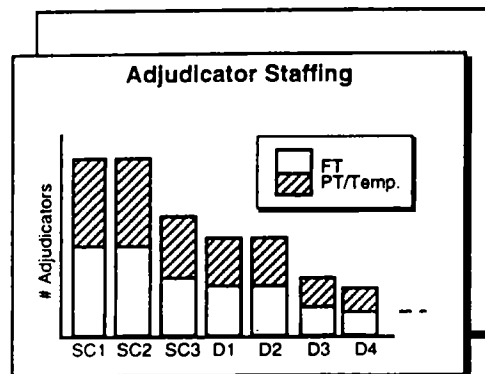
- The team will leverage existing data as much as possible
 - Avoid “reinventing the wheel”
 - Develop a starting point for refinement rather than starting from scratch
- Team members will visit the major types of organization units to refine the data
 - Regions
 - Districts
 - Sectors
 - Service Centers
 - Administrative Centers
 - Headquarters
- Although this process is time consuming and may appear duplicative, it is essential to the success of the restructuring effort
 - INS managers who are involved in the data gathering process will believe the data used for analyses are accurate
 - This work module will identify and refine data sources required to perform other design work and monitor performance improvements

OUTPUT FROM THE BASELINE ANALYSIS WILL BE A THOROUGH UNDERSTANDING OF CURRENT OPERATIONS—USEFUL IN IDENTIFYING AREAS THAT REQUIRE THE MOST ATTENTION DURING PHASE II B

CONCEPTUAL

BASELINE ANALYSES MODULE OUTPUT

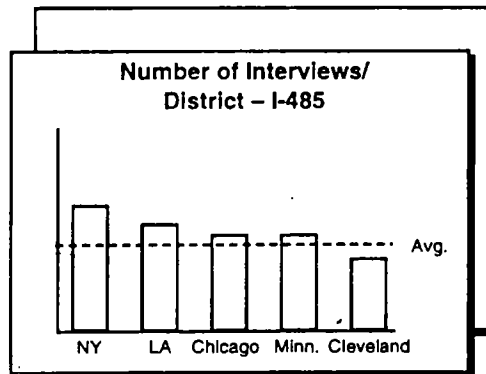
ORGANIZATIONAL



Other Potential Analyses:

- Allocation of staff time analysis (by activity)
- Budget vs. Actual by process (e.g., Detention, Patrol)
- Spans of control per Manager per district, sector

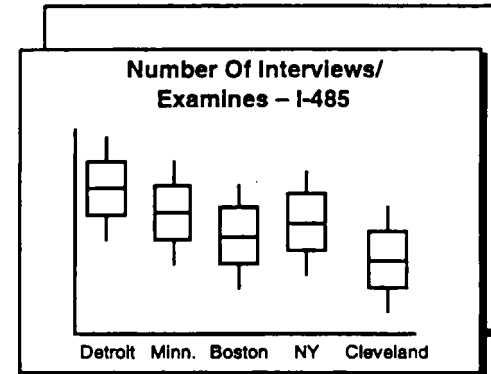
WORKLOAD



Other Potential Analyses:

- Projected illegal immigrants per investigator
- # cases on docket/ Deportation Officer
- # fraud cases pending/district
- # border crossings/Inspector

PERFORMANCE



Other Potential Analyses:

- Time to deport after detention
- # fraud arrests/Investigator
- # application returned for insufficient information

FSCH993-002-111M

THE MANAGEMENT BOUNDARIES MODULE WILL DEVELOP OPTIONS FOR NEW ENFORCEMENT AND IMMIGRANT SERVICES AREAS (i.e., NUMBER AND SIZE)

WORK MODULE 3.0: DEVELOP OPTIONS FOR NEW MANAGEMENT BOUNDARIES

KEY QUESTIONS

- What criteria should be utilized to recommend new management boundaries—Immigrant Service Areas and Enforcement Operations Areas? Are these similar across Services and Enforcement?
- How many Immigrant Service and Enforcement Operations Areas should the INS consider?
- Should these area boundaries be the same for both Immigrant Services and Enforcement operations? What are the advantages/disadvantages to similar boundaries?
- How does the recommended structure map to the current regional and district structure?

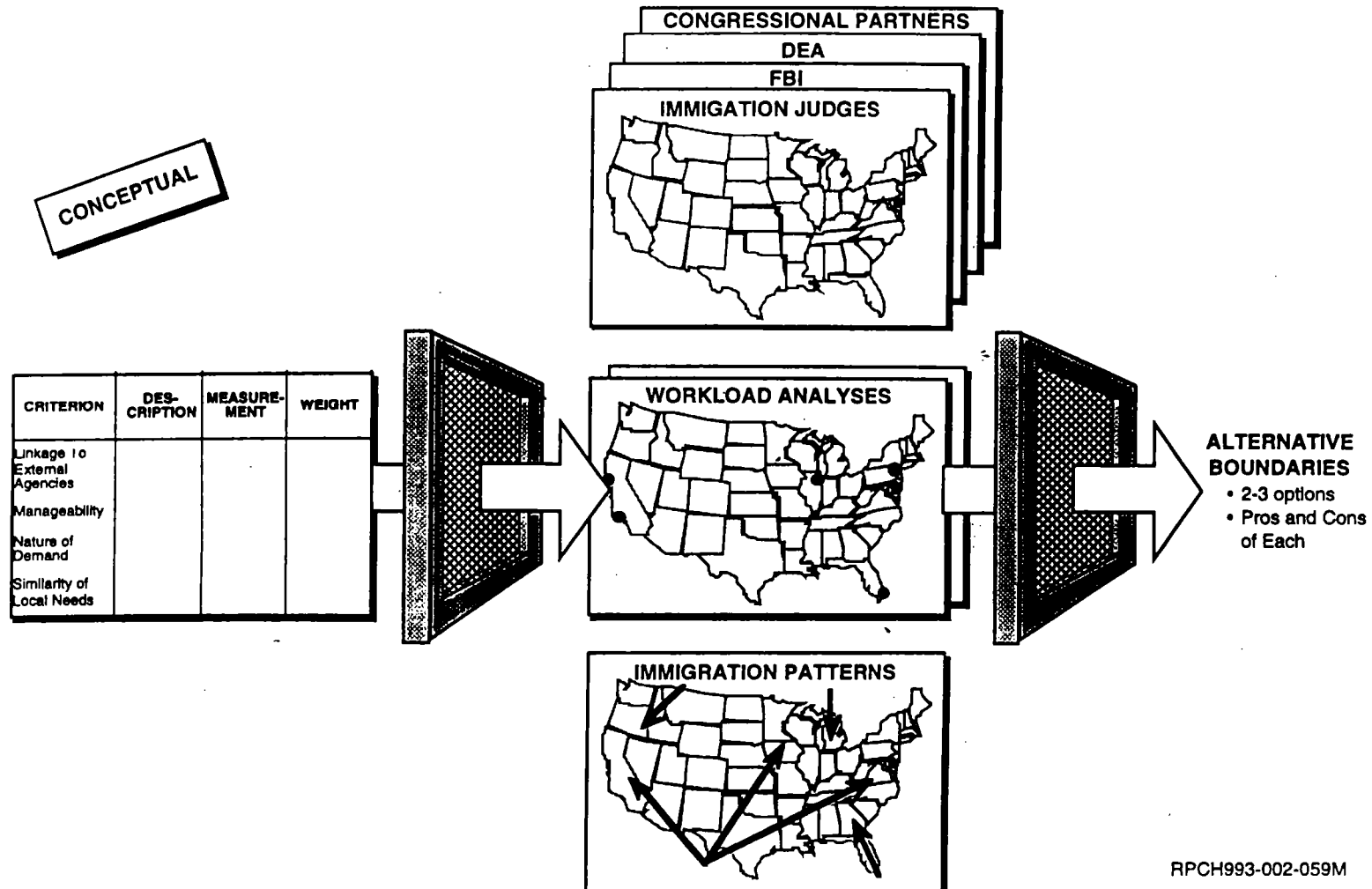
MODULE OBJECTIVES

- Recommend options for new management boundaries— Service and Enforcement Areas and sub-areas
- Ensure that options weigh competing design criteria, for example:
 - Interface with external parties (FBI, DEA, Customs, local law enforcement, Immigration Judges, state and federal legislators, etc.)
 - “Manageability” from geographic and size/complexity of operations perspectives
 - Nature of the demand (e.g., volumes, patterns and flows, etc.)
 - Similarity of local needs (e.g., border communities may be significantly different from interior areas)

Phase II A ... Management Boundaries ...

THIS MODULE WILL DEVELOP CRITERIA TO EVALUATE MANAGEMENT BOUNDARY OPTIONS AND UTILIZE ANALYSIS TO UNDERSTAND CURRENT INS WORKLOAD

MANAGEMENT BOUNDARY DEVELOPMENT PROCESS



RPCH993-002-059M

**APPENDIX A: RESTRUCTURING BENEFITS BY
DIVISION**

RESTRUCTURING BENEFITS FOR IMMIGRANT SERVICES

RESTRUCTURING GOAL	HOW RESTRUCTURING WILL IMPROVE PERFORMANCE
Establishes processes appropriate to the nature of the work	• Consolidates high volume back office processes, focused on workload and backlog management of paper and data, taking advantage of economies of scale • Places emphasis on customer service interface processes, including scheduling, queuing, staff cross-training, response time management • Identifies and deploys different service models, such as mobile units or dedicated full service offices, to meet community needs
Provides an effective process platform for defining and developing technology	• Automated workflow routing, prioritization, and management • Key management information on aging, backlogs, receipts, closed cases to monitor performance
Reduces the mix and complexity of management's role to provide greater focus	• Focuses on one key function of the INS mission: benefits provision • Reduces the range and complexity of day-to-day operational issues
Clarifies responsibility and authority to enhance accountability—pushes down decision making to the appropriate level in the organization	• Provides clear, end-to-end accountability for service provision – Program design – Program/mission execution, nationally or within a geographic area – Day-to-day operations – Budget responsibility and tracking – Performance measurement

RESTRUCTURING BENEFITS FOR IMMIGRANT SERVICES (CONTINUED)

RESTRUCTURING GOAL	HOW RESTRUCTURING WILL IMPROVE PERFORMANCE
Aligns knowledge, skills, and abilities (KSAs) with the nature and needs of the function	• Focuses KSAs on professional customer service – Operations research—work flows – Understanding of scheduling, queuing theory, workload management, response time management – Phone and face-to-face interaction – Appropriate policies on front-line decision-making and empowerment • Provides appropriate training and on-the-job support
Provides career paths that promote development of specialized technical and management skills	• Incorporates management skills needed to run services – Customer interface – High volume processing • Provides career paths with increasing levels of responsibility within Immigrant Services – Increasing complexity of services – Need for specialized skills, competencies
Maximizes integration within Enforcement—establishes effective integration between Service and Enforcement	• Formalizes processes to integrate between service and enforcement, e.g., identification and pursuit of potential fraud • Identifies responsibilities for integration within Immigrant Services and incorporates them into accountability model

RESTRUCTURING BENEFITS FOR ENFORCEMENT OPERATIONS

RESTRUCTURING GOAL	HOW RESTRUCTURING WILL IMPROVE PERFORMANCE
Establishes processes appropriate to the nature of the work	• Case management – Development of cases based on intelligence reports – Development of case-based incidents • Volume processing of people through ports of entry – Scheduling – Queue management – Fraud detection • Facilitates integration with other agencies and their processes, e.g., Customs
Provides an effective process platform for defining and developing technology	• Data mining for intelligence operations, case development • Statistical analysis of port of entry volume, for scheduling and flow management
Reduces the mix and complexity of management's role to provide greater focus	• Focuses on integration between border and interior to provide more comprehensive and coordinated approach to enforcement • Reduces the range and complexity of day-to-day operational issues
Clarifies responsibility and authority to enhance accountability—pushes down decision making to the appropriate level in the organization	• Provides clear, end-to-end accountability for the Enforcement function – Program design – Program/mission execution, nationally or within a geographic area – Day-to-day operations

RESTRUCTURING BENEFITS FOR ENFORCEMENT OPERATIONS (CONTINUED)

RESTRUCTURING GOAL	HOW RESTRUCTURING WILL IMPROVE PERFORMANCE
Aligns knowledge, skills, and abilities (KSAs) with the nature and needs of the function	• Focuses KSAs on law enforcement professionalism across the board – Criminal investigation and intelligence – Border inspections and management – Detention and deportation – Appropriate policies on front-line decision-making and empowerment • Provides appropriate training and on-the-job support
Provides career paths that promote development of specialized technical and management skills	• Incorporates management skills needed to run Enforcement – Development and use of intelligence, including undercover operations – Coordination with wide range of law enforcement entities to pursue cases – Management of high stress, potentially life-threatening environment • Provides career paths with increasing levels of responsibility within Enforcement – Increasing complexity of cases, coordination – Need for specialized skills, competencies
Maximizes integration within Enforcement—establishes effective integration between Service and Enforcement	• Formalizes processes to integrate between service and enforcement, e.g., identification and pursuit of potential fraud • Identifies responsibilities for integration within Enforcement and incorporated them into accountability model

RESTRUCTURING BENEFITS FOR SHARED SUPPORT (Unique to Shared Support)

RESTRUCTURING GOAL	HOW RESTRUCTURING WILL IMPROVE PERFORMANCE
Provides right balance of scale and local service	• Assesses the nature and type of support services to ensure economies of scale are captured, but local support to be provided within the Immigrant Services and Enforcement Operations structures where needed • Allows functional units—Immigrant Services and Enforcement Operations—to have a direct say in how services are provided by other units (shared or at HQ)
Establishes Shared Support performance agreements as fundamental basis of operation	• Establishes direct, quantifiable agreements on type and level of service • Measures Shared Support against performance agreements and provide operational units with recourse if agreements are not met
Instills a customer-service orientation	• Clearly defines the operations units as the customers of Shared Support – Products/services – Pricing – Responsiveness/timeliness – Integration into function support
Provides accountability for support services	• Provides clarity of responsibility and performance – Defines ownership for Shared Support – Establishes agreements between operational units and Shared Support – Measures and manages against the agreements

APPENDIX B: DETAILED WORKPLANS

MODULE 1: DESIGN AND ESTABLISH RESTRUCTURING OFFICE

WORKSTEP	OUTPUT	RESOURCES
1.1 Design Restructuring Office (RO) – Articulate roles, responsibilities and work approach (Team Charter and workplan—What needs to be done? Why? When?) – Develop staff position descriptions (KSAs) and estimate resource requirements – Design process for selecting RO staff – Identify project management tools required to do the job (e.g., Microsoft Project management software)	• RO team charter and workplan • Position descriptions for RO staff • Process for staffing the RO • Project management tools identified and procured	• INS senior leadership team involvement (as required for key decision making) • Consulting resources—TBD
1.2 Design RO Processes and Templates – Design reporting mechanisms and frequency (how often do Phase II teams meet to share results on progress to date?) – Create standard report templates (what information do Phase II teams present at these progress sessions?) – Outline how key processes will work—issue identification, conflict resolution and decision making	• Master GANTT chart with team meetings • Report templates • Processes designed • Mechanism to track and monitor items that require legislative changes and other approvals	• Same as above
1.3 Create Communication Sub-team and Strategy/Plan – Draft team charter and workplan – Identify KSAs of team members – Select team – Perform a stakeholder analysis to identify communication needs – Analyze existing communication mechanisms and frequency (what do we do today? what works well?)	• Sub-team charter and workplan • Communication sub-team established and staffed • Communication strategy and plan developed for all stakeholder groups (Stakeholder, message, medium and frequency) • Communication channels and mediums in place (e.g., hot line with questions, newsletters, "lunch with the Commissioner", etc.)	• TBD • Communication team would likely include INS representatives from Public Affairs, Congressional Relations and Field Operations • Size of communication team: 4-6 team members (with staff support as required)

MODULE 1: DESIGN AND ESTABLISH RESTRUCTURING OFFICE (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
1.4 Create HR Transition Sub-team and Strategy/Plan - Draft team charter and workplan - Identify KSAs of team members - Select team - Perform a stakeholder analysis to identify HR transition needs - Communicate processes to Phase II teams	• Sub-team charter and workplan • HR transition sub-team established and staffed • Template for staffing plan—staff requirements, impact analysis on existing staff • Process defined for filling new positions and transitioning staff (with HR—approach must be consistent across the agency)	• TBD • INS representatives from HR with expertise in job design, etc. • Size of team: 4-6 team members (with staff support as required)
1.5 Prepare for Detailed Blueprinting (Phase II B) - Finalize overall blueprinting team structures and articulate key integration points/coordination required - Define team orientation approach (sessions and documentation required) - Create team-specific kickoff documents (initial workplans) - Articulate KSAs for team members (specific to each team and general rules) - Design a process for team member selection (how do we decide who participates?)	• Overall project team structure with linkages identified • Orientation approach and summary document • Team kickoff documents • Process for team member selection and KSAs • Team rosters (members)	• Same as above

MODULE 2: CONDUCT BASELINE ANALYSIS

WORKSTEP	OUTPUT	RESOURCES
2.1 Determine Scope of Baseline and Clarify Expected Output – Define baseline scope (units, activities to be included) – Review data availability/accuracy by unit and activity – Define measures, ratios (e.g., will vacant and temporary positions be included?) – Agree to list of operating statistics to be included in baseline (e.g., # deportations, # adjudications)	• Data collection templates and approach – Units and activities to be analyzed – Data elements and statistics to be used – Standardized sources for each data element • High-level output design	• INS staff from OPP, HR, Finance • Selected INS managers for data review • Consulting resources– TBD
2.2 Build Integrated Baseline Database – Collect data (organizational, workload, performance) – Build database – Classify data into existing (and future) units/activities	• Integrated database with key organizational, workload, and performance data linked together – HR data (name, unit, position, activity, etc.) – Workload data for service and enforcement activities (e.g., # removals) – Key performance indicators (e.g., completion rates for adjudications)	• Same as above
2.3 Test Data Integrity – Share baseline data with managers for validation – Revise baseline database as necessary	• Targeted quality checks, i.e., review of organization and workload data by selected field managers	• Same as above
2.4 Conduct Analyses and Build Baseline – Build organizational component (e.g., activities, employees) – Build activity component (e.g., # removals) – Assess performance (e.g., \$/deportation)	• Completed analysis of INS operations according to workstep 2.1, for example: – \$ and FTEs/unit and activity – Quality, cycle time, productivity and service measures/activity and/or unit	• Same as above
2.5 Summarize Results and Identify Opportunities – Understand who does what and where – Understand costs (where is the money spent) – Understand current performance levels	• Baseline summary document – Summary of organization, workload, and performance analyses – Opportunities for improvement – Best practices	• Same as above

MODULE 3: DEVELOP OPTIONS FOR MANAGEMENT BOUNDARIES

WORKSTEPS	OUTPUT	RESOURCES
3.1 Define Design Criteria – Identify key drivers to draw new management boundaries for Service and Enforcement – Examine criteria used by other agencies – Prioritize and attach weight to criteria	• List of design criteria to be used	• INS field managers • Consulting resources– TBD
3.2 Evaluate Existing Management Boundaries Against Design Criteria – Draw current boundaries and footprint – Evaluate current boundaries	• Maps showing regions, districts, sectors and sub-offices • Evaluation of current management boundaries (using design criteria outlined in workstep 3.1)	• Same as above
3.3 Conduct Analysis to Develop Alternative Boundaries – Analyze workload volumes (with baseline team) – Understand population distribution by geography – Comprehend immigration flows and traffics – Draw other agency footprints (FBI, Courts etc.) – Gain insight from field managers	• Results of analysis	• Same as above
3.4 Draw Options (2-3) for New Boundaries and Choose Preferred Option – Outline options – Evaluate each option against design criteria – Identify overlap between service/enforcement options – Highlight advantages and disadvantages of similar boundaries for enforcement and service – Recommend best option	• Profile of 2-3 management boundaries for service and enforcement • Evaluation of each against design criteria • Rationale for recommendation of best option	• Same as above
3.5 Map Existing Structure to Recommendation – Identify areas for change – Highlight challenges/barriers to implementation – Communicate results with other teams	• Summary document	• Same as above

MODULE 4: BUDGET ANALYSIS AND REFINEMENT

WORKSTEP	OUTPUT	RESOURCES
4.1 Refine Proposed Budget Account Structure to Support Future Organization – Review budget implications of new organization structure – Analyze proposal submitted to Congress to determine if additional changes are required – Make additional modifications as needed – Map new account structure to existing structure	• New streamlined budget structure to support new organization	• INS staff TBD from Budget, Financial Management • INS management time as necessary • Consulting resources–TBD
4.2 Gain Approval from OMB and Congress – Describe strengths/weaknesses of new account structure – Present to OMB and Congress	• New account structure submitted to Congress and other parties as required (e.g., OMB)	• Same as above
4.3 Re-formulate Budget Using New Decision Unit Structure – Build budget database for new structure – Create linkages between old budget database and new decision unit structure – Re-create budget using new structure	• New FY 2001 budget so that: – Budget decision units support new organization structure – Budget structure is simplified	• Same as above • <i>Please Note: Additional work will be required after detailed blueprinting is complete (Phase II B) to reallocate resources to new structure and footprint</i>

MODULE 5: SHARED SUPPORT DESIGN

WORKSTEPS	OUTPUT	RESOURCES
5.1 Understand Shared Support Baseline – Study baseline data from work module 2.0—activity definitions (what is support?) and key linkages in support processes (inputs and outputs) – Understand opportunities for improvement and implications for detailed blueprinting – Identify additional data desired to fill out Shared Support baseline—organization, workload and/or performance analyses (Including process flows) – Collect additional data as needed	• Complete baseline of Shared Support including current organization structure, activity placement, workload and performance measures (e.g., staffing #s, detailed process flows, etc.)	• INS team members from Field Operations and Management—exact number TBD • Leverage existing work efforts and previous studies (DOJ, NAPA, GAO) • Consulting resources—TBD
5.2 Develop Design Criteria for Shared Support – Develop set of criteria to be used in evaluating alternative structures (What are desired outcomes or goals of restructuring?) – Tie shared support criteria to four agency restructuring objectives	• Design criteria for Shared Support	• Same as above
5.3 Develop a Decision Framework for Placement of Support Activities – Create a decision tree framework to be used in determining activity placement – Utilize best practice/benchmarking data to craft this decision logic	• Decision tree framework for activity placement (should also be used in later blueprinting efforts—Immigrant Services and Enforcement Operations)	• Same as above
5.4 Recommend Activity Placement – Utilize decision framework created in 5.3 above to determine where specific activities should be performed (locally, shared, at HQ) – Identify technology/other tools required to re-invent how support services are performed and by whom – Draft high level process flows for how work would be performed (Work linkages and input/output)	• Decisions on activity placement for each function (e.g., Which HR activities must be performed locally? Which can be shared or performed remotely?) • High level process flows for how these activities would be performed • Identification of needed IT enhancements and other tools	• Same as above

MODULE 5: SHARED SUPPORT DESIGN (CONTINUED)

WORKSTEPS	OUTPUT	RESOURCES
5.5 Summarize Functional Recommendations—Understand Implications – Create a summary of recommendations—a consolidated view of which activities will be performed at various levels – Understand implications for blueprinting—what is different from how things are done today? how could this view impact footprint decisions and job redesign?	• Summary of activity placement recommendations • Highlight implications for blueprinting	• Same as above
5.6 Analyze Current Footprint, Highlight Areas for Improvement and New Office Structure Required – Identify geographies where changes to the existing footprint are desirable (e.g., local offices require these support capabilities) – Develop “model office” templates and modular approach to sizing, i.e., what are the different ways to provide different support activities? – Outline plans to get from current footprint to desired state (transition plan, timing, approach)	• Shared support office templates / modules • Footprint options and potential transition plans	• Same as above
5.7 Build Organization Charts and Highlight New Job Positions Required – Build organization charts and modular approach to Shared Support at HQ and in shared units—define accountability for all key functions, delineate reporting relationships of local shared support personnel – Identify new job positions required and summarize roles, responsibilities and knowledge, skills and abilities (KSAs) needed for each – Finalize process flows for activities in new structure (continuing work from workstep 5.4 above)	• Description of recommended structure for Shared Support: – Organization structure and support modules for all key activities – Process flows for future state—how various units work together	• Same as above

MODULE 5: SHARED SUPPORT DESIGN (CONTINUED)

WORKSTEPS	OUTPUT	RESOURCES
5.8 Develop Staffing Methodology & Preliminary Estimate of Resources Required – Understand support needs based upon appropriate drivers (e.g., number of staff supported, service levels required) – Develop methodology for estimating staffing requirements given key drivers—create a shared support staffing model – Perform preliminary estimate of resource requirements (to be finalized after blueprinting is complete)	• Identification of staffing drivers for each activity • Shared support staffing model • Preliminary estimate of resource requirements	• Same as above
5.9 Design Performance Management System for Shared Support – Articulate key performance measures and service level expectations for all key activities – Design process to ensure that service levels are maintained—could include writing service level contracts between field and shared support units	• Key performance measures for activities • Process designed for performance monitoring	• Same as above
5.10 Develop High Level Implementation Plans – Define expected performance improvements – Develop implementation approach; worksteps, timing and people responsible – Brainstorm potential barriers/obstacles to implementation – Provide a preliminary estimate of implementation costs	• Complete implementation plan including: – Anticipated future performance (i.e., improvements or benefits expected with restructuring) – Implementation approach (i.e., pilot vs. national roll-out); worksteps, timeline, key milestones and people responsible – Potential risks/barriers – Preliminary implementation cost estimate	• Same as above

MODULE 5: SHARED SUPPORT DESIGN (CONTINUED)

WORKSTEPS	OUTPUT	RESOURCES
5.11 Document Blueprint Recommendations – Create a document that summarizes all blueprinting recommendations – Publish this document for approval by INS Senior Management Team and for communication to the field	• Final report for Shared Support Blueprint Recommendations: – Organization structure/support modules designed to staff level with accountabilities for key activities clarified – Assessment of proposed Shared Support organization structure against design criteria (workstep 5.2) – Process flows for future state—how various units work together – Staffing model and preliminary estimate of resources required—including high level impact analysis – Performance management system detailed—performance measures and process to ensure service levels are delivered – Shared Support “templates” or modules – Footprint transition plan—modifications desired, timing and approach – Complete implementation plan (see workstep 5.10)	• Staff as mentioned above

MODULE 6: BLUEPRINT IMMIGRANT SERVICES

WORKSTEP	OUTPUT	RESOURCES
6.1 Understand Immigrant Services Baseline – Study baseline data collected in Phase II A , work module 2.0 – Understand opportunities for improvement and implications for detailed blueprinting – Identify additional data desired to fill out Immigrant Services baseline—organization, workload and/or performance analyses – Collect additional data as needed	• Complete baseline of Immigrant Services including current organization structure, activity placement; workload and performance measures (e.g., staffing #s, detailed process flows, etc.)	• Part-time INS team of 6-8 Immigrant Services managers • Consulting resources—TBD
6.2 Develop Design Criteria for Services – Develop criteria to be used in evaluating alternative structures and determining activity placement – Tie services design criteria to four agency restructuring objectives (e.g., improve accountability)	• Design criteria for Immigrant Services design	• Same as above
6.3 Identify Activities that are Scale Sensitive or Require Highly Specialized Expertise – Define activities that fall into these categories – Identify how these functions are performed today and where – Highlight how these activities could be performed and by whom in the future structure	• Scale sensitive activities identified • List of functions requiring highly specialized expertise (e.g., adjudication of certain petitions) • Hypotheses regarding placement of these specialized activities	• Same as above
6.4 Determine Activities Required for HQ, Remote Services, and in Services Areas – Determine which activities are required in each location (scale sensitive or expertise required? support senior management?) – Draft high level process flow for how work would be performed (key linkages with other parts of the agency? work input and output?)	• Decisions on activity placement for HQ, Remote Services (i.e., Service Centers, Phone Centers) and Services Areas • Criteria for which activities can be conducted remotely vs. in Services Areas (i.e., types of petitions) • High level process flows for how these activities would be performed	• Same as above

MODULE 6: BLUEPRINT IMMIGRANT SERVICES (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
6.5 Determine Activities Required in Local Field Offices – Determine which activities are required in each location – Draft high level process flow for how work would be performed (key linkages with other parts of the agency? work input and output?)	• Decisions on activity placement for field operations offices • High level process flows for how these activities would be performed—including linkages with other INS units and outside parties (e.g., community groups)	• Same as above
6.6 Analyze Current Services Footprint, Highlight Areas for Improvement & Develop Office Structure – Identify geographies where changes to the existing footprint are desirable (e.g., City X needs a services presence for adjudications) – Develop "model services office" templates and approach to sizing, i.e., what are the different ways to provide different service activities—vans vs. full-service offices, etc.? – Outline plans to get from current footprint to desired state (transition plan, timing, approach)	• Services office "templates" • Footprint options and potential transition plans—modifications desired, timing and approach	• Same as above
6.7 Build Organization Charts and Highlight New Job Positions Required – Build organization charts for HQ, Services Areas, Remote Services, and field offices—define accountability for all key functions – Identify new job positions required and summarize roles, responsibilities and KSAs for each – Finalize process flows for activities in new structure (continuing work initiated in worksteps 6.4 and 6.5) – Identify performance metrics associated with key activities and positions	• Detailed description of recommended structure for Immigrant Services: – Organization structure to staff level with accountabilities for all key activities – Process flows for future state—how various units work together – Services performance metrics	• Same as above

MODULE 6: BLUEPRINT IMMIGRANT SERVICES (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
6.8 Estimate Resource Requirements and Staff Impact – Estimate staff requirements for new and other significantly changed positions – Determine impact on current staff – Identify other job opportunities for impacted positions (with HR team) – Work with HR team to develop the process by which staff will be transitioned to new positions	• Staffing plan—requirements, impact analysis on existing staff (hand-off to Restructuring Office HR team)	• Same as above
6.9 Develop Implementation Plan – Define expected performance improvements (e.g., cycle time) – Develop implementation approach: worksteps, timeline, key milestones and people responsible – Brainstorm potential risks/barriers to successful implementation – Provide preliminary estimate of implementation costs	• Complete implementation plan, including: – Anticipated future performance (i.e., improvements or benefits expected with restructuring) – Implementation approach (e.g., pilot plan): worksteps, timeline, key milestones and people responsible – Potential risks/barriers – Preliminary implementation cost estimate	• Same as above
6.10 Document Blueprint Recommendations – Create a document that summarizes all blueprinting recommendations – Publish this document for approval by INS Senior Management Team and for communication to the field	• Final report for Services Blueprint Recommendations: – Organization structure designed to staff level with accountabilities for key activities clarified – Assessment of proposed organization structure against design criteria (workstep 6.2) – Process flows for future state—how units work together – Staffing plan—requirements, impact on existing staff – Services performance metrics – Services office “templates” – Footprint options and potential transition plans—modifications desired, timing and approach – Complete implementation plan (see workstep 6.9)	• Same as above

MODULE 7: BLUEPRINT ENFORCEMENT OPERATIONS

WORKSTEP	OUTPUT	RESOURCES
7.1 Understand Enforcement Operations Baseline – Study baseline data collected in Phase II A , work module 2.0 – Understand opportunities for improvement and implications for detailed blueprinting – Identify additional data desired to fill out Enforcement Operations baseline—organization, workload and/or performance analyses – Collect additional data as needed	• Complete baseline of Enforcement Operations including current organization structure, activity placement, workload and performance measures (e.g., staffing #s, detailed process flows, etc.)	• Part-time INS team of 6-8 Enforcement Operations managers • Consulting resources—TBD
7.2 Develop Design Criteria for Enforcement – Develop set of criteria to be used in evaluating alternative structures and determining activity placement – Tie enforcement design criteria to four agency restructuring objectives (e.g., improve accountability)	• Design criteria for Enforcement Operations design	• Same as above
7.3 Identify Activities that are Scale Sensitive or Require Highly Specialized Expertise – Define activities that fall into these categories – Identify how these functions are performed today and where – Highlight how these activities could be performed and by whom in the future structure	• Scale sensitive activities identified • List of functions requiring highly specialized expertise • Hypotheses regarding placement of these specialized activities	• Same as above
7.4 Determine Activities Required at HQ and in Enforcement Areas – Determine which activities are required in each location (scale sensitive or expertise required? support senior management?) – Draft high level process flow for how work would be performed (key linkages with other parts of the agency? work input and output?)	• Decisions on activity placement for HQ and Enforcement Areas • High level process flows for how these activities would be performed	• Same as above

MODULE 7: BLUEPRINT ENFORCEMENT OPERATIONS (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
7.5 Determine Activities Required in Local Field Offices – Determine which activities are required in each location – Draft high level process flow for how work would be performed (key linkages with other parts of the agency? work input and output?)	• Decisions on activity placement for field operations offices • High level process flows for how these activities would be performed—including linkages with other INS units and outside law enforcement agencies	• Same as above
7.6 Analyze Current Enforcement Footprint, Highlight Areas for Improvement & Develop Office Structure – Identify geographies where changes to the existing footprint are desirable (e.g., City X needs an enforcement presence for investigations) – Develop “model enforcement office” templates and approach to sizing—What constitutes a SAC versus a RAC (sub-office)? – Outline plans to get from current footprint to desired state (transition plan, timing, approach)	• Enforcement office “templates” • Footprint options and potential transition plans—modifications desired, timing and approach	• Same as above
7.7 Build Organization Charts and Highlight New Job Positions Required – Build organization charts for HQ, Enforcement Areas and field offices—define accountability for all key functions – Identify new job positions required providing a summary of roles, responsibilities and KSAs for each – Finalize process flows for activities in new structure (continuing work initiated in worksteps 7.4 and 7.5) – Identify performance metrics associated with key activities and positions	• Detailed description of recommended structure for Enforcement Operations: – Organization structure to staff level with accountabilities for all key activities – Process flows for future state—how various units work together – Enforcement performance metrics	• Same as above

MODULE 7: BLUEPRINT ENFORCEMENT OPERATIONS (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
7.8 Estimate Resource Requirements and Staff Impact – Estimate staff requirements for new and other significantly changed positions – Determine impact on current staff – Identify other job opportunities for impacted positions (with HR team) – Work with HR team to develop the process by which staff will be transitioned to new positions	• Staffing plan—requirements, impact analysis on existing staff (hand-off to Restructuring Office HR team)	• Same as above
7.9 Develop Implementation Plan – Define expected performance improvements (e.g., improved case closure rates) – Develop implementation approach: worksteps, timeline, key milestones and people responsible – Brainstorm potential risks/barriers to successful implementation – Provide a preliminary estimate of implementation costs	• Complete implementation plan, including: – Anticipated future performance (i.e., improvements or benefits expected with restructuring) – Implementation approach (i.e., pilot vs. national roll-out): worksteps, timeline, key milestones and people responsible – Potential risks/barriers – Preliminary implementation cost estimate	• Same as above

MODULE 7: BLUEPRINT ENFORCEMENT OPERATIONS (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
7.10 Document Blueprint Recommendations – Create a document that summarizes all blueprinting recommendations – Publish this document for approval by INS Senior Management Team and for communication to the field	• Final report for Enforcement Blueprint Recommendations: – Organization structure designed to staff level with accountabilities for key activities clarified – Assessment of proposed organization structure against design criteria (workstep 7.2) – Process flows for future state—how various units work together – Staffing plan—requirements, impact analysis on existing staff – Enforcement performance metrics – Enforcement office “templates” – Footprint transition plan—modifications desired, timing and approach – Complete implementation plan (see workstep 7.9)	• Same as above

MODULE 8: BLUEPRINT STRATEGY

WORKSTEP	OUTPUT	RESOURCES
8.1 Understand Strategy Baseline – Study baseline data collected in Phase II A , Module 2.0 – Understand opportunities for improvement and implications for detailed blueprinting – Identify additional data desired to fill out Strategy baseline—organization, workload and/or performance analyses – Collect additional data as needed	• Complete baseline of Strategy including current organization structure (OPP), activity placement, workload and performance measures (e.g., staffing #s, detailed process flows, etc.)	• Part-time INS team of 6-8 Strategy managers • Consulting resources—TBD
8.2 Develop Design Criteria for Strategy – Develop criteria to be used in evaluating alternative structures and determining activity placement – Tie strategy design criteria to four agency restructuring objectives (e.g., improve accountability)	• Decision criteria for Strategy design	• Same as above
8.3 Identify Activities That Require Highly Specialized Expertise – Define activities that require significant expertise – Identify how functions are performed today and where – Highlight how these activities could be performed and by whom in the future structure	• List of functions requiring highly specialized expertise (e.g., adjudication of certain petitions) • Hypotheses regarding placement of these specialized activities	• Same as above
8.4 Design Process for Research and Development (and Other Key Processes TBD) – Identify how R&D is performed today – Benchmark commercial and governmental best practices – Design new process flow to ensure tie with INS strategic goals and clear ownership of operations within operational units – Clearly delineate roles and responsibilities, e.g., at what point does R&D stop and operations begin? who participates in R&D?	• High level process flows for how R&D (and other key processes) would be performed—including inputs/outputs, hand-offs, roles and responsibilities, and tools/IRM requirements	• Same as above

MODULE 8: BLUEPRINT STRATEGY (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
8.5 Build Organization Charts and Highlight New Job Positions Required – Build Strategy organization charts—define accountability for all key functions – Identify new job positions required providing a summary of roles, responsibilities and KSAs for each – Finalize process flows for activities in new structure (continuing work initiated in workstep 8.4) – Identify performance metrics associated with key activities and positions	• Detailed description of recommended structure for Strategy: – Organization structure to staff level with accountabilities for all key activities – Process flows for future state—how various units work together – Strategy performance metrics	• Same as above
8.6 Estimate Resource Requirements and Staff Impact – Estimate staff requirements for new and other significantly changed positions – Determine impact on current staff – Identify other job opportunities for impacted positions (with HR team) – Work with HR team to develop the process by which staff will be transitioned to new positions	• Staffing plan—requirements, impact analysis on existing staff (hand-off to Restructuring Office HR team)	• Same as above
8.7 Develop Implementation Plan – Define expected performance improvements (e.g., cycle time for R&D) – Develop implementation approach: worksteps, timeline, key milestones and people responsible – Brainstorm potential risks/barriers to successful implementation – Provide a preliminary estimate of implementation costs	• Complete implementation plan, including: – Anticipated future performance (i.e., improvements or benefits expected with restructuring) – Implementation approach (i.e., pilot vs. national roll-out): worksteps, timeline, key milestones and people responsible – Potential risks/barriers – Preliminary implementation cost estimate	• Same as above

MODULE 8: BLUEPRINT STRATEGY (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
8.8 Document Blueprint Recommendations – Create a document that summarizes all blueprinting recommendations – Publish this document for approval by INS Senior Management Team and for communication to the field	• Final report for Strategy Blueprint Recommendations: – Organization structure designed to staff level with accountabilities for key activities clarified – Assessment of proposed organization structure against design criteria (workstep 8.2) – Process flows for future state—how various units work together – Staffing plan—requirements, impact analysis on existing staff – Strategy performance metrics – Complete implementation plan (see workstep 8.7)	• Same as above

MODULE 9: DESIGN INTEGRATION REQUIREMENTS

WORKSTEP	OUTPUT	RESOURCES
9.1. Understand Current Points of Integration – Study baseline data collected in work module 2.0 – Identify key points of integration today (Where does integration take place? For which types of activities?) – Detail how integration is achieved (People? Process? Technology?)	• Identification of integration needs—which activities require integration • Understanding of how integration is achieved today—people, process or technology	• Team members drawn from other Phase II B teams • Consulting resources—TBD
9.2 Identify Additional Integration Requirements Inherent in New Organization – Review high-level structure—framework for change – Interview other Phase II teams (i.e., Shared Support, Immigrant Services, Enforcement Operations) to glean additional insight about integration needed – Summarize findings—current points of integration and those required in new structure	• Complete inventory of integration requirements—in existing and future states	• Same as above
9.3 Design Integrating Mechanisms for New Structure – Brainstorm solutions to achieve integration (people, process, technology?) – Detail recommended solution as appropriate (e.g., draw new process flow, design new job position required) – Identify additional tools or resources required in these solutions – Design performance management system (how to ensure that integration takes place and how to measure effectiveness?)	• Proposed solutions for each integration requirement including – Detailed recommendation – Description of tools/resources required – Design of performance management system	• Same as above

MODULE 9: DESIGN INTEGRATION REQUIREMENTS (CONTINUED)

WORKSTEP	OUTPUT	RESOURCES
9.4 Solicit Feedback on Proposed Solutions & Modify Recommendations Accordingly – Review recommendations with other Phase II teams and senior management – Make revisions to recommendations as required	• Revised solutions for each integration requirement including: – Detailed recommendation – Description of tools/resources required – Design of performance management system	• Same as above
9.5 Develop Implementation Plan – Define expected performance improvements (e.g., cycle time) – Develop implementation approach: worksteps, timeline, key milestones and people responsible – Brainstorm potential risks/barriers to successful implementation – Provide a preliminary estimate of implementation costs	• Complete implementation plan, including: – Anticipated future performance (i.e., improvements or benefits expected with restructuring) – Implementation approach (i.e., pilot vs. national roll-out): worksteps, timeline, key milestones and people responsible – Potential risks/barriers – Preliminary implementation cost estimate	• Same as above

MODULE 10: IRM INTEGRATION AND DESIGN

WORKSTEPS	OUTPUT	RESOURCES
10.1 Understand Current Situation—Baseline of Systems, Architecture, and Projects in Place Today – Identify current IRM systems in use and their functionality – Understand linkages between systems/databases by key process – Inventory projects underway, including project scope, goals, deliverable and timeline – Identify preliminary “gaps” in current IRM infrastructure	• Understanding of current architecture and systems in place • Identification of issues and problems with current systems	• STARS contractors and INS IRM staff • Team members drawn from other Phase II B teams • Other Consulting resources—TBD
10.2 Gather IRM Changes From Blueprinting Teams – Outline process by which IRM representatives are involved with blueprinting teams to identify I/T implications (i.e., template vs. liaison vs. full-time team member) – Develop templates for collecting IRM changes – Aggregate IRM changes required from other teams	• Methodology for collecting input, aggregating information/requirements and prioritizing • Aggregated list of IRM changes	• Staff as mentioned above
10.3 Analyze Proposed IRM Changes – Regroup proposed changes as necessary (e.g., combining similar changes proposed by different teams) – Develop criteria for prioritizing IRM requests across various teams (e.g., business case, fit with current environment, etc.) – Prioritize IRM efforts, including ongoing projects and proposed changes, to develop an integrated IRM list	• Summary of IRM modifications and new requirements	• Staff as mentioned above
10.4 Develop Implementation Plan – Define expected performance improvements (e.g., cycle time) – Develop implementation approach: worksteps, timeline, key milestones and people responsible – Brainstorm potential risks/barriers to successful implementation – Provide a preliminary estimate of implementation costs	• Complete implementation plan, including: – Anticipated future performance levels – Implementation approach (e.g., pilot): worksteps, timeline, key milestones and people responsible – Potential risks/barriers – Preliminary implementation cost estimate	• Staff as mentioned above