

**DEPARTMENT OF JUSTICE**  
**FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT**  
**CORRECTIVE ACTION REPORTS**  
**for**  
**FISCAL YEAR 2001**

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<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 1985-6201	<b>Organization</b> Bureau of Prisons
				<b>Issue Title</b> Prison Crowding	
<b>Date First Initiated</b> 1985	<b>Original Target for Completion</b> 09/95	<b>Current Target for Completion</b> On-going	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Weakness	
<b>Source Title</b> BOP			<b>Date of Source Report</b> 1985	<b>Issue Type (DOJ Rating)</b> Material Weakness	
<b>Issue Description</b>					
<p>In 1985 the Bureau's Executive Staff recognized crowding as a material weakness. The crowding rate grew through 1990 to a high of 69% over the Bureau's rated capacity. As of September 30, 2001, the crowding rate was 32% over rated capacity. The Bureau continues to rely on funding for construction and the acquisition of additional facilities to keep pace with a growing inmate population and to gradually reduce our crowding rate, thereby ensuring the manageable operation of the system.</p> <p>The Bureau's (owned and operated) institution-based population was 130,327 as of September 30, 2001, an increase of 4,767 inmates over the 125,560 inmates housed on September 30, 2000. It should be noted that the total Bureau population (including contract facilities) increased by 11,447 during FY 2001. The FY 2001 increase surpassed FY 2000 by 11 inmates. The population projections were revised during January 2002 based on the Office of Research's analysis of data provided by the Administrative Office of the United States Courts.</p> <p>We project the population will continue to grow and should reach 196,535 by September 30, 2006. Through the construction of new facilities and expansion projects at existing institutions, our Long Range Capacity Plan projects a rated capacity of 127,185 beds by September 30, 2006. Should new construction and expansion plans continue through FY 2006 as planned, crowding is projected to be 31% over the projected rated capacity.</p>					
<b>What We Will Do About It</b>					
<p>Increase the amount of beds in the Bureau to keep pace with the projected increases in the federal inmate population. Efforts to reach this goal include expanding existing institutions, acquiring surplus properties for conversion to correctional facilities, constructing new institutions, utilizing contract facilities, and exploring alternative options of confinement for appropriate cases.</p>					

Milestones	Original Target Date	Current Target Date	Actual Date of Completion
<p>A. Completed Actions/Events</p> <p>Planning estimates called for a rated capacity of 98,440 to be reached by FY 2001. A rated capacity of 98,425 was attained.</p>	09/01		09/01
<p>B. Short Term (10-01/10-02)</p> <p>Planning estimates call for a rated capacity of 103,991 to be reached by close of FY 2002.</p>	09/02		
<p>C. Longer Term (10-02 and Beyond)</p> <p>Focus the use of limited Community Corrections Center resources to provide relief, as appropriate, to facilities housing low and medium security inmates.</p> <p>September 30, 2003  Inmate Population: 146,139  Rated Capacity: 106,642  Crowding Rate: 37%</p> <p>September 30, 2004  Inmate Population: 152,301  Rated Capacity: 113,601  Crowding Rate: 34%</p> <p>September 30, 2005  Inmate Population: 160,390  Rated Capacity: 120,275  Crowding Rate: 33%</p> <p>September 30, 2006  Inmate Population: 196,535  Rated Capacity: 127,185  Crowding Rate: 31%</p>	<p>09/93</p> <p>09/03</p> <p>09/04</p> <p>09/05</p> <p>09/06</p>		On-going
<p><b>How We Will Know It Is Fixed</b></p> <p>Results are measured as a new institution or expansion project is activated, and resulting increases in rated capacity are established. A corresponding decrease in the crowding percentage rate will also be a tangible measurement of the results. Progress on construction projects at new and existing facilities can be validated via on-site inspections of each facility or by review of monthly construction progress reports.</p>			

<p align="center"><b>U. S. DEPARTMENT OF JUSTICE</b>  <b>Corrective Action Report</b>  Issue and Milestone Schedule</p>				<b>Issue ID</b> 1989-6401	<b>Organization</b> Department of Justice; U.S. Marshals Service; Immigration and Naturalization Service
				<b>Issue Title</b> Detention Space and Infrastructure	
<b>Date First Initiated</b> 09/30/89	<b>Original Target for Completion</b> 09/30/92	<b>Current Target for Completion</b> 11/30/04	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Weakness	
<b>Source Title</b>			<b>Date of Source Report</b>	<b>Issue Type (DOJ Rating)</b> Material Weakness	
<p><b>Issue Description</b></p> <p>Detention space for the United States Marshals Service (USMS) and the Immigration and Naturalization Service (INS) has been a management challenge since 1989. Both agencies are experiencing rapid growth in their use of detention space, from an average of 31,966 beds in 1996 to a projected 50,856 beds in 2002. The USMS is experiencing a shortage of detention space near federal court cities, resulting in the need to transport prisoners to other distant facilities, often in other states. The INS apprehends 1.6 million illegal aliens annually. The INS has some discretion on who it detains; however, because of statutory changes enacted by Congress in 1996, INS is required to detain certain aliens until their removal. This results in the detention of more aliens who previously could have been released on bond pending the outcome of their removal proceedings. Furthermore, it is the INS' experience that the vast majority of non-detained aliens do not appear for their removal hearings and/or do not surrender for removal after a final order of removal has been issued. Therefore, detention is an effective tool to ensure participation in removal proceedings and compliance with removal orders. This expanding need for detention space places increasingly heavy demands on the INS and USMS infrastructure, including transportation, buildings, communications equipment, and staff. This also increases concerns related to health and safety of detainees and USMS and INS employees.</p>					
<p><b>What We Will Do About It</b></p> <p>To deal with this multi-agency issue, the Department of Justice (Department) created a Detention Planning Committee which, in turn, developed a multi-year Federal Detention Plan. The Department worked with the USMS, INS, and the Bureau of Prisons to update this plan in February 2000. In addition, the Department appointed a Detention Trustee in FY 2001 and established the Office of the Detention Trustee (ODT). The Detention Trustee is now responsible for oversight and management of many multi-agency issues related to detention.</p> <p>The USMS will maintain and expand the use of state and local jail space through the use of Interagency Agreements (IGAs), the Cooperative Agreement Program, and the recently expanded contract authority for service contracts for contract beds. The USMS also plans to establish detention management and oversight positions at contract jails housing 200 or more USMS prisoners.</p>					

The INS will pursue alternatives to detention and less restrictive detention options in the coming years. INS is committed to ensuring that, to the greatest extent possible, detained aliens are placed in facilities appropriate to their background and circumstance. INS will continue to review the management of the Detention and Removal Program via the INS Program for Excellence and Comprehensive Tracking (INSpect) and through the newly created Operations Analysis, Training, and Compliance Division. The scope of the review includes facility issues, security and control, detainee conduct and detainee services, transportation and escort, and docket control.

Regarding milestone #3, INS has created a robust detention bed space projection model, in conjunction with an experienced Department contractor. This model will help INS manage resources and forecast bed space requirements. The model is district based and will assist the INS in the justification of needed staff, budget, and construction requests. These efforts will contribute to the Departmentwide model.

<b>Milestones</b>	<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Establish a Detention Trustee.	09/30/01	09/30/01	09/30/01
2. Expand the current 5-year contract authority for Service Contracts. (Public Law 106-553)	09/30/99	11/30/00	12/21/00
3. Create a more encompassing model for projecting detainee population. (INS)	05/30/01	05/30/01	07/30/01
4. Establish detention management and oversight positions at contract jails housing 200 or more USMS prisoners. (USMS)	11/30/99	11/30/04	
5. Establish an oversight team to handle privatization issues and private jail contracts. (ODT)	11/30/99	11/30/02	
6. Complete a needs assessment and develop a baseline report. (ODT)	05/05/02	05/05/02	

**How We Will Know It Is Fixed**

Comparing the number of bed spaces needed by location for federal detainees to the number of bed spaces actually available in those locations.

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 1991-0098	<b>Organization</b> Department
				<b>Issue Title</b> Computer Security	
<b>Date First Initiated</b> 09/30/85	<b>Original Target for Completion</b> 09/30/91	<b>Current Target for Completion</b> 02/15/02	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Weakness	
<b>Source Title</b>			<b>Date of Source Report</b>	<b>Issue Type (DOJ Rating)</b> Material Weakness	
<b>Issue Description</b>  <p>The Department of Justice (Department) is increasingly dependent on automated information systems and their interconnections to achieve its mission and meet the needs of the citizens it serves. Since the Department's computer systems and networks now collect, process, store, and transmit most of the sensitive and classified information used in almost every aspect of the Department, controls must be in place to ensure the availability, integrity, and confidentiality of this information and the reliability of the computer systems and networks. The Justice Management Division (JMD) has responsibility and authority for establishing policy and providing direction and oversight to components with regard to information technology (IT) security.</p> <p>Computer security has been designated a material weakness since 1991 and continues to be a major focus of senior management attention.</p>					
<b>What We Will Do About It</b>  <p>JMD is responsible for the Department's IT security program and provides policy, guidance, direction, and oversight activities across the Department. During the past 12 months, JMD has taken a number of actions that not only reflect the commitment of present management to correcting past deficiencies, but also establish a solid foundation for sustained future progress. For example:</p> <ul style="list-style-type: none"> <li>• Under the leadership of the Attorney General's office, JMD has begun an IT strategic planning effort that will, in part, establish the foundation for a departmental security architecture. This effort is consistent with the management goals announced by the Attorney General on November 8, 2001.</li> <li>• In July 2001, JMD issued a new IT security policy that sets strong Departmentwide standards for component security programs and system security controls.</li> <li>• JMD has continued to conduct an aggressive program of penetration tests and independent assessments and to carefully follow up on the results. This effort provided the foundation for several components to begin conducting regular penetration testing on their systems, thus enhancing the overall security of these systems.</li> </ul>					

- Components certified and accredited 83% of Department systems by July 2001. While neither perfect nor complete, this effort enabled the Department to identify weaknesses more systematically and identify and monitor corrective actions. The Federal Bureau of Investigation (FBI) was unable to complete its certification and accreditation (C&A) activities; however, the Department Chief Information Officer (CIO) and the FBI have agreed to a schedule and JMD will continue to monitor their progress.
- JMD has established a database that will assist in tracking and remedying security weaknesses system by system. This database is a single repository of findings and corrective actions identified through C&A activities, audits, penetration testing, and other reviews.
- JMD has integrated security with the Department's capital planning and investment controls processes. This integration has occurred both formally, through the issuance of new policy and guidance, and in practice, through the inclusion of security as an explicit agenda item in internal discussions of IT plans, performance, and funding.
- JMD has identified a list of critical IT, personnel, and physical assets that support the Department's critical infrastructure in support of Presidential Decision Directive-63. This list includes the asset name, location, description, and strategic goal supported; potential impact of loss; and interdependencies. Using the vulnerability reports and independent assessment developed through the C&A activities, JMD completed the critical infrastructure planning vulnerability analysis and is currently finalizing the remedial plan for corrective action.

Milestones	Original Target Date	Current Target Date	Actual Date of Completion
1. The Department will identify its critical infrastructure assets, perform the required vulnerability assessment on those assets, and develop a corrective action plan for any asset that does not have satisfactory protections in place.	05/31/01	02/15/02	
2. Components will certify and accredit their information technology systems. The CIO will establish and track FBI progress.	12/31/00	07/01/01	07/01/01
3. JMD/Information Management and Security Staff (IMSS) will establish and operate an Independent Verification and Validation (IV&V) program that will review component C&A activities. JMD will implement an enhanced IV&V program to incorporate classified systems.	12/31/00	12/31/01 (Revised to include classified systems)	12/31/01
4. JMD/IMSS will develop and implement IT security policy for sensitive but unclassified computer systems and networks.	01/01/98	03/01/01	07/12/01
5. JMD/SEPS will develop and implement IT security policy for national security information (classified) computer systems and networks.	03/31/01	03/31/01	07/12/01



**How We Will Know It Is Fixed**

Department components will have established computer security programs and will have implemented Department policy and guidance.

All Department component systems will continue to be properly certified and accredited and selected major systems and networks will undergo IV&V.

Computer security planning will be integrated into the system development life cycle.

Penetration testing and Inspector General and General Accounting Office audits will not discover significant numbers of weak technical controls or non-compliance with computer security policy.

The CIO has determined that the Department's critical infrastructure planning is adequate.

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 1997-4810	<b>Organization</b> Immigration and Naturalization Service	
				<b>Issue Title</b> Monitoring of Alien Overstays		
<b>Date First Initiated</b> 10/01/97	<b>Original Target for Completion</b> 10/31/98	<b>Current Target for Completion</b> 10/31/02	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Weakness		
<b>Source Title</b> OIG Inspection Report I-97-08			<b>Date of Source Report</b> 09/04/97	<b>Issue Type (DOJ Rating)</b> Material Weakness		
<b>Issue Description</b> <p>In September 1997, the Office of the Inspector General (OIG) issued an inspection report on the Immigration and Naturalization Service's (INS) Monitoring of Nonimmigrant Overstays. The report found that, although nonimmigrant overstays (i.e., foreign visitors who legally enter the United States and then do not leave) comprise a significant percentage of the illegal alien population in the United States, the INS has insufficient systems to compile information on the overstay population, and lacks an enforcement policy that specifically targets the overstay population. In its response to the final inspection report, the INS will outline the steps that it will take to implement the recommendations contained in the report.</p>						
<b>What We Will Do About It</b> <p>The INS is in the process of developing an integrated system that will capture both arrival and departure information of aliens entering the United States. The Arrival/Departure Information System (ADIS) will be used as the repository for the arrival and departure information. This system, once fully operational, will replace the legacy Nonimmigrant Information System (NIIS). We are reviewing systems, including the Interagency Border Inspections System, to serve as the collection platform for ADIS. When ADIS is operational, the Department of State will be provided access.</p> <p><b>Milestone 2 no longer contains the language regarding the proposed rule because recent legislation has negated a need for a change to the existing rule 8 CFR 231. However, training was completed as of October 2001.</b></p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Take a course of action that will improve upon the current NIIS data or implement a strategy to replace NIIS with a workable system.				02/27/98	01/31/01	07/01/01
2. Develop a training module as part of the Carrier Consultant Program that addresses carrier requirements for submitting departure documents (I-94's).				04/30/98		10/22/01
3. Analyze overstay data and design a process to obtain accurate information of air and sea arrivals.				06/30/98		07/28/98

4. Provide complete and current information to the Department of State to screen visa applicants.	07/31/98	10/31/02	
5. Establish a specific plan for initiating a comprehensive compliance program, including fining, for airlines for collection of I-94's.	08/30/98		09/30/98
6. Perform an analysis of overstay information that will support an overstay enforcement strategy.	10/31/98		06/25/99
<p><b>How We Will Know It Is Fixed</b></p> <p>When ADIS is in place and being used at the Ports of Entry, the INS will be able to query on arrival and departure data and report on the number of overstays in the United States.</p>			

<b>U. S. DEPARTMENT OF JUSTICE Corrective Action Report Issue and Milestone Schedule</b>				<b>Issue ID</b> 1997-4809	<b>Organization</b> Immigration and Naturalization Service	
				<b>Issue Title</b> Organizational and Management Issues		
<b>Date First Initiated</b> 10/01/97	<b>Original Target for Completion</b> 10/01/97	<b>Current Target for Completion</b> 09/30/02	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Weakness		
<b>Source Title</b> GAO/GGD-97-132			<b>Date of Source Report</b>	<b>Issue Type (DOJ Rating)</b> Material Weakness		
<b>Issue Description</b>  In July 1997, the General Accounting Office (GAO) issued a report on its efforts to follow up on a previous Immigration and Naturalization Service (INS) management report to determine whether steps had been taken to correct some of the most significant management problems identified in its initial report. The GAO found that the INS must take steps to further resolve management problems, to include clarifications of lines of communication and the dissemination of organizational policies and guidelines through manuals.						
<b>What We Will Do About It</b>  Evaluate roles and responsibilities of organizational entities and reassign duties where necessary; provide written guidance on appropriate relationships, communication methods, and coordination among the INS programs and offices; review staff levels, where necessary; issue comprehensive policy manuals; and periodically review the new deployment planning process.  Milestones 1, 2, 3, 4: Completed in previous years.  Milestone 5: Conversion of documentation from older formats into the new field manual format has been slower than anticipated, and updating "completed manuals" involves more resources than anticipated. However, based on progress to date, INS expects to meet its Implementation Plan target of 85 percent initial manual release by 09/30/02, with 100 percent release of all operations field manuals by 09/30/03.						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Review the roles and responsibilities of the various organizational entities to determine if there are more effective ways to distribute functions among these entities.				11/30/97		02/15/98
2. Based on the results of this review, realign, clarify, and integrate the roles and responsibilities of the various organizational entities.				04/30/98		11/30/98
3. Implement deployment planning process on a pilot basis.				09/30/98		09/30/98
4. Revise and review Administrative Manuals.				09/30/98		09/30/98

5. Develop new field manuals containing policies and procedures on how to implement the immigration laws.	03/30/00	09/30/03	
<p><b>How We Will Know It Is Fixed</b></p> <p>The INS will have improved internal communications, updated policy manuals, efficiently allocated staff resources, and strengthened program planning. Field manuals will be considered fully developed when the initial release of all chapters of all four field manuals (Inspector's, Adjudicator's, Special Agent's, and Deportation Officer's) has been issued and a procedure is in place for timely updating of all manuals. The manuals themselves are never "complete" since immigration laws, regulations, and policy are always in a state of evolution.</p>			

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 1997-4813	<b>Organization</b> Immigration and Naturalization Service
				<b>Issue Title</b> Management of Automation Programs	
<b>Date First Initiated</b> 03/98	<b>Original Target for Completion</b> 09/30/00	<b>Current Target for Completion</b> 10/01/02	<b>Actual Date of Completion</b> 	<b>Issue Type (Organization Rating)</b> Significant Concern	
<b>Source Title</b> OIG Audit Report #98-09			<b>Date of Source Report</b> 03/26/98	<b>Issue Type (DOJ Rating)</b> Material Weakness	
<b>Issue Description</b> <p>The Immigration and Naturalization Service (INS) Office of Information Resources Management (OIRM) has experienced continuing and longstanding difficulty in providing timely and consistent information about its activities. The OIRM has been cited by the Office of the Inspector General (OIG) for the lack of adequate management controls and repeatable business processes to efficiently and effectively manage information technology (IT) at INS.</p>					
<b>What We Will Do About It</b> <p>The INS provided a response to the OIG relating to INS' Management of Automation Programs (OIG Audit Report #98-09). At this time, INS awaits a formal response from the OIG on this audit.</p> <p>Milestones 1, 2, and 3: Completed.</p> <p>Milestone 4: INS concurs that an effective mechanism to track cost, schedule, and performance data for the IT projects would provide effective oversight capabilities to monitor and execute the projects in the IT portfolio. In INS' response to the OIG, INS presented the current approach to addressing these issues through use of quad charts and quarterly project management reviews with the portfolio managers and the Department of Justice.</p> <p>Milestone 5: OIRM is preparing to engage external contractors to review various project management tools that could be procured to meet their requirements. The review will be conducted in FY 2002 and will provide recommendations on approaches to OIRM management. OIRM anticipates identifying, selecting, and implementing a project management tool, if that is the ultimate recommendation of the external review, by the start of 2003. Funds were not available in FY 2001 to accomplish this.</p> <p>Milestone 6: OIRM is currently executing this milestone. OIRM initiated a project management training program for a group of its project managers to learn the project management body of knowledge. This training program provides critical knowledge on project management principles as defined by the Project Management Institute. It is anticipated that a number of the group members will qualify as certified project management professionals (PMPs) at the conclusion of the training program. The revised target date reflects the time necessary to complete this training program.</p>					

Milestone 7 (“Develop multi-year project plans” from last year’s report): Deleted. Most of the IT activities are steady-state operations and maintenance requirements for systems or IT operations. Projects in the operations and maintenance phase will not have multi-year project plans associated with them.

Explanation for change in target dates:

Milestones 4 and 5: A clarification meeting was held with the OIG during the second quarter 2001. Preliminary information suggested that the approach to closing Milestone 4 may not be acceptable. However, the OIG indicated it would consider the approach and provide a formal response to INS, once INS delivered its formal response to the OIG. INS awaits the OIG response. However, after the meeting, the Associate Commissioner determined that the organization would move forward to identify an appropriate tool/approach to managing cost, schedule, and performance. This process is in the initial stages, and OIRM will engage its integration contractor to support this effort. The new target date reflects the belief that a tool/approach can be identified, and procurement completed by the end of FY 2002. The goal would then be to implement and use the tool/approach in FY 2003.

Milestone 6: Development of the training program was finalized in the second quarter 2001, and the first course was completed in March 2001. The training program was designed as a full year training program to enable the participants to manage work requirements while they participate in the program. The training program has courses scheduled every 2 months through May 2002.

<b>Milestones</b>	<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Develop an FY 1999 budget execution plan for OIRM.	11/30/98		01/29/99
2. Develop FY 1999 project plans.	02/28/99		04/30/99
3. Create a tracking capability within OIRM to track IT-oriented contract activities.	01/31/99		09/30/99
4. Create a tracking capability that fully supports cost, schedule, and performance tracking at the IT project level.	09/30/00	10/01/02	
5. Select project management tool.	09/30/99	10/01/02	
6. Provide project management training to IT managers.	09/30/99	05/31/02	

**How We Will Know It Is Fixed**

INS will be able to produce accurate project management information for IT projects, including cost, schedule, and performance tracking information.

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 1997-4801	<b>Organization</b> Immigration and Naturalization Service	
				<b>Issue Title</b> Efforts to Identify and Remove Criminal Aliens		
<b>Date First Initiated</b> 10/01/97	<b>Original Target for Completion</b> 09/30/99	<b>Current Target for Completion</b> 09/30/03	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Weakness		
<b>Source Title</b> GAO/T-GGD-97-154			<b>Date of Source Report</b> 07/15/97	<b>Issue Type (DOJ Rating)</b> Material Weakness		
<b>Issue Description</b> <p>In July 1997, the General Accounting Office (GAO) issued a report on the Immigration and Naturalization Service's (INS) Institutional Hearing Program (IHP). The report noted that the INS: (1) failed to identify many deportable criminal aliens, including aggravated felons, and initiate IHP proceedings for them before they were released from prison; (2) did not complete the IHP by the time of prison release for the majority of criminal aliens it did identify; and (3) has not realized intended enhancements to the IHP.</p>						
<b>What We Will Do About It</b> <p><b>While all milestones from last year's report have been completed, GAO considers their report still open. Below is a discussion of the current state of the Institutional Removal Program (IRP, formerly known as the IHP) and new milestones that will close the issue.</b></p> <p>Since 1997, the IRP has continued to exceed its annual removal goals. The IRP also has focused more attention on up-front processing to ensure that criminal aliens are not released into INS' custody without removal orders. Furthermore, INS has created a mechanism to finalize unfinished removal proceedings within 1 day of release from federal, state, or local incarceration. INS is in the process of finalizing the IRP transition plan from Investigation to the Detention and Removal program. A significant aspect of this plan will be to fully determine the resources required to support the entire IRP process. While Immigration Agent attrition rates have stabilized, in FY 2002, the INS will finalize a reclassification of Immigration Agents and Detention Enforcement Officers into one job series. This will provide greater authority to more officers to work IRP cases. This job series will have lower attrition and it is anticipated that any attrition will be into other higher-graded INS jobs, such as Deportation Officers. Finally, the IRP Criminal Alien Information System (CAIS) has been deployed to all federal sites. INS is exploring the possibility of deploying CAIS to state IRP programs and/or using functionality already in the INS' ENFORCE system to track and manage IRP cases. Eventually, all IRP case management and tracking functions will be incorporated into ENFORCE Apprehension and Removal modules.</p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Publish policy-clarifying roles and responsibilities of the special agents in the IRP.						10/31/97



2. Identify causes of Immigration Agent attrition, and take action to ensure adequate staffing is achieved.	09/30/99		09/30/00
3. Develop a workload analysis model to ascertain the need for IRP resources.			06/30/98
4. Establish controls to ensure aggravated felons are identified and tracked, and improve the ability to deport them while they are imprisoned.	04/01/99		07/31/99
5. Incorporate an IRP process module into ENFORCE.	09/30/99		04/30/00
6. Reclassify Immigration Agents and Detention Enforcement Officers.	09/30/02	09/30/02	
7. Deploy ENFORCE removals module.	09/30/03	09/30/03	
<p><b>How We Will Know It Is Fixed</b></p> <p>INS will have the ability to identify and track eligible incarcerated criminal aliens so that IRP proceedings can be initiated and completed. Issuance of final deportation orders will ensure expeditious deportation of eligible criminal aliens upon release from prison.</p>			

<p align="center"><b>U. S. DEPARTMENT OF JUSTICE</b>  <b>Corrective Action Report</b>  Issue and Milestone Schedule</p>				<b>Issue ID</b> 2000-4802	<b>Organization</b> Immigration and Naturalization Service
				<b>Issue Title</b> Alien Smuggling: Management and Operational Improvements Needed to Address a Growing Problem	
<b>Date First Initiated</b> 05/05/00	<b>Original Target for Completion</b> 09/30/01	<b>Current Target for Completion</b> 09/30/03	<b>Actual Date of Completion</b> 	<b>Issue Type (Organization Rating)</b> Material Weakness	
<b>Source Title</b> GAO/GGD-00-103			<b>Date of Source Report</b> 05/05/00	<b>Issue Type (DOJ Rating)</b> Material Weakness	
<p><b>Issue Description</b></p> <p>Between FY 1997 and FY 1999 the number of apprehended aliens smuggled into the United States increased nearly 80 percent. The Immigration and Naturalization Service (INS) predicts that the smuggling will continue to increase and that alien smuggling organizations will become more sophisticated, organized, and complex. The General Accounting Office (GAO) studied both the domestic and international components of INS' anti-smuggling strategy, written in 1997, and in a report dated May 2000 (GGD-00-103), GAO listed the following impediments to the domestic component: 1) a lack of program coordination; 2) the absence of an agencywide automated case tracking and management system; and 3) limited performance measures to assess the effectiveness of the strategy.</p> <p>Additionally, GAO stated that INS' Intelligence Program has been impeded by a lack of understanding among field staff on how to report intelligence information, a lack of staff to perform intelligence functions, and an inefficient and cumbersome process of organizing data that does not allow for rapid retrieval and analysis. As a result, INS has limited ability to identify targets for enforcement and to help focus its anti-smuggling resources on efforts that would have the greatest impact.</p> <p>GAO recommended that INS:</p> <ol style="list-style-type: none"> <li>1. Establish criteria for opening an anti-smuggling case.</li> <li>2. Establish a cost-effective case tracking and management system of alien smuggling investigations that is automated, agencywide, and readily available to investigative personnel and program managers to facilitate the sharing of case information and prevent duplication of efforts.</li> <li>3. Establish performance measures for the anti-smuggling efforts and intelligence program with which to gauge program efforts.</li> <li>4. Require intelligence reports be prepared using a database format so the information can be systematically analyzed.</li> </ol>					
<p><b>What We Will Do About It</b></p> <p>The automated systems referred to in past Corrective Action Reports are one set of systems now combined under the name ENFORCE.</p>					

GAO Recommendation 1: Complete. The Investigations Division established criteria for opening smuggling cases.

GAO Recommendation 2: Complete. A national case tracking and management system, the Criminal Investigative Reporting System (CIRS), is available for installation via the INS intranet, and is part of the umbrella of systems known as ENFORCE. CIRS is a Microsoft Access case tracking and case management software program that agents, supervisors, and program managers use to generate case reports, track the progress of investigations, and manage case work. In day-to-day operations, the CIRS data is uploaded to INS' national ORIONLeads® file server so other INS offices can review case reports and conduct link analysis functions. As the interfaces between other enforcement systems are developed, this data will migrate to the Enforcement Integrated Database (EID). Deployment is on-going globally.

GAO Recommendation 3: As in any law enforcement organization, INS must measure itself by prosecuting, dismantling, or disrupting the on-going criminal enterprises. The INS established a performance measure for FY 2002 of four major anti-smuggling cases focusing on national security issues or terrorism, with three of the four in the Caribbean or South/Central America and one along the northern border of the United States. Further, the INS is working hand in hand with the intelligence community and other federal law enforcement agencies in selecting a working target list of smugglers. INS intelligence continues its measures of program effectiveness which are defined as: the number of personnel trained in intelligence processes; the number of new trans-national smuggling cases identified; the number of investigative leads disseminated; and the number of "special operations" driven by intelligence. In specific reference to alien smuggling, INS will measure shifts in the smuggling corridors using reported smuggling fees in a timeline comparison, with an overlay of data on smuggling load size. The deployment of the automated systems described in the paragraphs above and below will aid in the collection and analysis of this data. While great precision may not be possible, this should result in a clearer understanding of human smuggling dynamics along the southern border in the long term. This collection, analysis, and reporting effort will be carried out with support from the Alien Intelligence Unit at El Paso Intelligence Center (EPIC).

GAO Recommendation 4: The combined systems under the umbrella of ENFORCE and the INS intranet are being linked into one intelligence database. CIRS provides investigators with a way to report intelligence while conducting investigations. ENFORCE modules used by Border Patrol Agents also provide this facility for the Border Patrol. Also, the automated G-392 (Intelligence Report), available through the INS intranet, globally allows all other personnel, (Inspectors, Intelligence Officers, and some Border Patrol Agents) to file specific intelligence reports as needed. The INS is deploying CIRS to field offices having responsibility for conducting alien smuggling investigations. The system is already fully deployed in the Western Region and partially deployed in the Central Region. Completion of the deployment is planned for September 30, 2002. The analytical tool for all of this collected information is the Law Enforcement Analytical Data System (LEADS), provided by a commercial vendor under the brand name of ORIONLeads®, which resides as a tool under the ENFORCE umbrella. The combination of LEADS with CIRS under ENFORCE will give the INS the ability to mine data from interfaced enforcement databases and intelligence and investigative reports, particularly as they relate to smuggling activities and terrorist cells. All intelligence reports are currently required to be entered using the automated G-392. However, once CIRS is deployed, the gaps in the intelligence/information database seen by GAO will be closed.

**Last year's milestone, "Develop alien smuggling strategic goals and coordination guidance vis a vis the Migrant Trafficking and Smuggling Coordination Center," has been removed. The Migrant Trafficking and Smuggling Coordination Center was to be set up by the Department of State, but was not; therefore the milestone was removed and INS is taking the appropriate course of action.**

<b>Milestones</b>	<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Deployment of automated tools. (Deploy intelligence collection and analysis information.)	09/30/02	09/30/02	
2. Creation of interfaces to enforcement databases. (Deploy intelligence collection and analysis infrastructure.)	09/30/02	09/30/03	
3. Measurement of corridor shifts. (Develop measurement of alien smuggling "shifts.")	09/30/03	04/01/02	
<p><b>How We Will Know It Is Fixed</b></p> <p>This will be completed when CIRS is deployed to all special agents and program managers having responsibility for conducting alien smuggling investigations; when the INS has the ability to review a specific smuggling case to track the case activity and link the significant information in that case with database information in the enforcement systems of the Service, as well as other law enforcement information systems; and when Headquarters' Intelligence files a report analyzing shifts in the smuggling corridors.</p>			

<p align="center"><b>U. S. DEPARTMENT OF JUSTICE</b>  <b>Corrective Action Report</b>  Issue and Milestone Schedule</p>				<b>Issue ID</b> 1990-4803	<b>Organization</b> Immigration and Naturalization Service
				<b>Issue Title</b> Delivery Bonds	
<b>Date First Initiated</b> 09/30/90	<b>Original Target for Completion</b> 09/30/92	<b>Current Target for Completion</b> 	<b>Actual Date of Completion</b> 09/30/01 <b>(CLOSED)</b>	<b>Issue Type (Organization Rating)</b> Material Weakness	
<b>Source Title</b> GAO/AFMD-91-20 and OIG Inspection Report I-98-18			<b>Date of Source Report</b> 01/01/91	<b>Issue Type (DOJ Rating)</b> Material Weakness	
<b>Issue Description</b> <p>The Immigration and Naturalization Service (INS) is experiencing difficulty in collecting breached bonds owed the Government due to (1) inadequate documentation and recordkeeping by operating units, and (2) lack of an INS-wide bond management system to track bonds underwritten by sureties and bill sureties when bonds are breached.</p>					
<b>What We Will Do About It</b> <p><i>This issue is CLOSED</i></p> <p>Milestones 1, 2, and 3: completed in previous years.</p> <p>Milestone 4: The INS implemented the Debt Collection System in 1994 and the Bond Management Information System in 1996. In 1999, bond processing was consolidated at the INS Debt Management Center (DMC). Throughout FY 2001, there were no backlogs in recording and billing for breaches at the DMC. Although some issues remain with field office delays in forwarding documentation to the DMC, the DMC sends monthly notices to the field offices when bond documentation is late. Considerable improvement has been noted as a result of this action.</p> <p>Milestone 5: During FY 2001, the DMC issued quarterly follow-up reports on approximately 10,000 bonds per quarter. Field response rates in the last two quarters have exceeded 70 percent. In addition, the Executive Associate Commissioner for Management initiated a bond inventory reduction project in April 2001 to focus attention on bonds issued in 1995 and prior to determine if these older bonds should be breached or canceled.</p>					

<b>Milestones</b>	<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Provide additional administrative positions to support bond management activities in the field.	10/30/92		01/20/93
2. Include Treasury's Surety Bond Eligibility table in bond management information system to verify companies' eligibility to write surety bonds.	09/30/92		01/30/93
3. Capture documentation on surety bonds issued before new bond accounting procedures of May 1991.	09/30/92		09/30/97
4. Develop and implement an integrated system for tracking bond activity and bill sureties when breaches occur.	09/30/92		09/30/01
5. Review all open bond cases.			09/30/01
<p data-bbox="203 688 560 720"><b>How We Will Know It Is Fixed</b></p> <p data-bbox="203 745 1412 898">The system and review process now in place enables the INS to maintain a good bond inventory and to bill sureties when bonds are breached. Although there will always be a certain amount of lag time from the time a bond is breached until the surety is billed, the system and review process in place keeps the lag time to a minimum. The Office of the Inspector General has recognized this and closed out all recommendations in audit report I-98-18, citing substantial progress by the INS.</p>			

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 2000-4801	<b>Organization</b> Immigration and Naturalization Service	
				<b>Issue Title</b> Management of Property		
<b>Date First Initiated</b> 10/00	<b>Original Target for Completion</b> TBD	<b>Current Target for Completion</b>	<b>Actual Date of Completion</b> 9/7/01 ( <b>CLOSED</b> )	<b>Issue Type (Organization Rating)</b> Material Weakness		
<b>Source Title</b> OIG Audit Report 01-09			<b>Date of Source Report</b> 03/21/01	<b>Issue Type (DOJ Rating)</b> Material Weakness		
<b>Issue Description</b> <p>The Immigration and Naturalization Service (INS) needs to improve accountability of property highly vulnerable to waste, loss, unauthorized use, or misappropriation. Additionally, INS has not routinely reported the status of weapons and, as a result, has numerous lost or missing weapons.</p>						
<b>What We Will Do About It</b> <p><i>This issue is CLOSED.</i></p> <p>INS has improved its accountability of firearms by conducting Annual Servicewide Firearms Inventories in 1998, 1999, 2000, and 2001. Except for 1998, the Service has accounted for 100 percent of its firearms. In addition to the inventories, the National Firearms Unit has conducted 31 Firearms Accountability Reviews that include a 100 percent physical inventory of all firearms and their supporting documentation. INS has implemented new policies and procedures pertaining to its Firearms Control Officers (FCO). For example, FCOs must be of the appropriate senior management level, attend training within 30 days of their designation, have firearms accountability included as a critical element in their performance work plan, and be included as part of the clearance procedure. Policy changes have also been enacted to direct that lost, stolen, or missing firearms are reported as a Significant Incident within 24 hours. These Significant Incident Reports are forwarded to Internal Audit for investigation, and the serial number of each firearm is entered into the National Crime Information Center (NCIC). The National Firearms Unit has been proactive in recovering firearms. To date, of the 539 firearms reported as lost, stolen, or missing (over a span of 13 years) in the Office of the Inspector General (OIG) report, the National Firearms Unit has identified 234 as typographical errors, reported 207 as lost or stolen and awaiting an INS Firearm Board of Survey review, and recovered 59. The remaining 39 cases are still under investigation in close coordination with the Office of Internal Audit (OIA) and through the Board of Survey. In addition, the National Firearms Unit has assisted in rewriting the Firearms Module of the OIA's INSpect Guide, and, where possible, has coordinated its Firearms Accountability Reviews with the INS/OIA INSpect on-site audits. Additionally, in response to the OIG audit, the National Firearms Unit submitted a complete rewrite of the Standard Operating Procedures with an emphasis on management controls compliant with INS Administrative Manual Policies and Procedures, INS Firearms and Force Board policy mandates, DOJ requirements, and statutory requirements. INS also is being proactive in identifying and instituting new policies to prevent further loss of firearms in such ways as developing Servicewide standards for firearms storage rather than permitting local stand-alone procedures.</p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>

1. Conduct Annual Servicewide Firearms Inventory.	Annually	Annually	08/03/01
2. Conduct Firearms Accountability Reviews. (31 of 69 locations completed.)	6/year	6/year	08/10/01
3. Place emphasis on FCOs.	11/15/00		05/03/01
4. Coordinate with OIA on all lost or missing firearms.	11/8/00	on-going	09/07/01

**How We Will Know It Is Fixed**

A process is in place to review all future reports of lost, stolen, or missing firearms. The remaining 39 firearms cases from the 1998 inventory are currently going through this process for final disposition in FY 2002. Additionally, through the policies and procedures put in place in FY 2001, lost, stolen, or missing firearms are reported within 24 hours of loss, and 100 percent of cases are investigated, documented, and resolved within 30 days. If the case is tasked back to the field, it is due to the OIA within 60 days. If negligence or other misconduct is corroborated, the appropriate management official for a decision regarding corrective action is contacted. If that occurs, OIA expects that action to be taken within 120 days. Inventories have been reconciled 100 percent for 1999, 2000, and 2001. Policies are in place that will require annual inventories and reconciliation. New management controls were put into place and accepted by the Office of Special Counsel addressing the OIG report findings along with the numerous other management and accountability measures to ensure no future loss of firearms occurs. These actions comply with the recommendations put forward by the OIG in the "INS' Management of Property" audit report.



<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b>	<b>Organization</b> Department of Justice	
				<b>Issue Title</b> DOJ Financial Systems Compliance		
<b>Date First Initiated</b> 02/28/01	<b>Original Target for Completion</b> On-going	<b>Current Target for Completion</b>	<b>Actual Date of Completion</b> On-going	<b>Issue Type (Organization Rating)</b> Material Nonconformance		
<b>Source Title</b> Management Review and Annual Financial Statement Audits			<b>Date of Source Report</b> 11/30/01	<b>Issue Type (DOJ Rating)</b> Material Nonconformance		
<b>Issue Description</b> <p>The Department of Justice (Department) audit report on the FY 2000 consolidated financial statements identified the Immigration and Naturalization Service (INS), Federal Bureau of Investigation (FBI), Drug Enforcement Administration (DEA), United States Marshals Service (USMS) , and Federal Prison Industries (FPI) as not meeting federal accounting standards or systems requirements, and having material weaknesses in system controls/security. Many of these conditions are likely to be repeated in the FY 2001 audits. Additional and related issues on INS, FPI, and DEA are reported separately under their financial management nonconformances. The need to address weaknesses cited in the financial statement audits, nonconformances with Office of Management and Budget (OMB) Circular No. A-127, technological changes, and the need to better support critical financial operations and agency programs contribute to the necessity to modernize the Department's financial systems and improve internal controls. Almost every Department component needs to either implement a new system or is in the final phases of implementing a new system.</p> <p>The FBI operates a legacy system which significantly limits the capabilities necessary to support the effective and efficient processing of financial management information throughout the Bureau. The USMS implemented a new financial management system in 1998 at its headquarters office. However, due to implementation difficulties, the USMS did not migrate its district offices to the system. INS acquired a new system in 1997 and halted full implementation plans due to concerns as to whether the system would best serve INS' interest.</p>						
<b>What We Will Do About It</b> <p>The Department identified a unified core financial system as one of the ten goals for revamping the Department's management. Three systems have been identified for replacement in the first phases of this project: FBI, INS, and USMS. Other systems will be replaced as they reach the end of their normal life cycles, or as immediate needs require. The unified core system will be a commercial off-the-shelf Financial Management System product(s) certified by the Joint Financial Management Improvement Program as meeting core federal financial management system requirements. The comprehensive project plan and milestones will be developed during the planning phase, to be completed May 2002.</p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>

1. Planning phase, including milestones.	05/30/02		
<p><b>How We Will Know It Is Fixed</b></p> <p>Modern financial systems will be implemented which comply with federal financial system requirements and system dependent audit recommendations will be closed.</p>			

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b>	<b>Organization</b> Immigration and Naturalization Service	
				<b>Issue Title</b> INS Deferred Revenue		
<b>Date First Initiated</b>	<b>Original Target for Completion</b>	<b>Current Target for Completion</b>	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b>		
10/23/97	10/01/98	TBD		Significant Concern		
<b>Source Title</b>			<b>Date of Source Report</b>	<b>Issue Type (DOJ Rating)</b>		
Annual Financial Statement Audit			10/23/97	Material Nonconformance		
<b>Issue Description</b>						
<p>Auditors report that systems and management controls used by the Immigration and Naturalization Service (INS) to process applications for immigration and naturalization benefits do not ensure applications are adequately controlled or provide reliable data on the status of applications. Without adequate control on the status of applications received and completed, INS is not able to accurately determine deferred and earned revenue without relying on an extensive Servicewide manual application count.</p>						
<b>What We Will Do About It</b>						
<p>INS will implement a system to track the status of applications and provide accurate information on deferred and earned revenue.</p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Develop a plan, with milestones, to implement a system which will report accurate deferred and earned revenue.				04/30/02		
<b>How We Will Know It Is Fixed</b>						
<p>A reliable system for tracking deferred revenue will be developed, and the audit recommendations will be closed.</p>						

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 2000-6296	<b>Organization</b> Federal Prisons Industries	
				<b>Issue Title</b> FPI Adherence to Accounting Standards and Financial Management System Requirements <i>(previously FPI Financial Management)</i>		
<b>Date First Initiated</b> 12/05/00	<b>Original Target for Completion</b> 03/01/01	<b>Current Target for Completion</b> 03/15/02	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Nonconformance		
<b>Source Title</b> FY 2000 Integrity Act Review			<b>Date of Source Report</b> 12/05/00	<b>Issue Type (DOJ Rating)</b> Material Nonconformance		
<b>Issue Description</b> The Federal Prison Industries (FPI) implemented Millennium in May 2000. The new system does not meet all the financial management requirements of Office of Management and Budget (OMB) Circular No. A-127. System generated reports require thorough review, analysis, and frequent corrections. Additionally, the FPI does not meet all system security requirements of OMB Circular No. A-130. Weaknesses are reported in controls over inventories and accounts receivable and in the financial statement preparation process.						
<b>What We Will Do About It</b> The FPI will work with its contractors to modify its system to comply with financial management system and security requirements. During FY 2001, the FPI obtained system security certification and accreditation. System change requests have been developed and are being evaluated.						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Obtain system security certification.				12/31/00	12/31/00	12/31/00
2. Obtain system security accreditation.				03/01/01	03/01/01	06/30/01
3. Modify system to comply with federal financial management requirements.				03/01/01	02/28/02	
4. Correct weaknesses in control over inventories.				03/15/02		
5. Correct weaknesses in control over accounts receivable.				03/15/02		
6. Refine financial statement reporting process.				03/15/02		
<b>How We Will Know It Is Fixed</b> Minimal errors will be found in accounting processing, recording, and reporting. FPI has received system security certification and accreditation.						

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 2000-6196	<b>Organization</b> Drug Enforcement Administration	
				<b>Issue Title</b> DEA Adherence to Accounting Standards and Financial Management System Requirements <i>(previously Financial Management)</i>		
<b>Date First Initiated</b> 11/17/00	<b>Original Target for Completion</b> 07/31/01	<b>Current Target for Completion</b> 11/30/03	<b>Actual Date of Completion</b>	<b>Issue Type (Organization Rating)</b> Material Nonconformance		
<b>Source Title</b> DEA Integrity Act Report			<b>Date of Source Report</b> 11/17/00	<b>Issue Type (DOJ Rating)</b> Material Nonconformance		
<b>Issue Description</b> <p>The Drug Enforcement Administration (DEA) has not maintained a system that accurately and completely accounts for property and equipment. DEA also should clear fund balances with the United States Treasury (Treasury), properly perform quarterly certifications of open obligations, improve its financial reporting process, charge full cost for Controlled Substance Act Registration Fees, and improve automated security.</p>						
<b>What We Will Do About It</b> <p>Complete conversion of property to the Fixed Asset Subsystem, complete implementation of an automated interface for purchase card data to clear fund balances with the Treasury, and properly perform certifications of new obligations. To improve the financial reporting process, develop additional written procedures on the process. DEA will adjust rates for Controlled Substance Act Registration Fees to charge for full cost and recertify financial system users.</p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>
1. Clear fund balances with the Treasury.				03/31/01	09/30/02	
2. Automated Security - Recertify financial system users.				03/31/01	on-going	
3. Improve financial reporting process.				04/30/01	09/30/02	
4. Property Accountability- revise policy and procedures and properly classify property in the general ledger and financial statements.				07/31/01		02/28/01
5. Publish Final Rule in the Federal Register providing notice of revised Controlled Substance Act Registration Fees charging full cost.				07/31/01	05/30/02	
6. Properly perform quarterly certifications of open obligations.				11/30/00	09/30/02	

7. Complete conversion of property to Fixed Asset Subsystem.	09/30/02	11/30/03	
<p><b>How We Will Know It Is Fixed</b></p> <p>Minimal errors will be found in the accounting processing, recording, and reporting, and the audit recommendations will be closed.</p>			

<p align="center"><b>U. S. DEPARTMENT OF JUSTICE</b>  <b>Corrective Action Report</b>  Issue and Milestone Schedule</p>				<b>Issue ID</b> 1997-4896	<b>Organization</b> Immigration and Naturalization Service	
				<b>Issue Title</b> INS Financial Management		
<b>Date First Initiated</b> 10/23/97	<b>Original Target for Completion</b> 10/01/98	<b>Current Target for Completion</b> N/A	<b>Actual Date of Completion</b> <b>(CLOSED)</b>	<b>Issue Type (Organization Rating)</b> Material Nonconformance		
<b>Source Title</b> Annual Financial Statement Audit			<b>Date of Source Report</b> 10/23/97	<b>Issue Type (DOJ Rating)</b> Material Nonconformance		
<b>Issue Description</b> <p>The Immigration and Naturalization Service (INS) accounting system is inadequate and lacks reliable information in its financial reports. The accounting system cannot fully comply with administrative policies and procedures in regard to fund controls and has significant weaknesses over payments and obligations. The accounting system is outmoded and is comprised of diverse mainframe, manual, and personal computer-based systems. The various systems are not integrated; have significant internal control deficiencies; and do not provide the INS with useful, timely information.</p> <p>The INS could not accurately or effectively reconcile differences between accounting records and United States Treasury's (Treasury) fund balance accounts.</p>						
<b>What We Will Do About It</b> <p><i>This issue is CLOSED.</i></p> <p>Milestone 1: elevated to separate material nonconformance.  Milestone 2: closed.  Milestone 3: subsumed under "DOJ Financial Systems Compliance"</p> <p>The INS is implementing a new financial management system, using a phased-in approach and enforcing proper adherence of accrual based accounting standards. Policies and procedures are being developed in coordination with full implementation of the system. INS selected the Federal Financial Management System (FFMS) developed by RELTEK Systems &amp; Design, Inc. However, further review is necessary to determine if the FFMS will meet the INS's long-term automated financial management system needs. A consulting firm has been engaged to assess all current Joint Financial Management Improvement Program-compliant products, including FFMS, to determine if proceeding with FFMS or acquiring an alternative product would be of best interest to INS.</p> <p>The INS implemented a process for reviewing and correcting unreconciled differences with Treasury's fund balances on an on-going basis.</p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>

1. INS will develop accurate data to support deferred revenue reported on financial statements.	10/31/00		
2. Correct unreconciled differences.	01/31/01		03/01/01
3. Implement new financial management system.	10/01/03		
<b>How We Will Know It Is Fixed</b>			
Accounting data will be reliable and the audit recommendations will be closed.			



<b>U. S. DEPARTMENT OF JUSTICE</b> <b>Corrective Action Report</b> Issue and Milestone Schedule				<b>Issue ID</b> 2000-6496	<b>Organization</b> U.S. Marshals Service	
				<b>Issue Title</b> USMS Adherence to Accounting Standards <i>(previously Financial Management)</i>		
<b>Date First Initiated</b> 12/01/00	<b>Original Target for Completion</b> 09/30/01	<b>Current Target for Completion</b> 09/30/01	<b>Actual Date of Completion</b> 06/30/01 <b>(CLOSED)</b>	<b>Issue Type (Organization Rating)</b> Material Nonconformance		
<b>Source Title</b> Financial Statement Audit			<b>Date of Source Report</b> 01/03/00	<b>Issue Type (DOJ Rating)</b> Material Nonconformance		
<b>Issue Description</b> <p>The United States Marshals Service (USMS) does not have adequate controls over certain elements of its financial accounting reconciliation process. Auditors concluded that the inadequate controls presented a deficiency in the financial account control system that could adversely impact USMS ability to record, process, and report its financial transactions timely and accurately.</p> <p>Improvements are needed in the USMS financial statement preparation process. Due to the extensive effort necessary to prepare, review, and correct account reconciliations, the USMS was not timely in submitting requested financial statement information. Throughout the financial statement process, auditors found technical errors, clerical errors, and inconsistencies in the form and content of the financial statements and associated footnotes. Additionally, there was no documentation of management review of the financial statements.</p>						
<b>What We Will Do About It</b> <p><i>This issue is CLOSED.</i></p> <p>The USMS established the Financial Policy Team within the Office of Finance. It is tasked with updating existing policies and procedures manuals. The Financial Policy Team will fully document all reconciliation processes.</p> <p>The USMS has received authority to hire additional staff to assist with operations. With more timely reconciliations and more staff available for compilation of financial statements, the USMS expects to be able to submit timely and materially accurate financial statements for FY 2001 and future fiscal years. In addition, management will perform thorough management reviews of the financial statements for accuracy and completeness.</p>						
<b>Milestones</b>				<b>Original Target Date</b>	<b>Current Target Date</b>	<b>Actual Date of Completion</b>

1. Document all reconciliation processes. (The Department of Justice audit statements preparation guide closed this milestone.)	09/30/01		06/01
2. Hire additional personnel and management review of financial statements.	09/30/01		03/01
<p><b>How We Will Know It Is Fixed</b></p> <p>Minimal errors will be found in accounting processing, recording, and reporting, and the audit recommendations will be closed.</p>			