

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

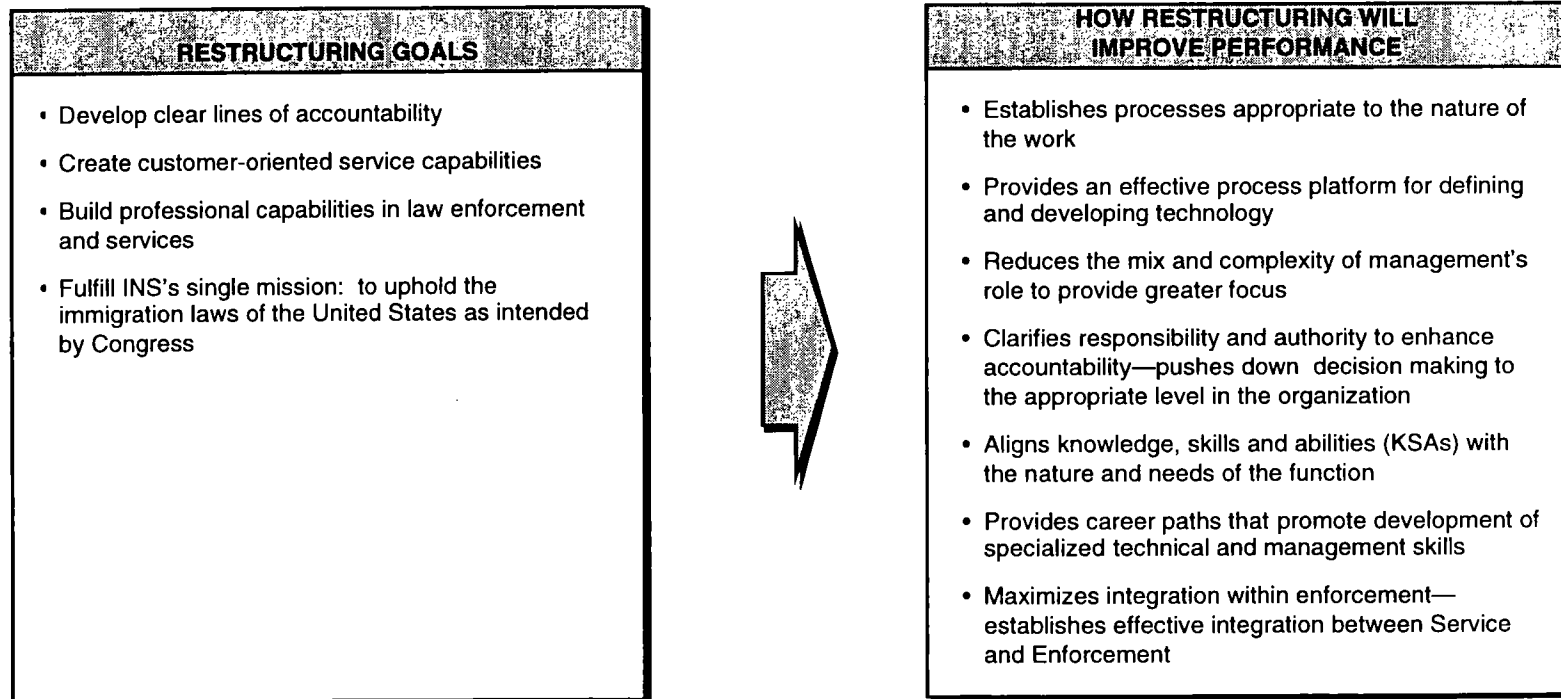
- While the catalyst for change was driven by external forces ...
 - Huge increases in demand for services—naturalization applications doubled within the last five years
 - Complex immigration laws and recent legislative changes at the state and federal levels
 - Increasing public and political pressures 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

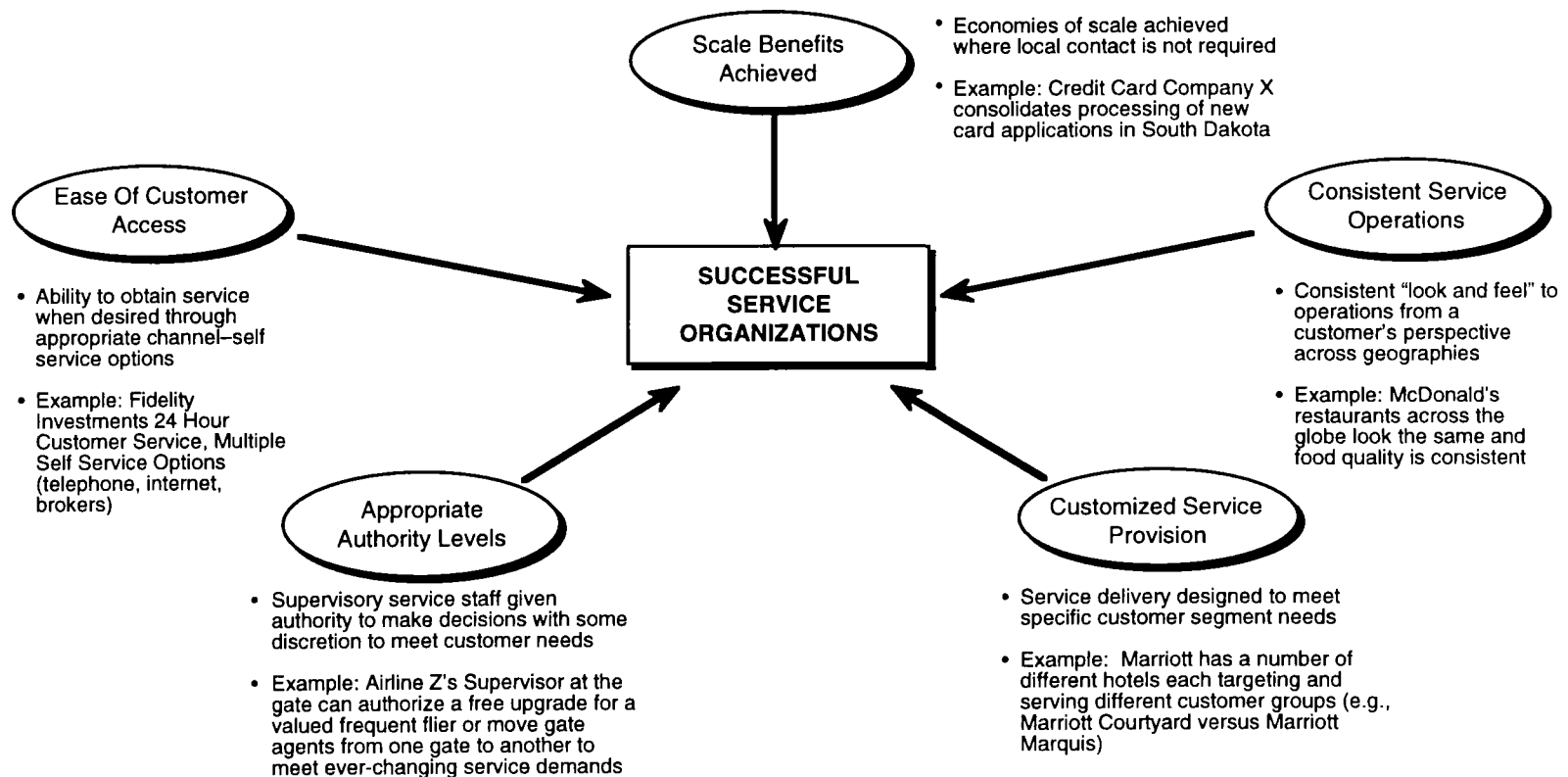


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DETAILS OF HOW PERFORMANCE WILL BE IMPROVED IN EACH DIVISION (e.g., IMMIGRANT SERVICES) ARE INCLUDED IN APPENDIX A

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

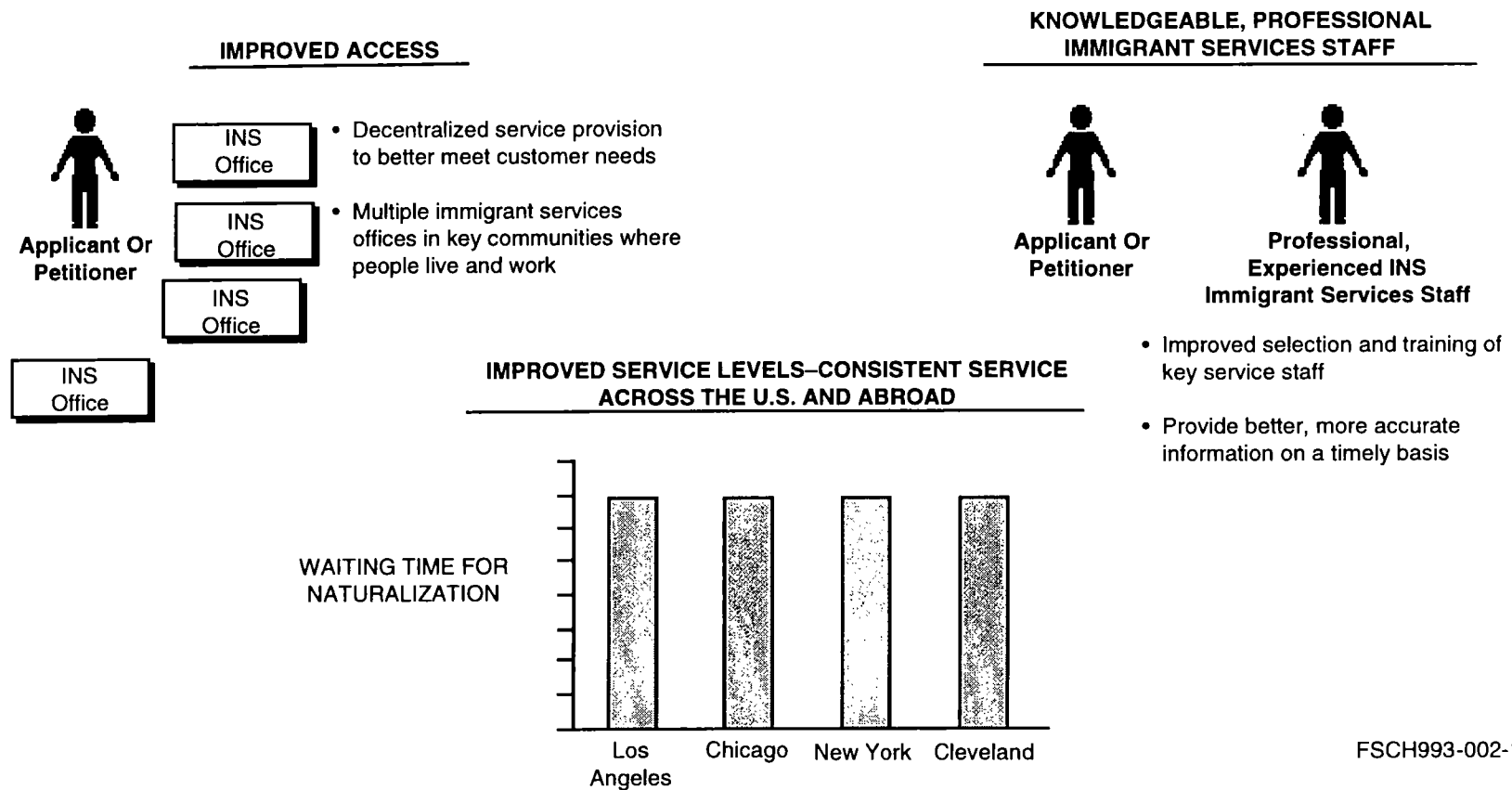


Source: BA&H Intellectual Capital

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

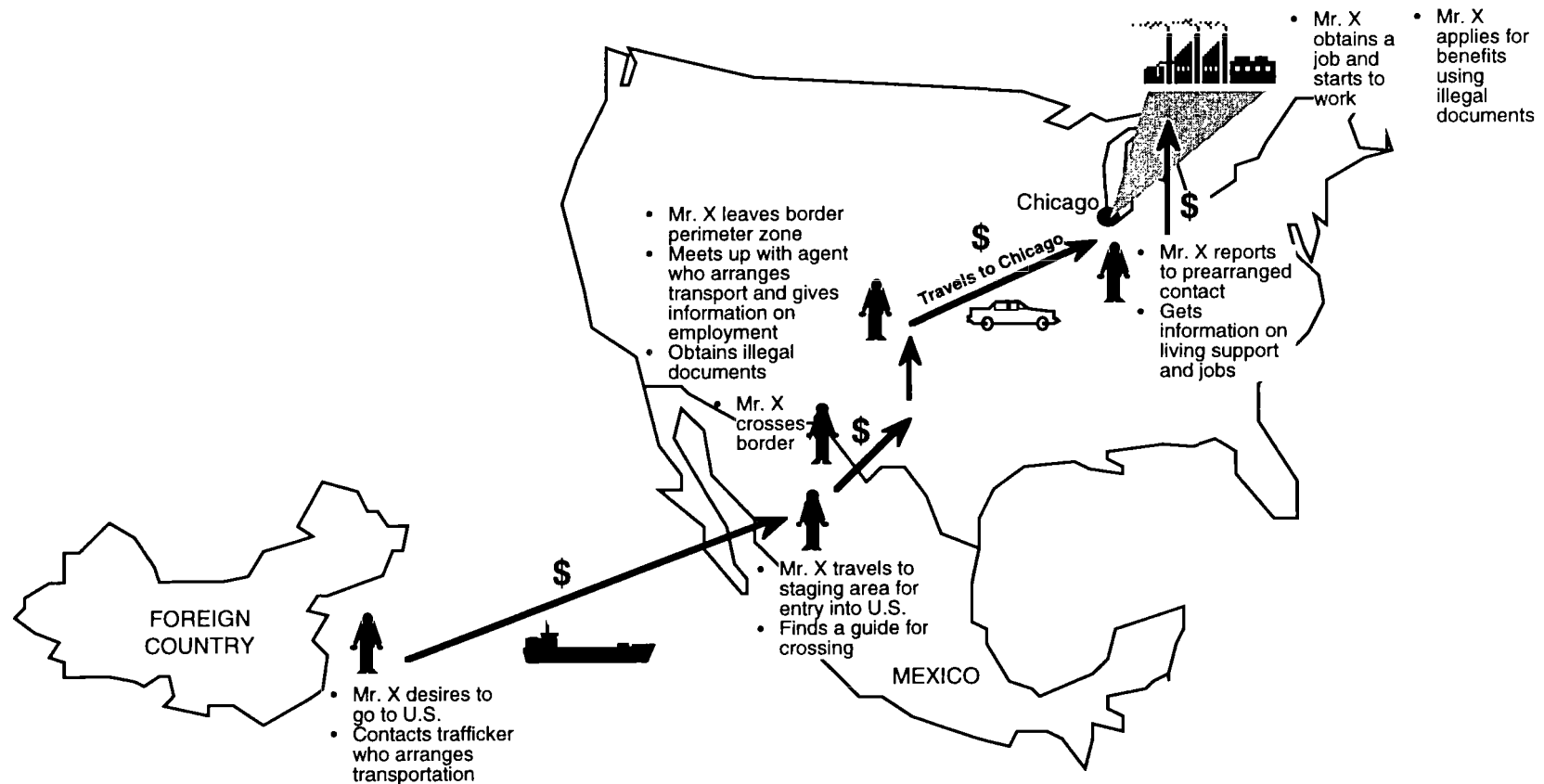
RESTRUCTURING BENEFITS—SERVICE



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

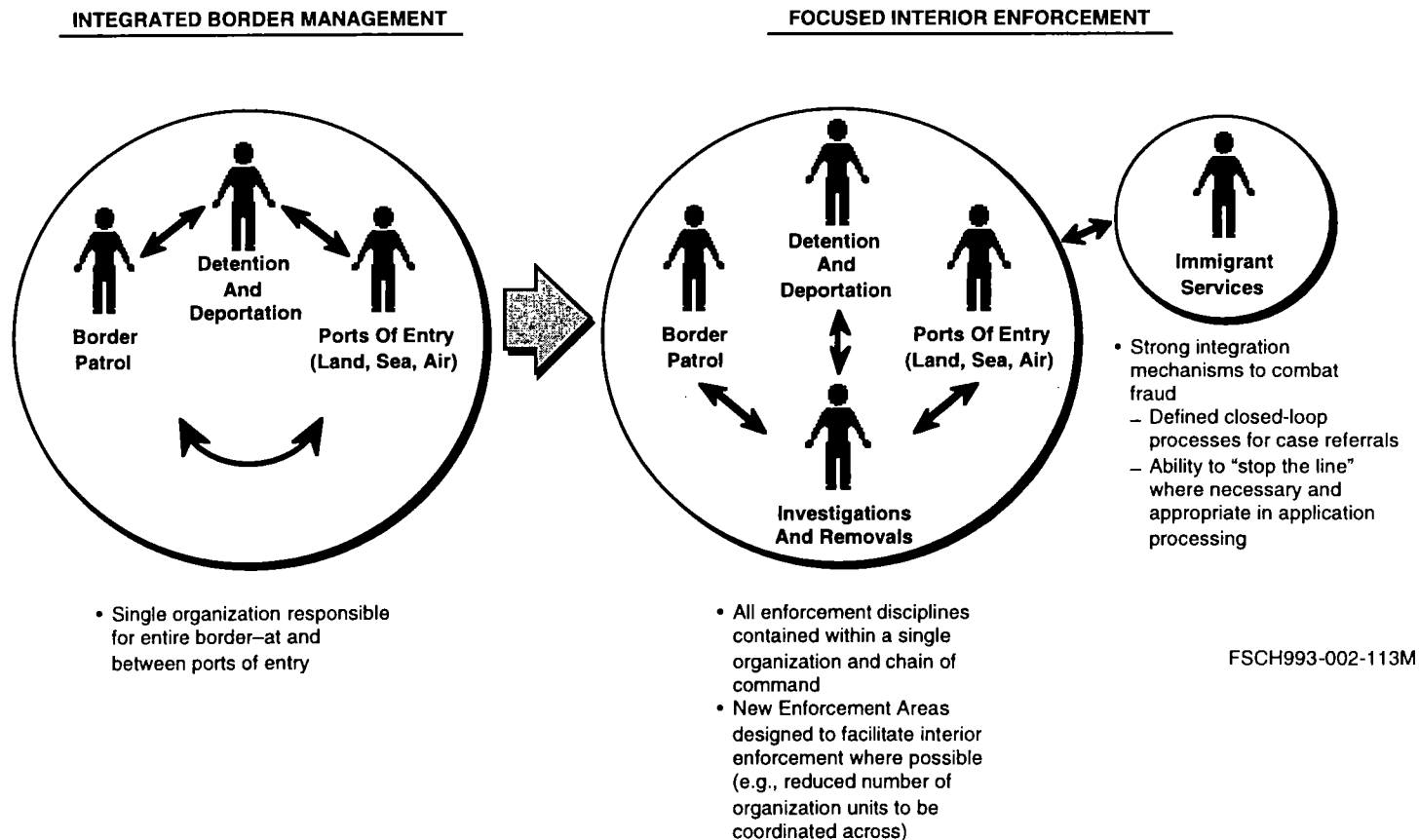
TARGETING ANTI-SMUGGLING : THE NEED FOR AN INTEGRATED SOLUTION



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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

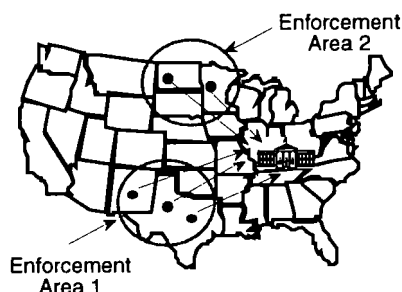
* Based on analysis of BAH experience, benchmark interviews, literature searches

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

ILLUSTRATIVE

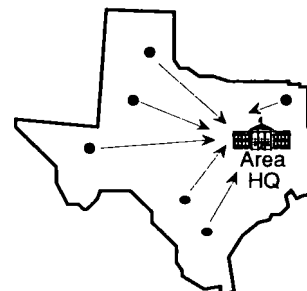
SHARED SERVICES CONCEPT (As Applied To INS)

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

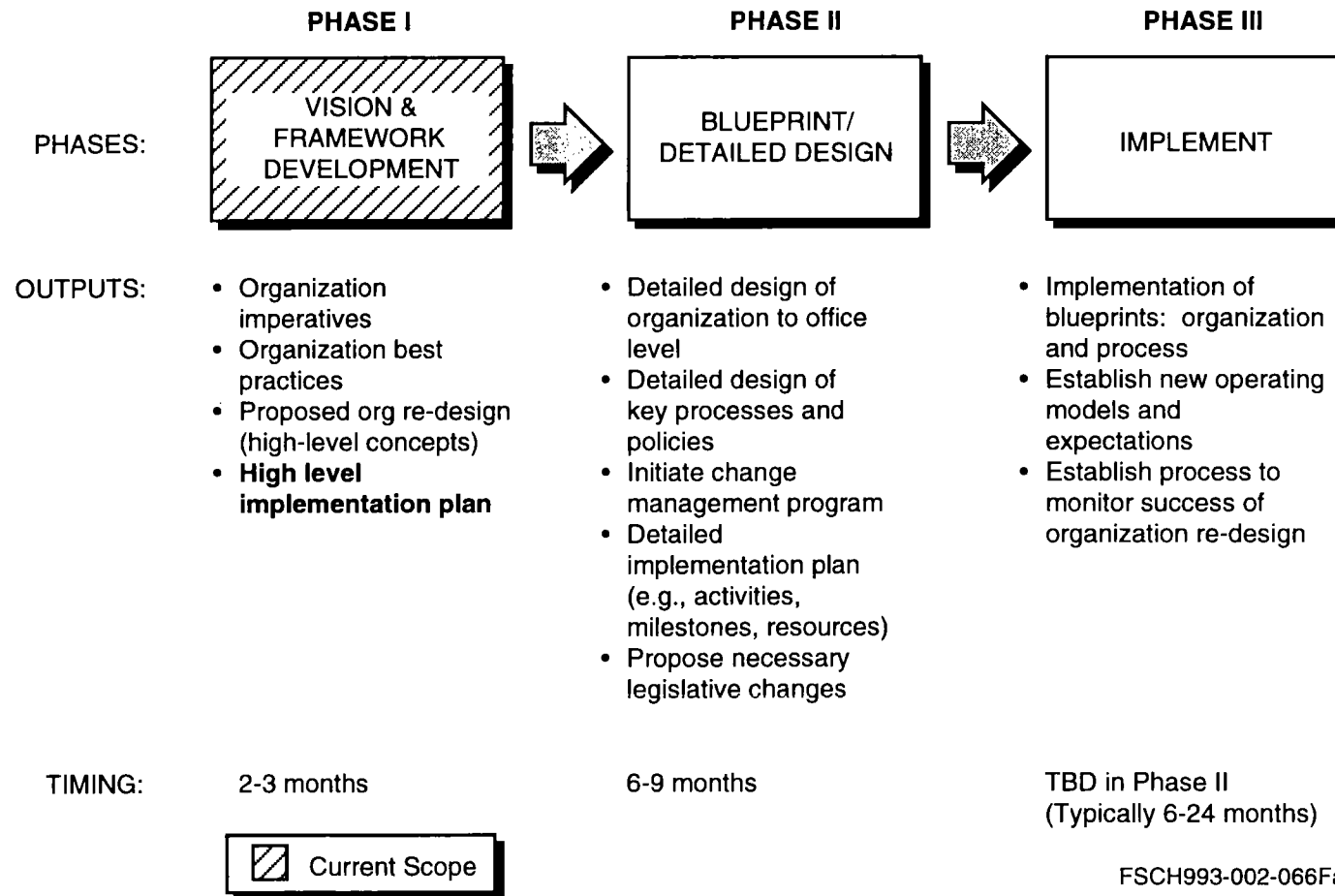
- Activities that require face-to-face contact
- Examples might include:
 - HR counseling
 - Basic procurement activities

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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



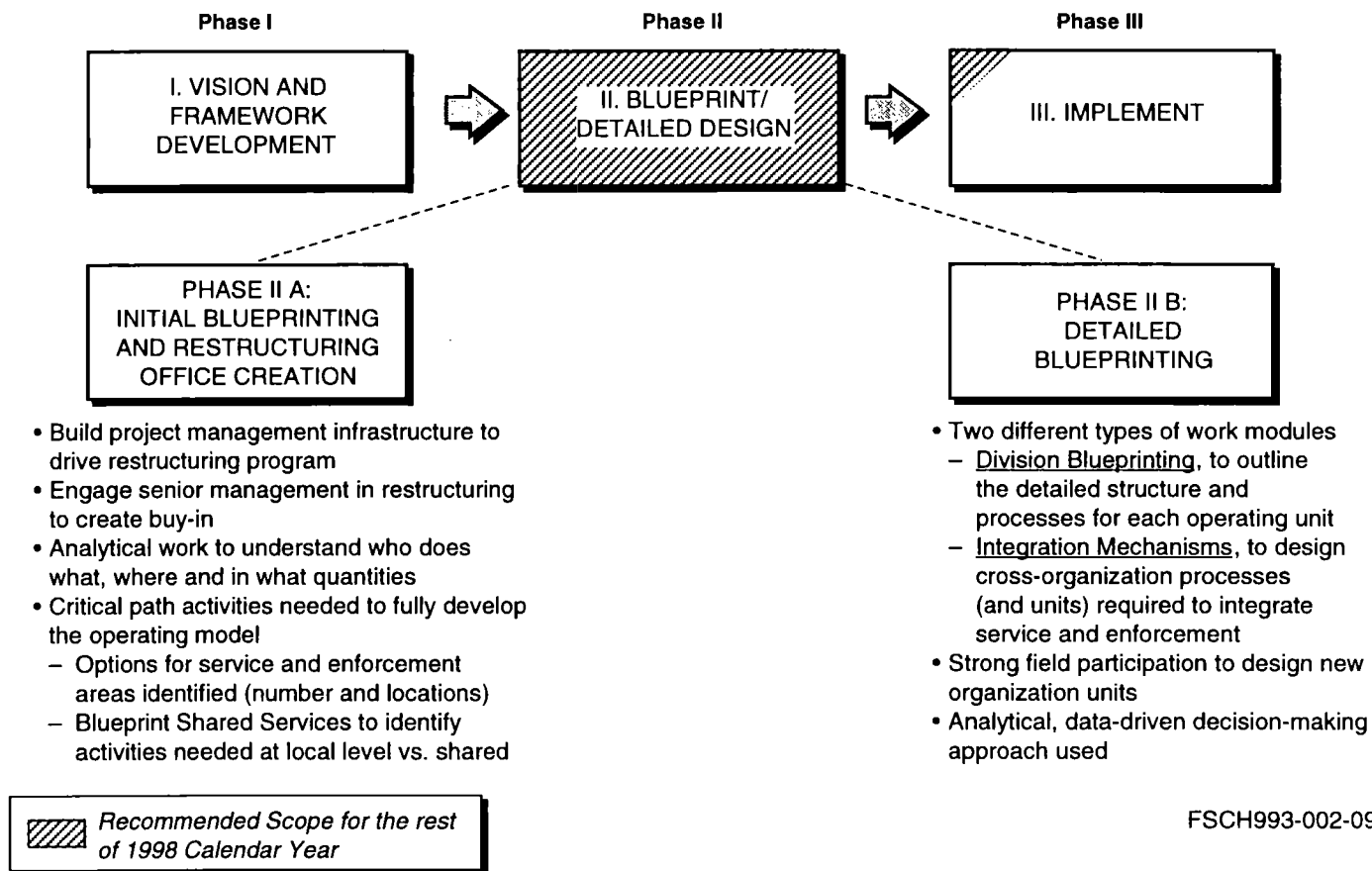
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PHASE I FOCUSED ON THE “WHAT AND WHY” OF CHANGES NEEDED IN THE CURRENT ORGANIZATION—PHASE II WILL PROVIDE THE “HOW”

- 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

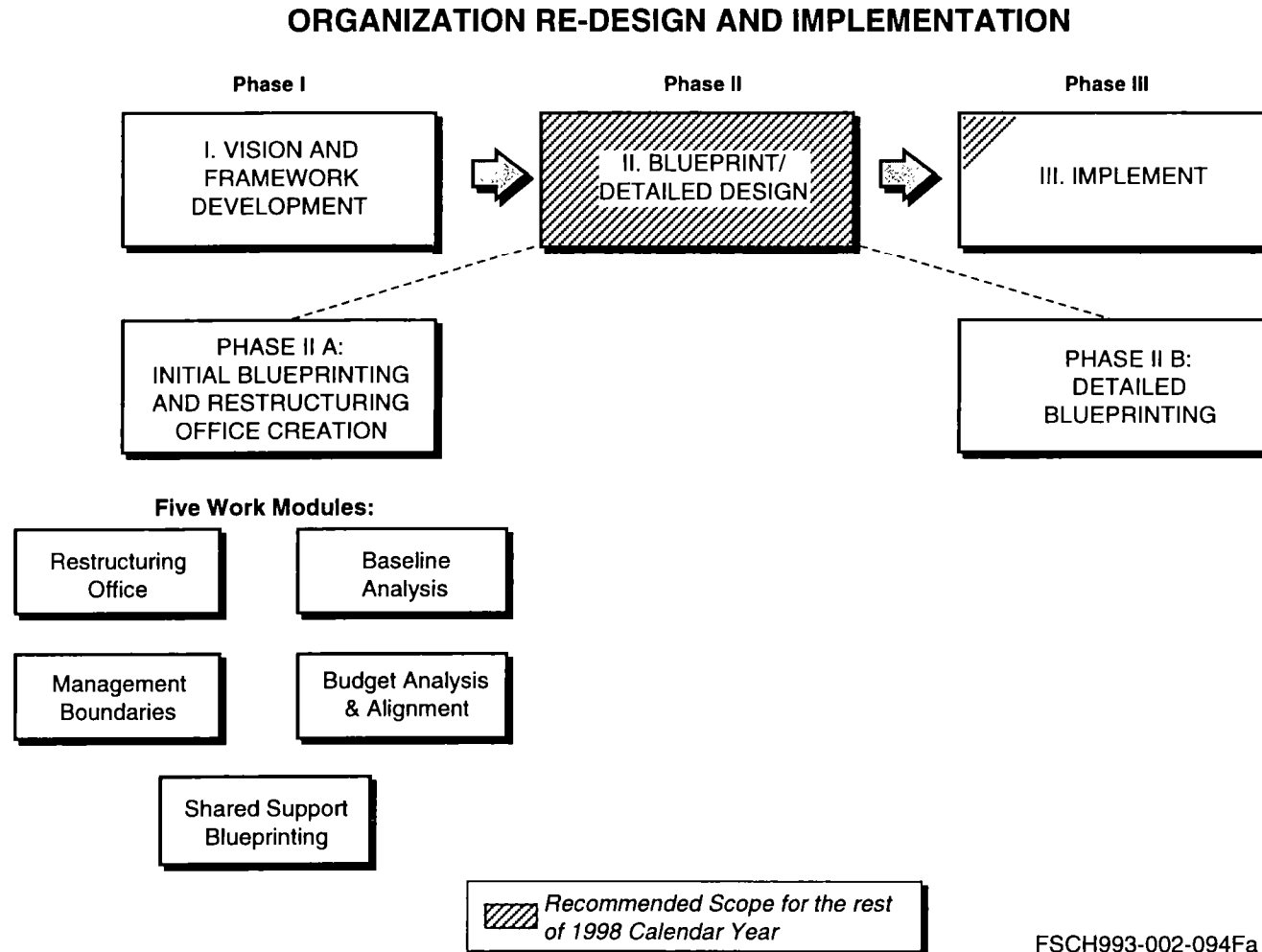
WE SUGGEST A TWO-STEP APPROACH TO PHASE II—BASELINE ANALYSIS, RESTRUCTURING OFFICE CREATION AND SHARED SUPPORT BLUEPRINTING FIRST, FOLLOWED BY OTHER DESIGN LATER

ORGANIZATION RE-DESIGN AND IMPLEMENTATION



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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)

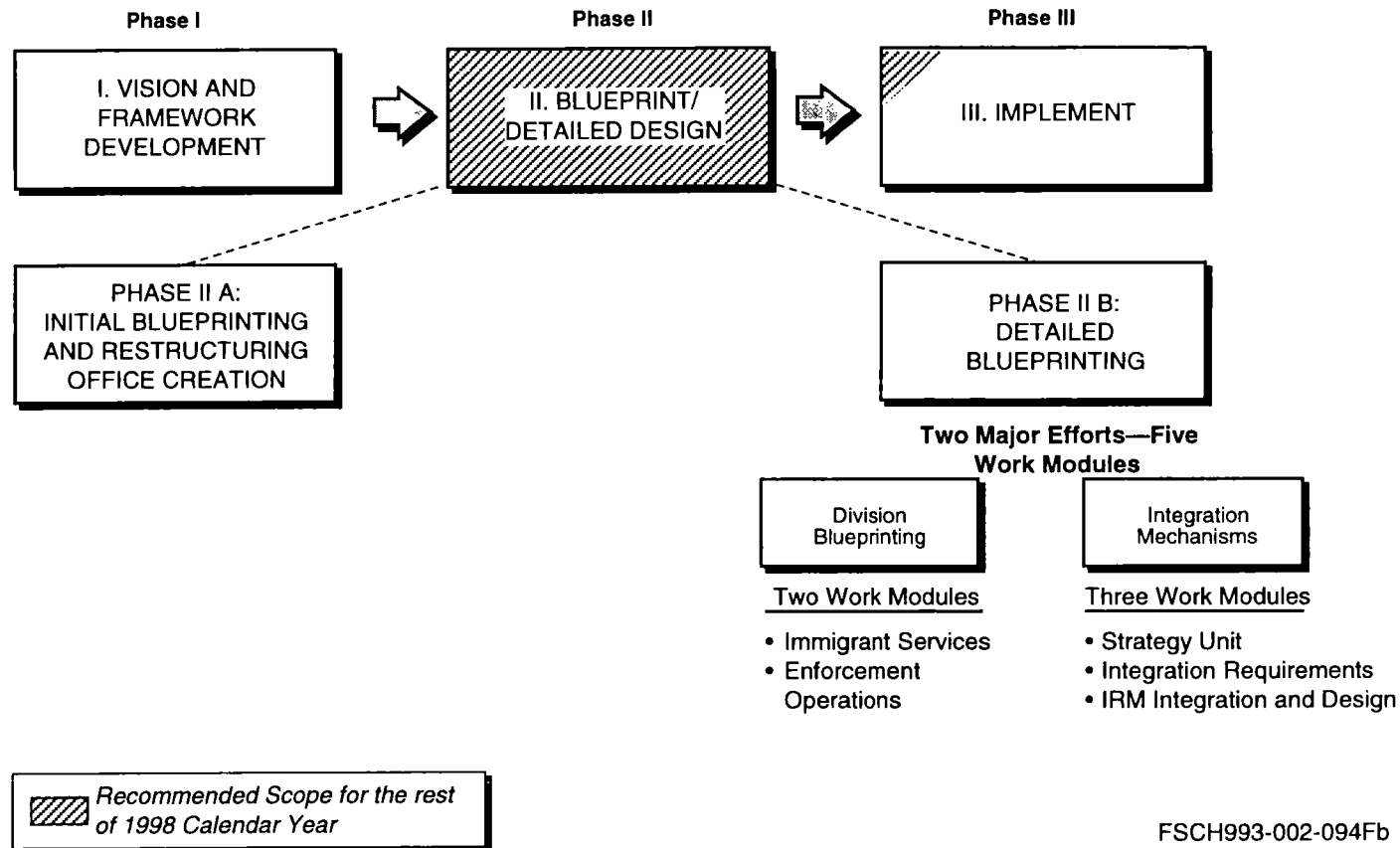
WE PROPOSE FIVE WORK MODULES IN PHASE II A... (CONTINUED)

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



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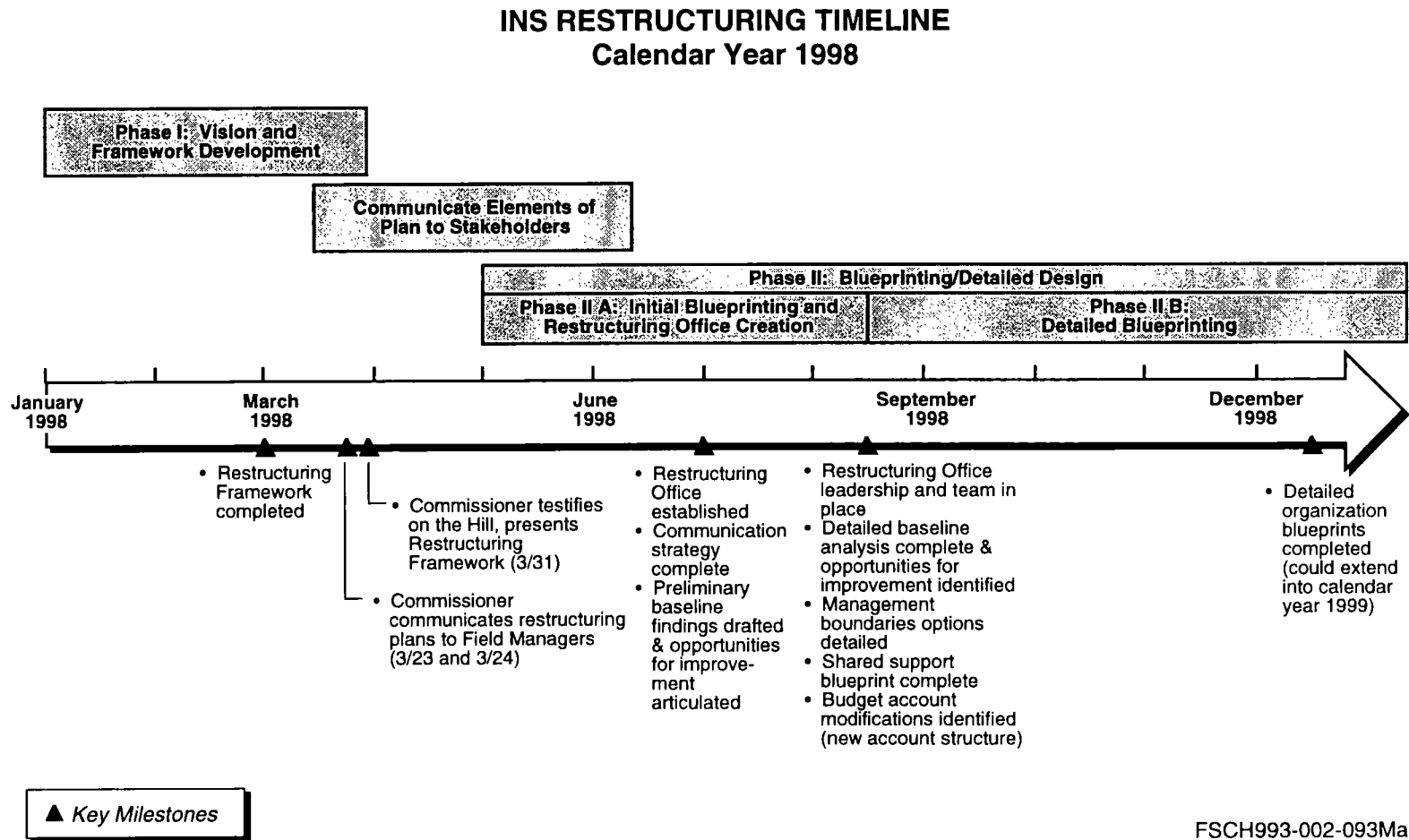
WORK ON THESE FIVE MODULES WOULD BEGIN AFTER THE SHARED SUPPORT BLUEPRINT AND KEY ANALYSES ARE COMPLETED IN PHASE II A

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



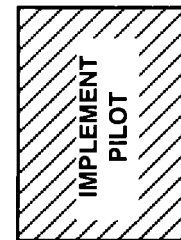
THIS TIMING IS BASED ON THE ASSUMPTION THAT PHASE II BEGINS BY MID-MAY 1998

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

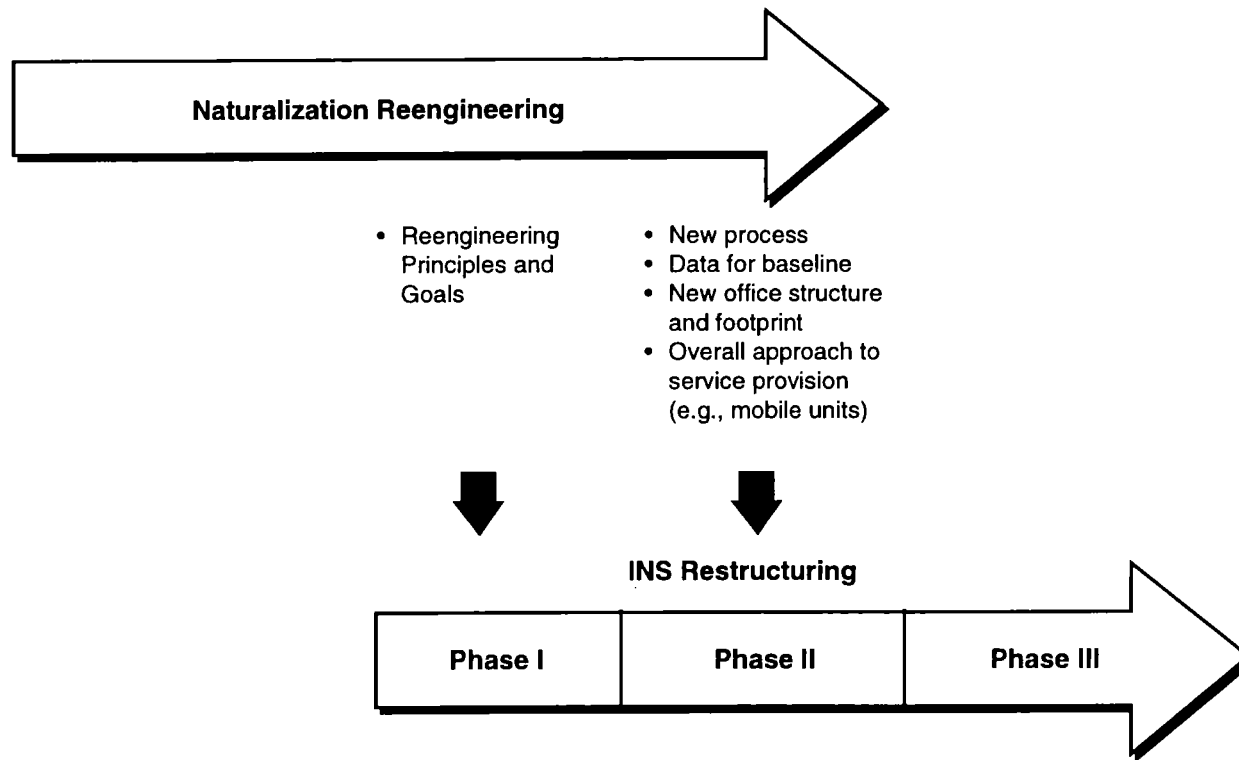
Phase III

* 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 a 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

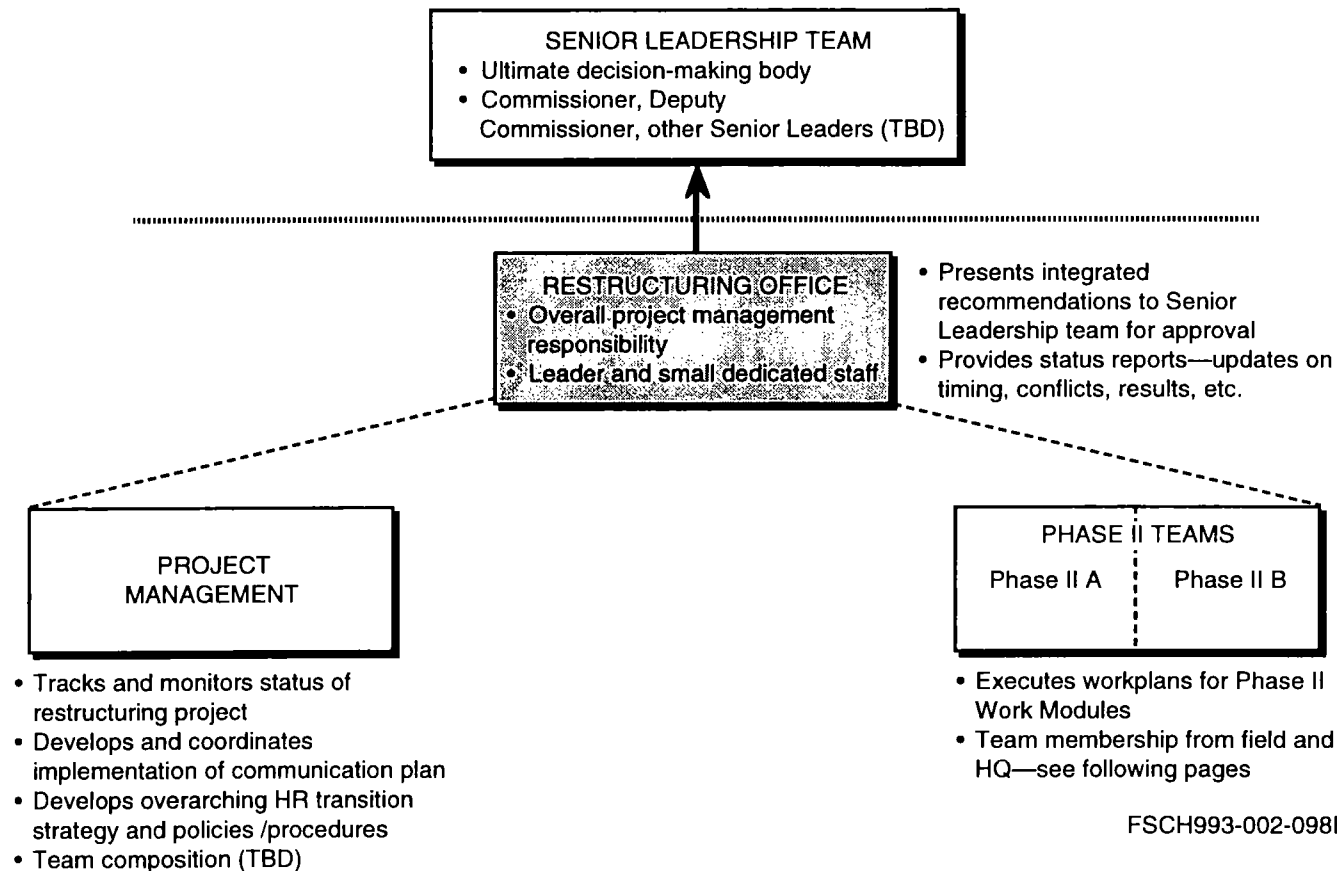
- How should the overall restructuring process be managed?
- Who should lead the project management office? What additional resources will be required?
- What is the best way to effect a cultural transformation? What change management processes need to be established? What type of change management training 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

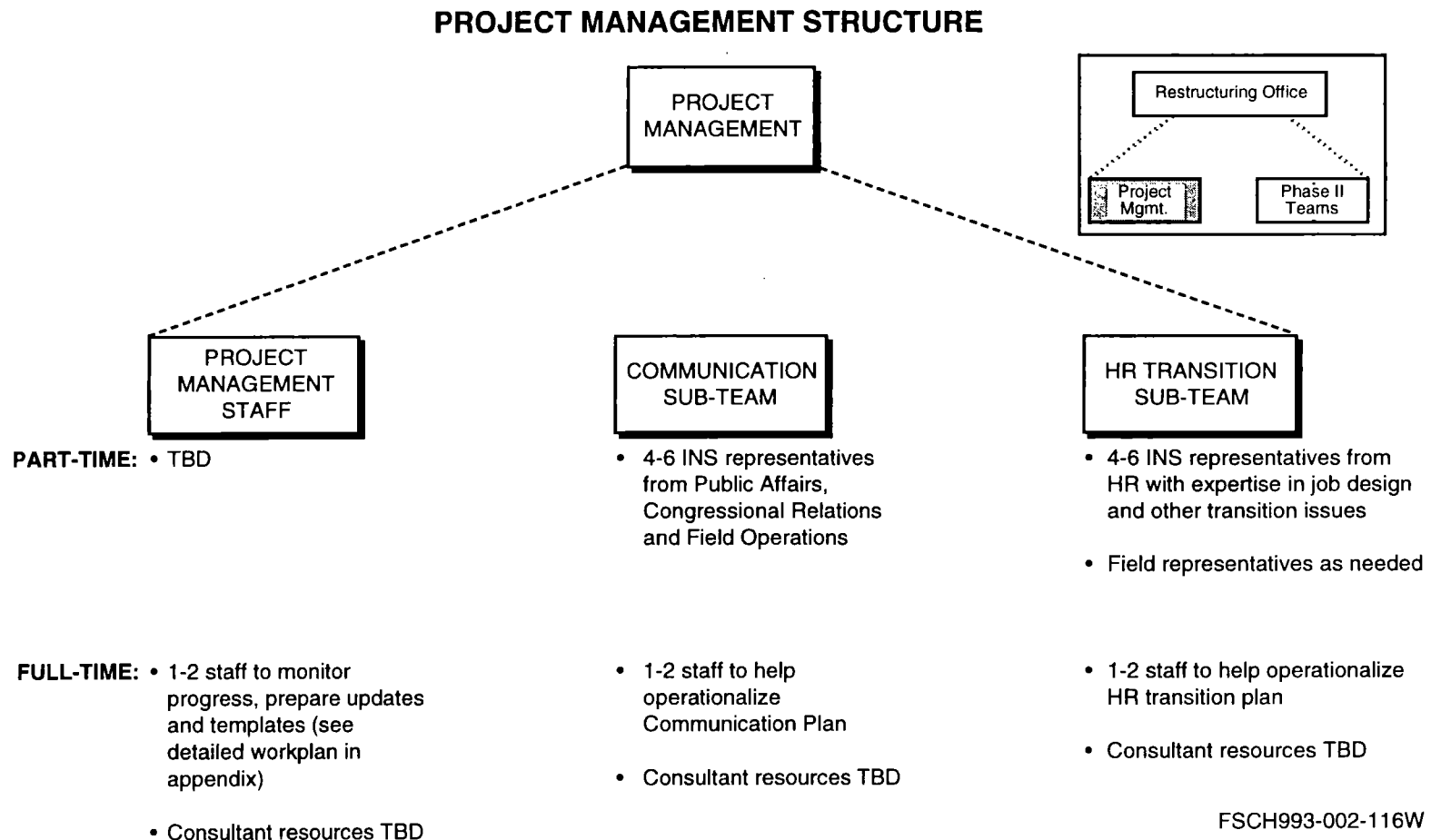
- Establish office to lead the restructuring effort
 - Clear source of direction for INS staff
 - Singularly accountable for managing the effort—worksteps completed on-time, conflicts identified and resolved, etc.
- Create teams up-front to manage communication and HR transition issues—these will be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



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

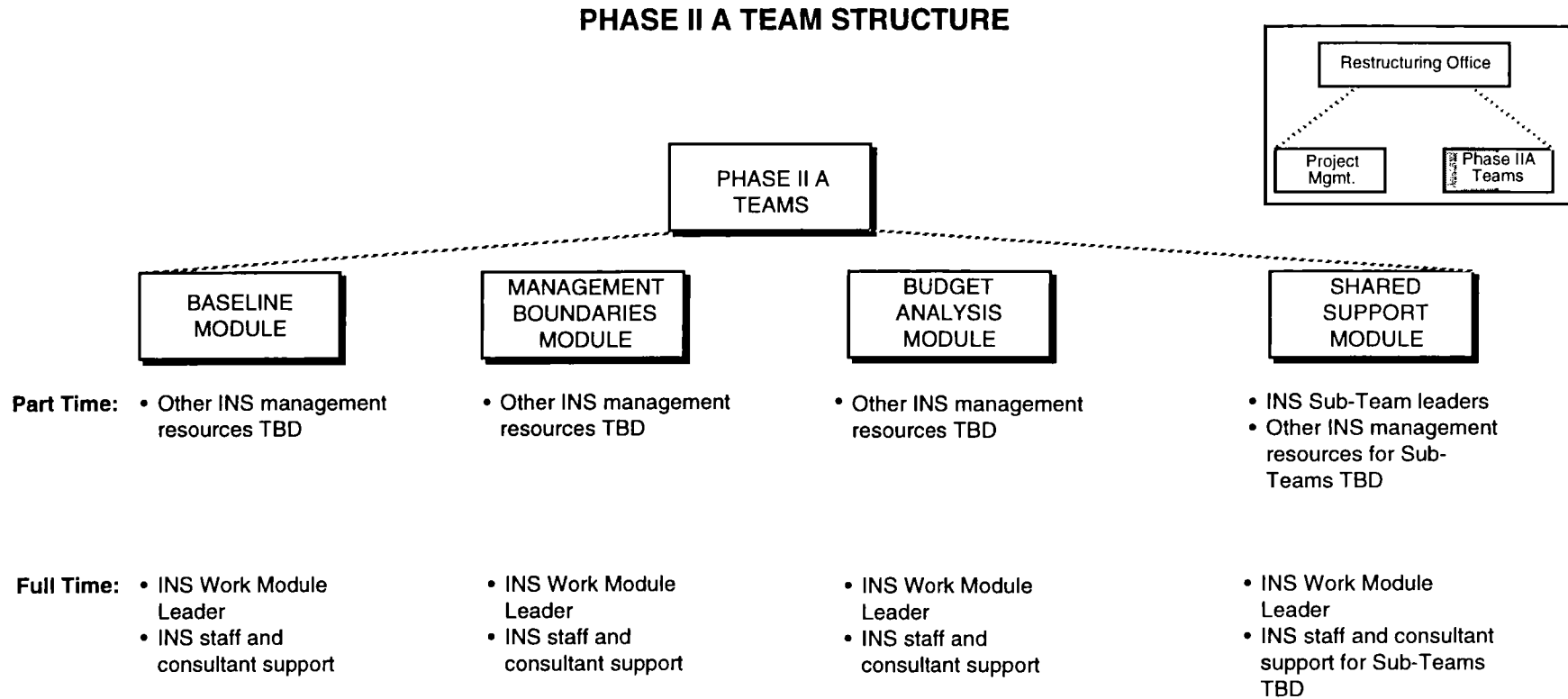


THESE SUB-TEAMS WORK ON INITIATIVES THAT IMPACT THE ENTIRE EFFORT AND ARE CRITICAL TO THE SUCCESS OF RESTRUCTURING

- 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

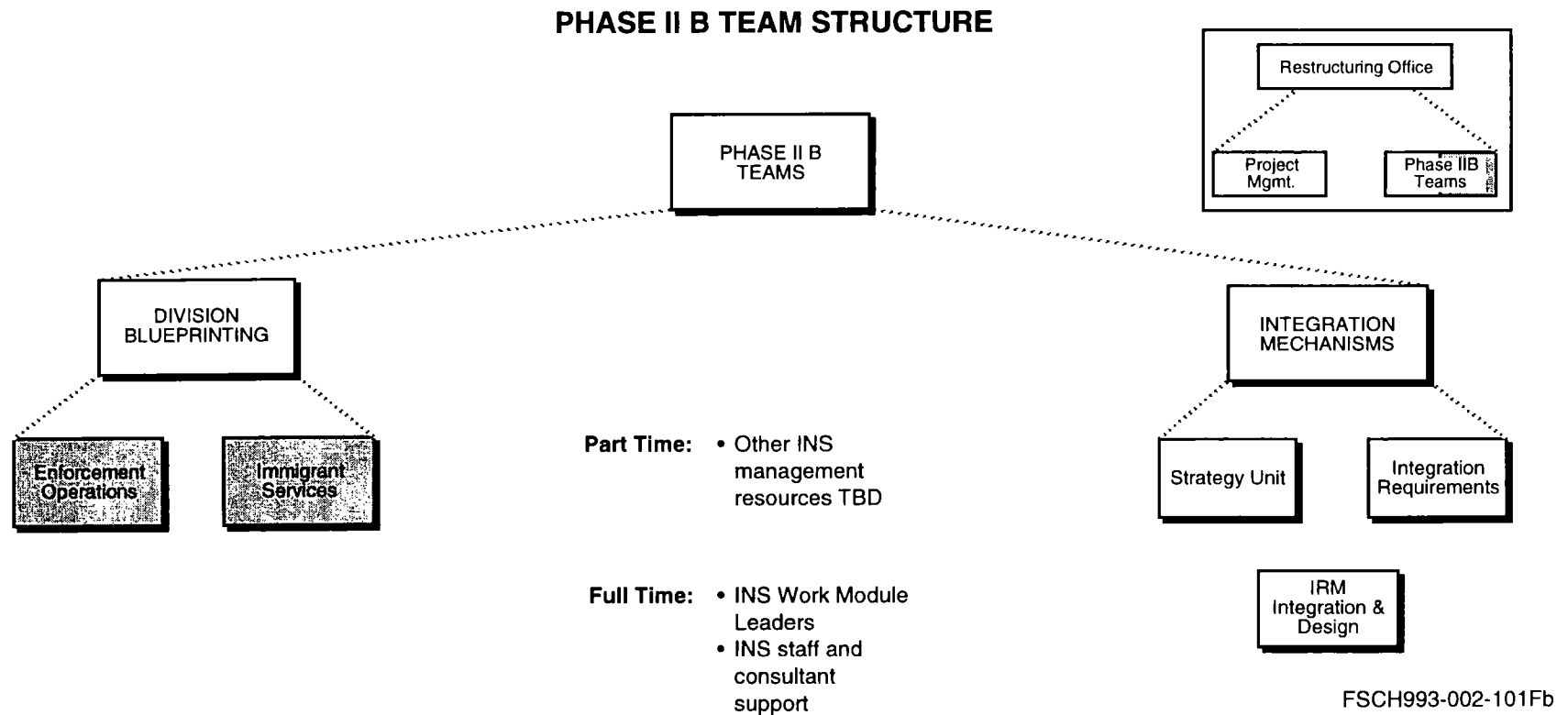
THE RESTRUCTURING OFFICE ALSO OVERSEES THE WORK OF FOUR BLUEPRINTING TEAMS IN PHASE II A...



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Phase II A ... Restructuring Office ...

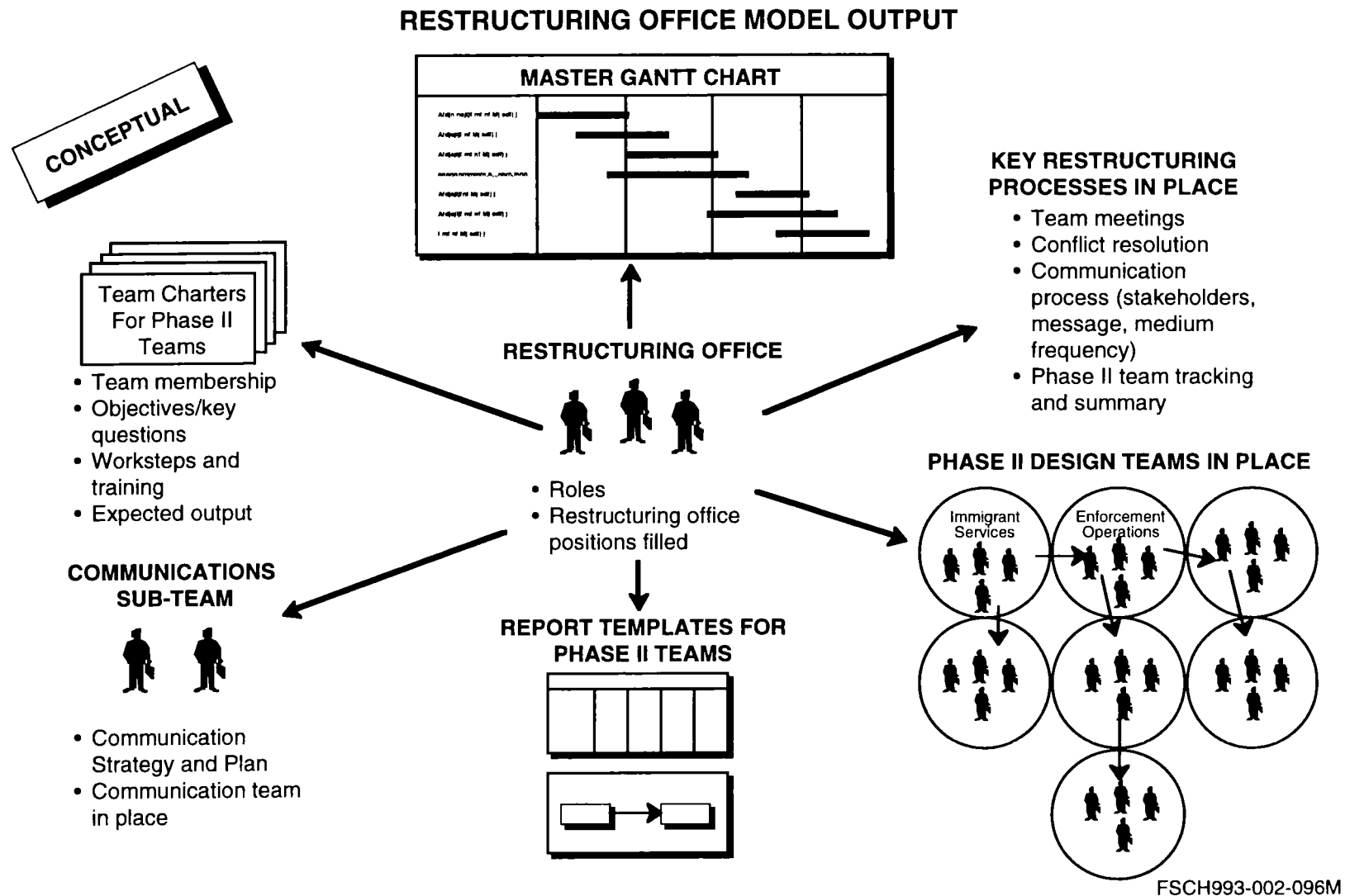
...AND FIVE BLUEPRINTING TEAMS IN PHASE II B— DESIGNING IMMIGRANT SERVICES AND ENFORCEMENT OPERATIONS IS THE PRIMARY FOCUS, BUT OTHER WORK IS REQUIRED TO DETAIL INTEGRATION MECHANISMS



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 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			

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

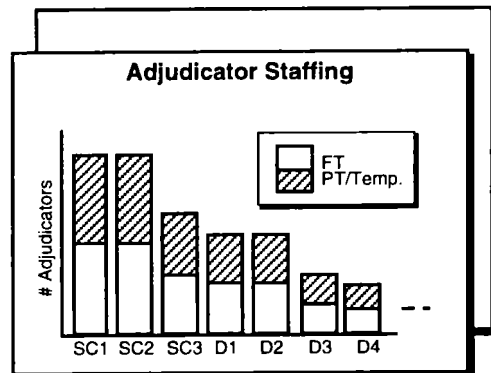
- The team will leverage existing data as much as possible
 - Avoid “reinventing the wheel”
 - Develop a starting point for refinement rather than starting from scratch
- Team members will visit the major types of organization units to refine the data
 - Regions
 - Districts
 - Sectors
 - Service Centers
 - 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

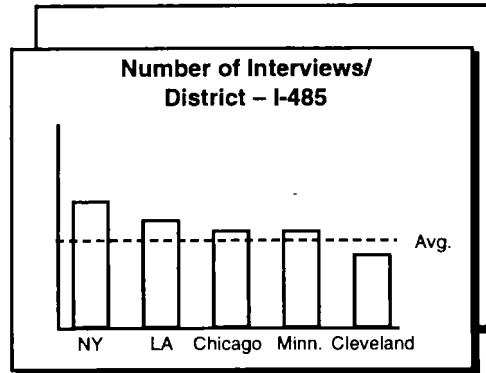
ORGANIZATIONAL



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

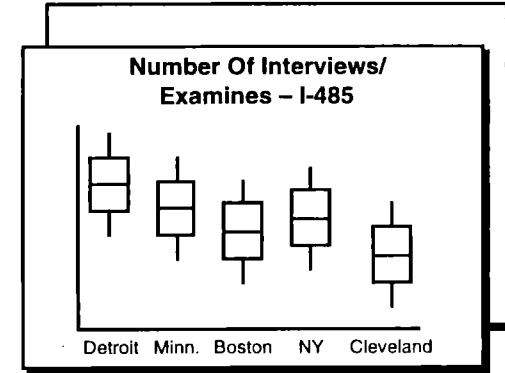
WORKLOAD



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

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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

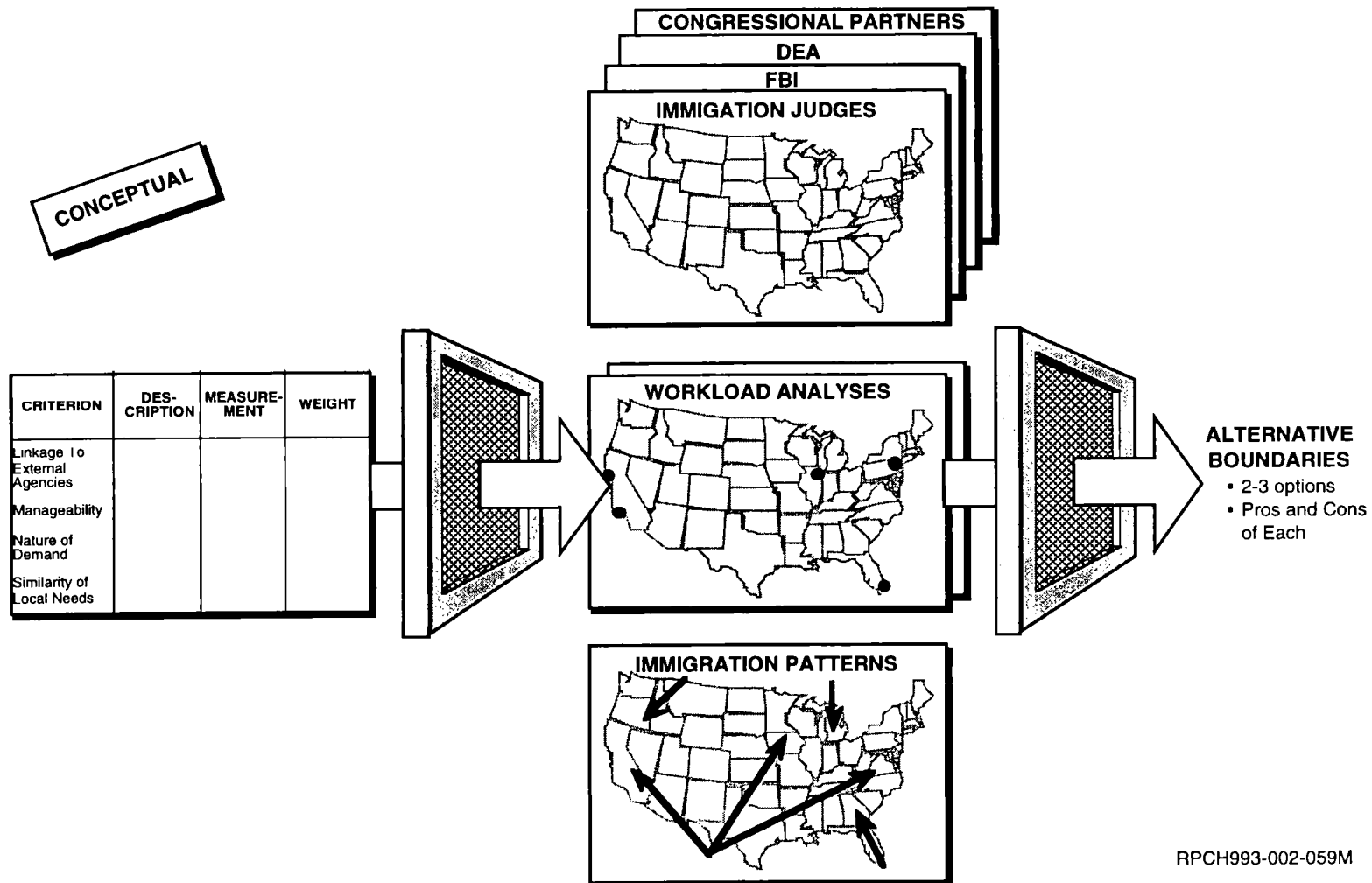
- What criteria should be utilized to recommend new management boundaries—Immigrant Service Areas and Enforcement Operations Areas? Are these similar across Services and Enforcement?
- How many Immigrant Service and Enforcement Operations Areas should the INS consider?
- Should these area boundaries 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)

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

MANAGEMENT BOUNDARY DEVELOPMENT PROCESS

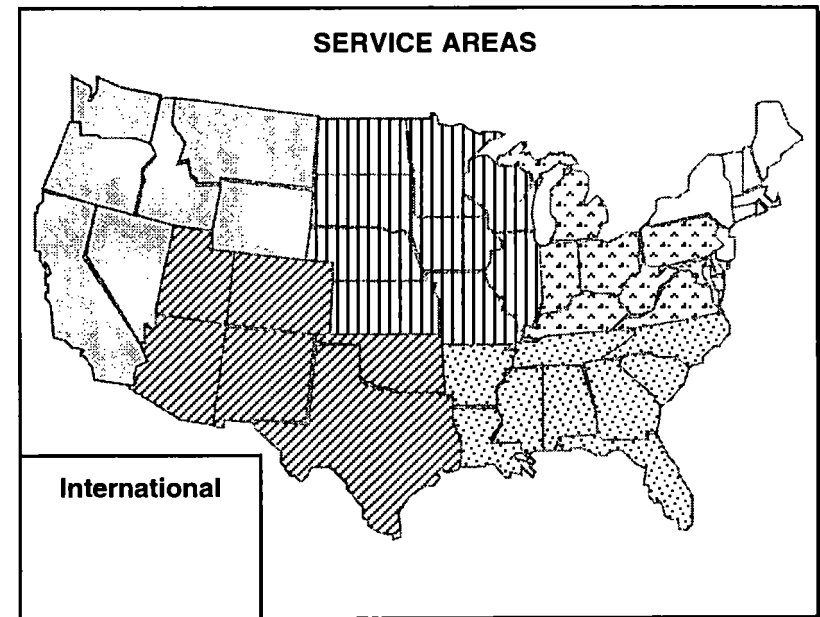
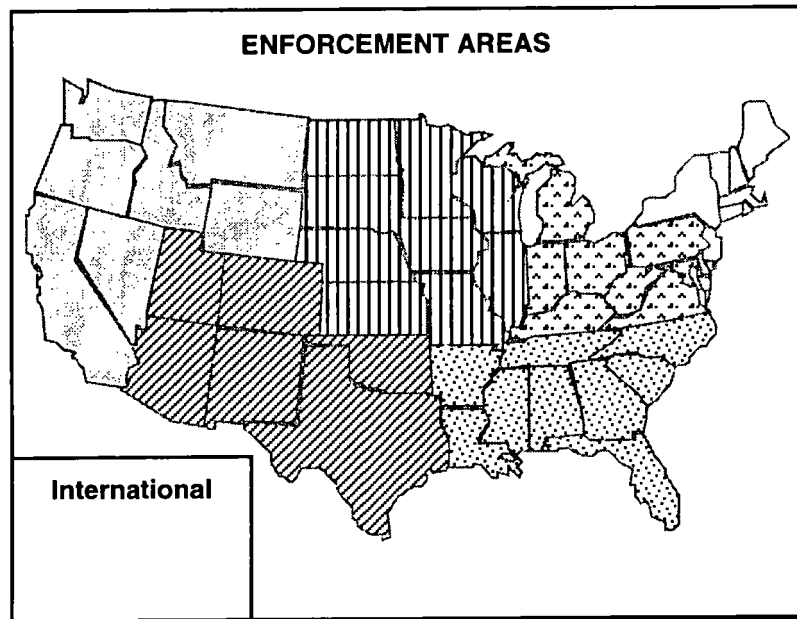


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THE OUTPUT OF THIS MODULE IS OPTIONS AND TRANSITION PLANS FOR NEW SERVICE AND ENFORCEMENT AREAS DOWN TO THE SUB-AREA LEVEL

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