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STRATEGIC GOAL FIVE: Fairly and Effectively Administer the Immigration and Naturalization Laws of the United States

The DOJ components with primary responsibility for implementing this Strategic Goal are the Immigration and Naturalization Service (INS) and the Executive Office for Immigration Review (EOIR). The Civil Division and the United States Attorneys' offices are also key players. INS' primary mission is to administer and enforce the nation's immigration laws. INS activities include: determining the admissibility of persons seeking to enter the U.S. through an inspections process, and facilitating entry; processing and granting immigration-related benefits; patrolling the borders; deterring and investigating illegal employment and providing information to employers and benefit providers to prevent illicit employment or benefit receipt; and disrupting and dismantling organizations engaging in document and benefit fraud and alien smuggling. In addition, INS apprehends, detains, and removes aliens present in the U.S. without lawful status and/or those who have violated U.S. criminal laws. As individual aliens engaging in criminal activity and organizations facilitating illegal immigration are often associated with other criminal activity, INS plays a critical role in enforcing U.S. criminal laws.

EOIR's mission is to provide separate and independent fora for the objective, unbiased adjudication of disputes between INS and aliens or other individuals regarding immigration status, removal, or the availability of relief under the law. In the conduct of this mission, EOIR and its components (the Board of Immigration Appeals, the Immigration Courts, and Administrative Law Judges) seek to render fair and proper decisions in timely and efficiently. The Civil Division and the United States Attorneys Offices defend the decisions of INS and EOIR. By defending policies and administrative decisions, the Civil Division strengthens immigration enforcement activities.

MANAGEMENT CHALLENGES

The Department has reported six material weaknesses in this area:

Monitoring of Alien Overstays. Nonimmigrant overstays comprise a significant percentage of the illegal alien population in the United States, but INS has insufficient systems to compile information on the overstay population and lacks an enforcement policy that specifically targets the overstay population.

Efforts to Identify and Remove Criminal Aliens. A 1997 GAO report on the INS Institutional Removal Program (IRP) noted that the INS: (1) failed to identify many deportable criminal aliens, including aggravated felons, and failed to initiate IRP proceedings for them before they were released from prison; (2) did not complete the IRP by the time of prison release for the majority of criminal aliens it did identify; and (3) did not realize intended enhancements to the IRP.

Alien Smuggling. Between FY 1997 and FY 1999, the number of apprehended aliens smuggled into the U.S. increased nearly 80 percent. INS predicts that the smuggling will continue to increase and that alien smuggling organizations will become more sophisticated, organized, and complex. INS lacks inter-program coordination, an agencywide automated case tracking and management system, and performance measures to assess the effectiveness of the strategy, all of which affect INS' ability to address this issue.

Management of Automation Programs. INS has experienced longstanding difficulty in providing timely and consistent information about its information technology resources and activities.

INS Deferred Revenue. Issue description and performance measures are under Strategic Goal VIII.

INS Organizational and Management Issues Issue description and performance measures are under Strategic Goal VIII.

The DOJ OIG's December 2001 list of the top ten management challenges facing the Department includes three management challenges in this area:

INS' Enforcement of Immigration Laws. This addresses three of the above material weaknesses: Monitoring of Alien Overstays, Efforts to Identify and Remove Criminal Aliens; and Alien Smuggling. Under this issue, the OIG also includes INS' Deferred Inspection Program and the INS' practice of escorting criminal aliens on commercial airlines when aliens are removed from the United States.

Information Systems Planning and Implementation. Although the OIG considers this to be a Departmentwide issue, INS figures prominently in it. It is closely linked to the above material weakness, Management of Automation Programs.

Financial Statements and Systems. Although the OIG considers this to be a Departmentwide issue, the OIG specifically mentions INS's inability to substantiate the earned revenues offset portion of Immigration Program Costs, which is directly linked to the above material non-conformance, Deferred Revenue. Performance measures related to this management challenge are noted under Strategic Goal VIII.

Unless otherwise indicated above, performance measures related to these material weaknesses and management challenges are noted under this Strategic Goal.

PROGRAM EVALUATIONS

Joint INS-HHS Evaluations

INS will continue several major program evaluations into FY 2001 and FY 2002 that involve coordination with other agencies. In cooperation with a consortium of agencies and the Department of Health and Human Services (HHS), INS is contributing to a yearly follow-up to the New Immigrant Survey, which tracks the status and employment activity of aliens entering the United States in FY 2000 for a 5-year period based on categories of entry. INS will also continue the evaluation of the impact of the Welfare Reform Act with HHS and the application of the affidavit of support provisions of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996.

Employment Verification Pilots

Formal multi-year program evaluations of the Employment Verification Pilots began in FY 1999. These evaluations include statistics and interpretation of the impact of the pilot in providing alien status verification services for employers. The Basic Pilot evaluation was produced in FY 2001. The Citizen Attestation and Machine Readable Pilots will be evaluated in FY 2002, and an evaluation of the overall Verification Pilots is scheduled for FY 2003.

INS Information Technology (IT) Systems and Projects

As part of its activities, INS' Information Technology Investment Approval Board (IT-IAB, formerly known as the Investment Review Board) will continue to review and assess operations and maintenance spending, as well as investment spending for IT. The analysis and evaluation activities through the IT-IAB Executive Steering Committee, Portfolio Managers for areas of IT activity (i.e., senior staff from the program operations components of the agency), and through the Strategic Information and Technology Development Office will be refined in FY 2002.

In FY 2002, procedures will be in place to ensure that evaluations are conducted on systems and projects to ensure that certain criteria are met before a system will be allowed to move into the next phase in the life cycle. Evaluations will be conducted by an independent group to ensure that systems comply with the requirement for investment decisions and system development life-cycles.

Border Enforcement

INS continuously evaluates the effectiveness of its border enforcement strategies, particularly for the southwest border, and quarterly evaluates progress on sub-goals and milestones through the Commissioner's Performance Management Reviews. In addition, several special studies have been initiated and are ongoing to evaluate border enforcement effectiveness.

Other studies and analysis related to the effectiveness of INS enforcement activities at the border are anticipated in FY 2002. They include follow-on analysis and reporting regarding the independent assessment of the effectiveness of the operations in the San Diego and McAllen Sectors and follow-up to the recommendations and action plans in the 1999 and 2001 GAO reports on the Status of the Southwest Border Strategy. Study findings will be available when all results are synthesized and an overall analysis is performed.

In FY 2002, the data, analyses, conclusions and evaluation implications from these studies will be combined with INS data, including fingerprint identification of recidivist patterns and performance data. This step will allow INS to complete an assessment of program evaluation approaches, determine the best approach, and implement the plan.

A new initiative will be undertaken in FY 2002 to develop an inspections strategy to better integrate Port-of-Entry activities into the overall INS Border Control Strategy. This strategy will include a review of all technology employed by the Inspections program, consistent with INS' Enterprise Architecture initiative.

IDENT-IAFIS

FY 2000 through FY 2001, INS continues its evaluation in conjunction with the Federal Bureau of Investigation to advance the Automated Biometric Identification System (IDENT) – Integrated Automated Fingerprint Identification System (IAFIS) (IDENT-IAFIS) integration. The study is examining the operational requirements for fingerprinting aliens apprehended at the border. This initiative will increase the capacity for timely identification of aliens with a criminal history and allow INS to take appropriate actions to arrest, detain, and formally remove these individuals. This study will involve the use of cost models and the INS Deployment Planning System and will involve simulations and modeling as part of the analysis.

Naturalization Benefits Processing

Formal INS program assessments of Naturalization applications casework focus on verifying the compliance level of INS field office operations with the Naturalization Quality Procedures. Previously, this was accomplished through outside audits controlled by the Department. Currently, INS completes internal audits with contract and INS personnel. INS internal audits are continuing in FY 2002 and 2003.

Institutional Removals Program (IRP)

INS anticipates ongoing internal and GAO monitoring and reports on IRP in FY 2002. The impact of internal transfers of functions between INS' Investigations program and the Detention and Removal program is being evaluated and a transition plan is being developed.

Quick Response Teams (QRT)

QRT operations, implemented in FY 1999, focused on establishing interior INS office locations to apprehend and remove illegal and criminal aliens detected by state and local law enforcement authorities in the course of their enforcement operations. INS evaluates QRT performance with a series of measures that are tracked at the agency level and are reported to Congress.

Facilities Impacts

INS is currently working on an initiative to measure the adverse operational impacts from the lack of space in both INS-owned and GSA-leased facilities and infrastructure. This assessment will support and improve the effectiveness of services provided, improve organizational policy development, and management and administration of current and future facilities and infrastructure inventory requirements.

STRATEGIC OBJECTIVE 5.1: ENFORCEMENT

Secure America's borders, especially to reduce the incidence of alien smuggling

Annual Goal 5.1: Secure America's borders, especially to reduce the incidence of alien smuggling

STRATEGIES

- ◆ Prevent and deter illegal entry by phased implementation of a comprehensive border enforcement strategy that concentrates resources to control corridors of illegal entry.
- ◆ Pursue border safety initiatives that create a safe border environment.
- ◆ Strengthen the capabilities of host and transit countries to combat illegal migration and prevent and deter illegal immigration at the source.
- ◆ Enhance and maintain an effective intelligence capability through coordination with other agencies and integration of INS worldwide intelligence resources.

The mission of the Immigration and Naturalization Service (INS) is to enforce provisions of the law that govern lawful entry and presence within the United States, and provide immigration benefits and services to individuals and entities (e.g., employers) entitled under law.

In FY 2003, INS will continue to execute the Border Management and Control strategies, which include port enforcement, and deterrence and apprehension. Port enforcement efforts target not only more

sophisticated methods of illegal immigration and alien smuggling, but also implement the expedited removal authority granted under the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA).

In the wake of the terrorist attacks of September 11, 2001, applicable INS enforcement activities will focus first on protecting America from terrorism. Since terrorists exploit legal and illegal means of coming to and remaining in the United States, one can draw an anti-terrorism nexus to virtually all enforcement strategies, goals, and objectives outlined here.

Immigration Inspections resources are requested in FY 2003 to continue improving entry and exit systems controls to more easily identify individuals violating immigration laws. Efforts in the areas of deterrence and apprehensions target unlawful border crossers who seek to enter between Ports-of-Entry (POEs). The INS National Border Control Strategy is to achieve control of the border at and between POEs in designated geographic areas known as corridors (see definition in data section). Border Patrol resources (personnel and technology) are needed in FY 2003 to maintain and extend control along the border. Additional impacts on operational effectiveness and deterrence levels within identified corridors can be achieved by the continued systematic deployment of agent staffing, technology and other resources that directly support enforcement operations. In addition, INS will intercept and repatriate mala fide travelers and offshore migrants en route to the United States. INS will also use Community Relations resources to forge effective relationships and engage in cooperative activities with national, state, and local government as well as non-government entities to defuse tensions and provide forums for discussion and feedback on INS laws, policy and practices.

INS will continue developing an intelligence infrastructure with the goal of supporting all enforcement efforts, and creating seamless border coverage that integrates border and interior enforcement efforts. INS will build on intelligence successes expanding coordination and cooperation with other agencies to provide strategic and operational intelligence capabilities. To do this, in FY 2003 INS will expand its intelligence infrastructure and build greater operational capability using automation tools and operational support units.

Cooperation will be expanded with the U.S. Customs Service, U.S. Coast Guard, the Department of Agriculture, and others through the Border Coordination Initiative (BCI). One major strategy of the BCI is its outreach efforts to other federal, state and local law enforcement agencies. Through annual guidance to the field by headquarters, the 24 BCI Field Areas develop joint agency action plans taking into account their own individual and often unique situations and attempt to reach out to their law enforcement counterparts and bring them into the BCI family. Since it was rolled out in the fall of 1998, when the U.S. Customs Service and the INS appointed their respective Border Coordinators to oversee the Border Coordination Initiative, the U.S. Coast Guard has come on board and provided its own Border Coordinator. All three representatives are co-located at Customs Headquarters. A de facto Border Coordinator from the Department of Agriculture has also been appointed.

MEANS – Annual Goal 5.1

Dollars/FTE

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
Immigration and Naturalization Svc	10970	1201	11589	1460	12934	1395
U.S. Attorneys	311	44	333	47	336	52
Subtotal	11281	\$1245	11922	\$1507	13270	\$1447

Skills

Border Patrol agents, Immigration Inspectors, and Intelligence Officers must have interpersonal skills, problem solving abilities, composure, skill in the use of firearms, operate a variety of motor vehicles, and be fluent in Spanish. Officer corps personnel, particularly those in the intelligence and investigative fields, will also require strong computer skills and knowledge of the systems utilized in INS. Achievement of anti-smuggling goals also requires Special Agents, Investigative Assistants, Financial Analysts for asset forfeiture, Intelligence Agents/Officers, analysts, and other support staff. INS officers overseas must possess the full breadth of immigration knowledge with respect to enforcement and benefit responsibilities, experience in one or more immigration-related disciplines, and above all, communication and diplomatic skills in order to obtain host country authorities' support of the INS mission.

Information Technology

The Interagency Border Inspection System (IBIS) is a major tool used to inspect travelers. Photo phone equipment allows transmission of photographic images between the INS Forensic Document Lab and POEs. NetLEADS is the approved intelligence module for INS, and has been fully deployed. Ultimately, the data will be captured in the Enforcement Case Tracking System ENFORCE via the ENFORCE Investigation Case Management and Intelligence Module (EICMIM) and stored in the Enforcement Integrated Database (EID). This integration will enable INS to streamline investigative reporting, intelligence collection, storage, research, analysis and the dissemination of value-added intelligence information. The Border Patrol Enforcement Tracking System (BPETS) and Intelligent Computer Assisted Detection (ICAD) are two of the tools used to generate data for border strategy effectiveness reports. In addition, significant efforts are underway to integrate live-scan biometrics functionality between INS' Automated Fingerprint Identification System (IDENT) system and FBI's Integrated Automated Fingerprint Information System (IAFIS). A geographical information system and Technology refresh, a hardware-software-telecommunications platform upgrade may be enhanced in FY 2002. The Border enforcement effort between the POEs also utilizes the Integrated Surveillance Intelligence System (ISIS), which uses cameras, monitors, and sensors.

PERFORMANCE ASSESSMENT – Annual Goal 5.1

5.1A Reduce the number of illegal aliens in the United States

Background/ Program Objectives:

The Immigration and Nationality Act states that the Commissioner, in consultation with interested academicians, government agencies, and other parties, shall provide for a system for collection and dissemination, to Congress and the public, of information useful in evaluating the social, economic, environmental, and demographic impact of immigration laws. The Act provides that “such information shall include information on...the number of aliens estimated to be present unlawfully in the United States each fiscal year.”

INS last released the official updated 1996 estimates of the U.S. illegal population using the detailed statistical data from the U.S. Census Bureau. INS will release the first of an annual series of estimates that meet the requirements of the Immigration and Nationality Act in FY 2002. These estimates will be based on analysis of the most recent detailed U.S. Census Bureau statistics, selected data collected annually by the U.S. Census Bureau in the Current Population Survey and INS immigration data. INS will estimate the size of the illegal alien resident population and the average growth rates per year.

Performance:

Performance Measure: New Measure: Total Number of Illegal Aliens Residing in the United States (in millions)

2001 Target: N/A

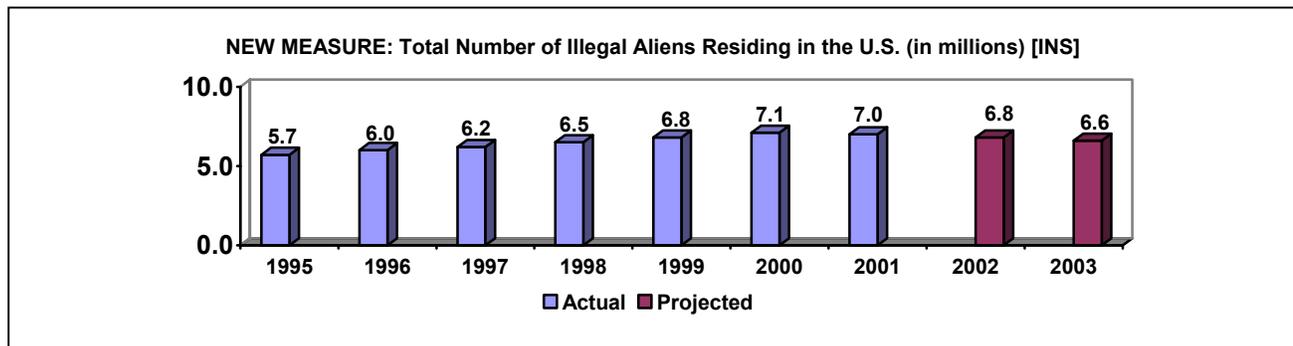
2001 Actual: 7.0 million residents (estimate)

Discussion: The FY 2001 “actual” reflects a projection based on data in the interim made before the 2000 census results were available. The estimated illegal alien resident population was 6.8 million in January 2000, plus or minus 500,000. California remained the state with the largest illegal alien population, but growth in California dropped throughout the 1990s. From 1990 to 2000, Texas and Florida passed New York to become the second and third states, respectively. During the 1990s, the illegal immigrant population living in Arizona increased from 90,000 to 295,000; the illegal immigrant population living in Colorado increased from 30,000 to 130,000 during the decade.

FY 2002 Performance Plan Evaluation: The projected number of illegal residents in the United States is 6.8 million.

FY 2003 Performance Target: 6.6 million

Public Benefit: Reduction in the illegal resident population reinforces immigration laws and reduces the supply of illegal aliens for unauthorized employment. It also reduces the demand on local economic and social services from illegal alien residents.



Data Definition: The total number of illegal aliens is an estimate of the total number of illegal aliens residing in the U.S. as of January 1 of the reference year. The definition of a resident corresponds to the U.S. Census Bureau definition of usual residence (i.e., where a person spends more nights during a year than any other place). Illegal aliens in transit or with no place of usual residence within the United States, therefore, are not included in the estimate. The estimate of the total number of illegal aliens is actually based on estimates for several components according to the following formula:

Total illegal residents = (Foreign-born residents) + (Estimated undercount) – (Legally admitted immigrants + Temporary migrants (nonimmigrants)). Note: Legally admitted immigrants include: Aliens admitted for legal permanent residence + Refugees and asylees admitted but not yet adjusted to LPR status - Emigrants – Deaths

Data Collection and Storage: Data are collected from a variety of official government sources. The most important are survey data on the resident foreign-born population collected by the U.S. Census Bureau and administrative data on legal admissions collected by the INS. The data on foreign-born residents are collected on the long-form sample during the Decennial census, or, between Decennial censuses, with the monthly household Current Population Survey. The Decennial census data are based on a 1 in 6 sample of all U.S. households. The Current Population Survey data are based on a survey of approximately 50,000 households. The INS administrative records used in the estimate are for legal permanent residents, persons admitted for temporary residence, and refugees and asylees who are eligible to adjust to legal permanent residents status. The legal permanent resident data are collected by INS through Department of State visas and records of adjustment and recorded in INS' Computer-Linked Application Information Management System (CLAIMS3). Estimates of temporary migrants residing here are derived from statistics collected in INS' Nonimmigrant Information System. Information on emigrants and deaths of legal resident aliens is estimated based on data and research conducted by the Census Bureau.

Data Validation and Verification: The census foreign-born data are subject to the validation and verification procedures established at the U.S. Census Bureau. Individual INS records of legal permanent residents are extensively reviewed to insure the validity of the data. The INS' annual number of legal permanent residents are compared to U.S. DOS data on visas issued for the categories of immigrants who require a visa, to check for completeness. INS inspectors collect form I-94 from all arriving aliens, and the information is compiled in the Nonimmigrant Information System. The estimates of emigrants and deaths are based on research reports that are subject to the validation and verification procedures established at the U.S. Census Bureau.

Data Limitations: The estimate for the total foreign-born population is derived through sampling, and is subject to sampling error. INS estimates that the range around the estimate is plus or minus roughly 500,000 persons. These annual estimates are very difficult; in the past they have only been released every 4 years. The estimates are known to include some persons in a quasi-legal immigration status, such as prospective asylees awaiting a decision and persons who are in the United States and eligible to adjust to permanent resident status. These and other aliens in similar categories would not necessarily be subject to removal if arrested. Assumptions of the number of persons who emigrate or are in temporary legal status and assumptions of the coverage of the foreign-born and illegal aliens in the Decennial census or Current Population Survey also affect the estimate. Differences in assumptions will lead to different estimates. The U.S. Census Bureau and several non-governmental researchers have published their own estimates of the illegal resident population in the past. Differences that are well within the margin of error may still raise questions about the accuracy of the estimates.

Performance Measure: New Measure: Annual Entries of Illegal Aliens Residing the United States

2001 Target: N/A

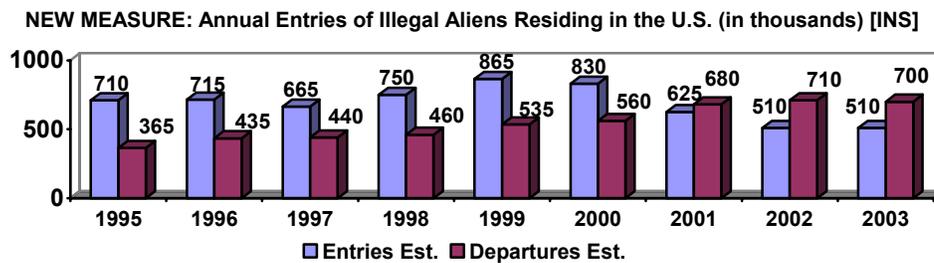
2001 Actual: 625,000 new entrants (estimate)

Discussion: The 2001 "actual" reflects a projection based on data in the interim made before the 2000 census results were available. The illegal resident population grew at an average rate of 290,000 per year during the 1990s. An average flow of 680,000 aliens entered the illegal resident population; however, 390,000 left the population. The illegal alien population is projected to decline 40,000 a year for the period beginning in 2000 and ending in 2003. The average flow of aliens entering the illegal resident population for 2000-03 is expected to decline to 620,000, and the average number of departures is expected to increase to 660,000. Departures will continue to increase as INS reduces the backlog in adjustments to legal permanent resident status (LPR). Many of the aliens adjusting to LPR status will have been in an illegal status, such as those paying a fee and remaining in the United States (adjusting under Section 245(i) of the INA). Apprehensions of deportable aliens by the Border Patrol are estimated to decrease from 1.2 million to 1 million in 2002 and 2003.

FY 2002 Performance Evaluation: The projected number of illegal aliens entering the illegal resident population in the United States 510,000.

FY 2003 Performance Target: 510,000

Public Benefit: INS efforts to reduce illegal migration into the U.S. will enable us to defend the security and stability of our Nation and deter specific threats from organized crime, drug traffickers, and terrorist groups. Reduction in the movement of aliens across the border will also improve the quality of life in border communities.



Data Definitions: Annual entries is an estimate of the annual number of illegal aliens who entered the United States during the previous year and continue to reside in the United States as of January 1 of the reference year. A change in the resident illegal population between years is equal to the difference between the number of new entrants establishing residence during the year (entries) minus the number of prior residents who left the illegal population during the year (departures). The difference between entries and departures is the net change in the illegal resident population. Illegal residents leave the population through emigration, death, removal by INS enforcement, or a change to legal permanent resident status. The definition of a resident corresponds to the U.S. Census definition of usual residence (i.e., where a person spends more nights during a year than any other place). Illegal aliens who entered the U.S. during the year who are in transit or who have no usual place of residence within the United States, therefore, are not included in the estimate.

Data Collection and Storage: Data are collected from a variety of official government sources. The most important are survey data on the resident foreign-born population collected by the U.S. Census Bureau and administrative data of legal admissions collected by INS. The data on foreign-born residents are collected on the long-form sample during the Decennial census, or, between Decennial censuses, with the monthly household Current Population Survey. The Decennial census data are based on a 1 in 6 sample of all U.S. households. The Current Population Survey data are based on a survey of approximately 50,000 households. INS administrative records used in the estimate are for legal permanent residents and persons removed from the U.S. by INS procedures. The legal permanent resident data are collected by INS through Department of State visas and records of adjustment and recorded in INS' Computer-Linked Application Information Management System (CLAIMS3). Information on INS removals is collected and recorded in INS' service-wide Deportable Alien Control System (DACS) by the respective field offices that conduct the removals. Information on emigrants and deaths of illegal resident aliens is estimated based on data and research conducted by the Census Bureau and information reported by the Mexico-U.S. Migration Study in 1998.

Data Validation and Verification: The census foreign-born data are subject to the validation and verification procedures established at the U.S. Census Bureau. Individual INS records of legal permanent residents and persons removed by the INS are extensively reviewed to insure the validity of the data. INS' annual number of legal permanent residents is compared to U.S. DOS data on visas issued for the categories of immigrants who require a visa, to check for completeness. Data on the removal of criminal and non-criminal aliens from the U.S. have high visibility and are highly scrutinized. As a critical performance measure on its own, it is subject to extensive data review activities by both the program office and the Statistics Division of the INS. DACS and CLAIMS3 data verification and validation sections appear in this plan in Strategic Objectives 5.2 and 5.3, respectively. The estimates of emigrants and deaths of illegal immigrants are based on research reports that are subject to the validation and verification procedures established at the U.S. Census Bureau. The estimates of undercount of illegal residents in the Current Population Survey are consistent with the findings of the Mexico-U.S. Migration Study.

Data Limitations: The estimate is derived through sampling, and is subject to sampling error. This is the first time that annual estimates have been made, and no information is available to assess the potential variability from year to year. The estimates are known to include some persons in a quasi-legal immigration status, such as prospective asylees awaiting a decision and persons who are in the United States and eligible to adjust to permanent resident status under section 245(i) of the Immigration and Nationality Act. These and other aliens in similar categories would not necessarily be subject to removal if arrested. Assumptions about the number of persons who emigrate or are in temporary legal status and assumptions of the coverage of the foreign-born and illegal aliens in the Decennial census or Current Population Survey also affect the estimate. Differences in assumptions will lead to different estimates. Neither the U.S. Census Bureau nor non-governmental researchers have been able to estimate annual inflow, departures from the population, or net annual change in the population, so there are no benchmarks against which to compare the estimates.

Strategies and Initiatives to Achieve the FY 2003 Goal:

INS will measure the individuals defined as residents in the United States who are unlawfully present. INS will periodically update these estimates and provide additional analyses as more data become available and techniques are further refined.

Crosscutting Activities:

The INS coordinates with interested academicians, government agencies, and other parties, including the U.S. Department of Commerce, U.S. Census Bureau and the U.S. Government Accounting Office. The INS also is involved with a number of organizations in the academic and statistical community to continue to improve the collection, methodology and reporting of alien population information.

5.1B Effectively Control the Border (Management Challenge)

Background/ Program Objectives:

At the Ports-of-Entry

INS will promote optimal enforcement of United States borders and laws at United States Ports-of-Entry (POEs) through improved knowledge, deterrence, and effectiveness. INS will improve knowledge by providing Immigration Inspectors improved advance data, intelligence, and analysis tools to make the resulting analytical information actionable. INS will operate maximum available lanes and booths at POEs to establish, maintain, and enhance clear and convincing deterrence to illegal entry attempts. INS will improve effectiveness by leveraging deterrent presence to increase scrutiny of all persons seeking entry.

For FY 2002, INS is revising its strategic and performance measures to focus on building the underlying infrastructure at POEs to use all available physical means to manage traffic effectively and efficiently, and to improve enforcement of immigration laws at our nation's borders. Enhanced resource allocation will support improved operation of land border vehicle and pedestrian lanes, up to 24-hours daily, seven days weekly, to establish an optimum enforcement environment. INS POE inspection operations, following the terrorist attacks on September 11, 2001, support strategies carried from previous years to improve the inspection process and establish innovative approaches to accomplish INS' enforcement mission.

INS will expand the use of Passenger Analysis Units (PAUs) at air POEs to analyze flight information from the Advance Passenger Information System (APIS), passenger reservation systems, open-source information and law enforcement databases to identify high-risk travelers before they arrive in the United States. This will support increased interdiction at INS primary inspection. The PAU will also develop post-secondary intermediate and long-range operations to detect evolving trends in smuggling, visa and Visa Waiver Program (VWPP) fraud and other illegal activity. During FY 2003, INS will continue to develop an automated query using the National Crime Information Center Interstate Identification Index (NCIC III) Criminal History Record (CHR) queries of Advance Passenger Information data. INS used this capability successfully at John F. Kennedy (JFK) and Newark International Airports to intercept criminal aliens. In FY 2003, the Miami International Airport and the Los Angeles International Airport will have access to these systems. In addition, as INS deploys additional Border Patrol agents and supporting resources to targeted areas along the border, the POEs will experience increases in mala fide applicants for admission to the United States. INS intends that increased scrutiny of all applicants for admission at United States POEs, using both additional human resources and improved automated support systems, will result in increased border integrity and enhanced national security.

INS enforcement and detection strategies will be enhanced to monitor and influence the overall probability that an illegal alien attempting entry would be apprehended. As the effectiveness of the INS strategies causes changes in the flow of illegal entries, INS expects to be able to develop predictors of the success of those strategies and react to changes in the flow in a more timely manner. The coverage of this kind of predictive information will grow as INS expands the systems to deter illegal aliens at the Northern border and the ports of entry.

Interagency Coordination

As part of the Border Coordination Initiative (BCI), INS will work with the U.S. Customs Service at the border to accomplish both agencies' missions in the most efficient and effective manner. In addition, INS will expand and support the use of technologies, automation, and advanced information where available to act as a force multiplier at the border. For FY 2003, the BCI is planning to increase its outreach efforts not only to the other federal, state and local law enforcement organizations along the Southwest Border but also to the Northern Border and possibly the Southern Tier of the United States.

It is critical that INS strengthens enforcement in areas at and between POEs by improving border infrastructure, detection and intelligence technology, and staffing. These basic resources are essential to maximize the proactive, deterrent enforcement capability of border agencies while also facilitating joint operations. INS, in cooperation with Federal, state and local law enforcement organizations, must create a secure and seamless border management system. This means that INS must help to integrate law enforcement efforts in order to secure the border against a variety of potential threats.

Interagency Coordination

As part of the Border Coordination Initiative (BCI), INS will work with the U.S. Customs Service at the border to accomplish both agencies' missions in the most efficient and effective manner. In addition, INS will expand and support the use of technologies, automation, and advanced information where available to act as a force multiplier at the border. For FY 2003, the BCI is planning to increase its outreach efforts not only to the other federal, state and local law enforcement organizations along the Southwest Border but also to the Northern Border and possibly the Southern Tier of the United States.

Intelligence

The challenges to improve strategic and operational intelligence are being addressed through increased automation (CIRS/NetLEADS/ENFORCE/IDENT) in the intelligence collection and analysis process. In FY 2003 it will provide mid-level managers with better information to use in the allocation of resources. INS will continue to prepare target folders in cooperation with the National Security Council workgroup on alien smuggling, and will continue to provide strategic reports to upper management for deployment considerations. INS makes use of electronic data collected by analyzing this variety of data sources using Orion NetLEADS. As Service wide implementation of the automated systems is increased, INS will be able to gain even greater access to intelligence data that is being collected by field enforcement units.

Between the Ports-of-Entry

Since its inception in 1994, the Border Patrol's National Strategic Plan has been the basis for a multi-year, phased approach to the deployment of new resources along the Southwest border, initially concentrating on areas of greatest illegal entry. The strategic plan was developed as a systematic four-phased approach to strengthen control of the border with a national focus of "prevention through deterrence" as a means to restrict illegal traffic and encourage legal entry. *Deterrence* is defined as raising the risk of apprehension so high that it is futile to attempt entry. The four-phased approach will build-up resources along the entire Southwest border as well as the northern border and coastal areas of the United States.

The highest priority is the Southwest Border and those areas with the highest concentration of illegal entry. The strategy focuses resources on specific sectors (further defined by corridors) in priority order. Phase I includes San Diego (2 corridors), and El Paso (3 corridors); Phase II covers Tucson (3 corridors) and McAllen (3 corridors); Phase III concentrates on Del Rio (2 Corridors) and Laredo (3 Corridors) and the remainder of the Southwest border; and Phase IV including the Northern Border and Coastal areas as well as new areas of activity. Currently, INS is in Phase II and has achieved optimum deterrence in the principal corridors where traditional illegal activity has occurred in San Diego and El Paso, and is attempting to maintain that level while focusing on the Tucson corridors. The primary indicator of successful deterrence is the significant reduction and leveling off of attempted entry. *Optimum deterrence* is defined, as the level at which applying more Border Patrol agents and resources is no longer justifiable considering the areas current or future potential to facilitate successful illegal entry. This is a critical point in the strategy, as it would make little sense to try to reach essentially zero illegal entry attempts in one location while there are literally thousands of such attempts in another. Through sufficient staffing in recent years the Border Patrol has profiled and predicted the trend pattern to reaching optimum deterrence. After several years of staffing increases a peak is reached in staffing levels and arrests, followed by a reduction in illegal entry attempts (deterrence), culminating in a leveling off of both resources and arrests (optimum deterrence). It can take up to 6-8 years to reach optimum deterrence provided there are sufficient resources.

Although an eventual reduction in arrests is a primary indicator of illegal entry attempts (and therefore deterrence), other critical indicators include: decrease in border related crime, decrease in recidivism, shifting of illegal activity to non-traditional points of entry and through non-traditional methods, increase in smuggling fees, increase in property values and commercial and public development along the border, etc. Each of these factors (and others) is part of a comprehensive analysis conducted for each area. The effectiveness of the Border Patrol's National Strategic Plan is evidenced by the significant changes in illegal entry attempts in the San Diego, California, El Paso and Brownsville, Texas, and the Nogales, Arizona border areas. The ultimate impact is the increase in quality of life in these areas.

The primary focus of border management will continue to be to gain and then maintain control of the southwest border. The Border Patrol strategic plan addresses control of the border outside of the southwest border, monitoring the flow of illegal entrants, and the deployment of resources to new areas of increased activity. Alien flow and Border Patrol staffing in the northern border sectors has been relatively stable over the last 10 years. However, due to the events of September 11, 2001, the Border Patrol will accelerate the

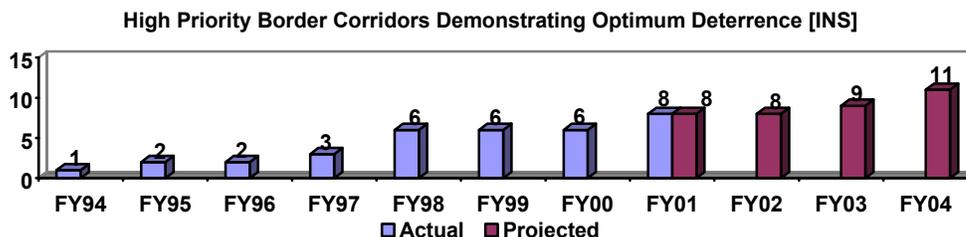
deployment of personnel and resources to the northern border in FY 2003, and will address any significant changes in illegal cross-border activities appropriately.

Performance:

Performance Measure: High Priority Border Corridors Demonstrating Optimum Deterrence

FY 2001 Target: 8 corridors

FY 2001 Actual: 8 corridors



Phase I	# of Corridors	FY94*	FY95*	FY96*	FY97*	FY98*	FY99*	FY00	FY01	FY02	FY03	FY04
San Diego	2	0	1	1	1	2	2	2	2	2	2	2
El Paso	3	1	1	1	2	2	2	2	2	2	3	3
Phase II												
Tucson	3	0	0	0	0	1	1	1	2	2	2	3
McAllen	3	0	0	0	0	1	1	1	2	2	2	3
Phase III**												
Laredo	3	0	0	0	0	0	0	0	0	0	0	0
Del Rio	2	0	0	0	0	0	0	0	0	0	0	0
El Centro	3	0	0	0	0	0	0	0	0	0	0	0
Yuma	4	0	0	0	0	0	0	0	0	0	0	0
Marfa	3	0	0	0	0	0	0	0	0	0	0	0

Assumptions: Projected corridor effectiveness is dependant upon sufficient allocation of resources and Congressional approval of agent deployment plans. Optimum deterrence on the border will not increase in proportion to marginal increases in resources.

***Note:** Corridor effectiveness shown above for FY 94 through FY 99 is estimated, due to the lack of available data for corridors during that period.

****Note:** Although Phase III is not expected to begin until after FY 04, the anticipated affected Sectors are currently developing local operational plans in accordance with the National Border Patrol Strategy.

Data Definitions: INS will conduct an assessment of areas where the Border Patrol is maintaining or extending control to analyze operational effectiveness. Operational effectiveness is defined as apprehensions plus turn backs (the attempt was thwarted), divided by attempts. Attempts are compiled by adding apprehensions plus evadees (successful illegal entries) plus turn backs. In the past, the number of evadees was largely unknown. With technology today, evadees and turn backs are estimated by Border Patrol agents using information from video cameras, infrared scopes (ground and airborne), helicopter patrols, sensor hits, tracks, etc. Optimum deterrence is further analyzed by evaluating: increase in traffic outside of targeted corridors, decrease in number of attempted illegal entries, decrease in the number of violent acts against law enforcement, and utilization of "non-traditional" entry routes.

Data Collection and Storage: Data for the measure is compiled by zones (the smallest geographical area of focus) and then aggregated at the Sector level into Sector corridors. Data collected include: activity (arrests, evadees, turn backs), narcotics seizures (number, type, weight), personnel (permanent, detailed in or out), technology (lighting, cameras, barriers, sensors, vehicles), narrative reports (trends, incidents, factors affecting entry), and additional monthly statistics (IDENT/ENFORCE usage, crime rates).

Data Validation and Verification: On a monthly basis, summarized nationwide reporting occurs through INS' centralized, automated Performance Analysis System (PAS) database. Monthly reviews and editing of apprehension numbers reported in PAS is conducted not only at the Sector level, but also by the centralized INS Statistics Division, which maintains the PAS database. Increasingly, review and editing involves using systems counts from ENFORCE/IDENT.

Data Limitations: A process to standardize all such recording and reporting of data is ongoing across all Border Patrol Sectors to ensure consistency and validity. The collection of this data is currently an intensive manual process. The use of INS' Intranet to extract existing data from automated systems such as ENFORCE and ICAD along with auxiliary data not yet automated is being tested at limited pilot sites. The national implementation of such operational data will be used to access and analyze operational effectiveness Patrol Strategy.

Discussion: Eight of nine Southwest border sectors demonstrated an increase in operational effectiveness in one or more corridors. San Diego was the only sector that did not achieve its level of operational effectiveness target. Although it was slightly lower than the target level, priority operational corridors are still considered to be under an optimal deterrent level. An analysis of San Diego Sector statistics for the 4th quarter of FY01 indicates that a significant attrition of personnel led to the decline in effectiveness, which had been above the target level for the previous 3 quarters. Also, the San Diego Sector fulfilled the majority of detail assignments subsequent to the terrorist attacks on September 11th.

FY 2002 Performance Plan Evaluation: We expect to meet the FY 2002 target of 8 high priority border corridors demonstrating optimum deterrence.

FY 2003 Performance Target: 9 high priority border corridors demonstrating optimum deterrence

Public Benefit: INS efforts along the Southwest border will reduce illegal migration into the United States and ultimately improve the quality of life in these areas.

Strategies to Achieve the FY 2003 Goal:

Between the Ports-of-Entry

INS will continue to implement the Border Patrol National Strategic Plan to improve control of targeted areas on the border by preventing illegal entries through deterrence. While attempting to maintain the current level of effectiveness in San Diego and El Paso, INS will continue Phase II efforts in Tucson and McAllen. The basic strategy is to apply increased levels of Border Patrol staff, technology and other resources (increasing the level of operational effectiveness) in the busiest areas until the risk of apprehension is high enough to be an effective deterrent, thus creating acceptable area-wide control. INS will continue border safety initiatives by tracking and recording deaths and rescues, binational mapping, targeting smugglers, integrating the Border Safety Initiative into all aspects of Operations, and increasing awareness through public outreach.

Due to the terrorist's acts of September 11, 2001, the Border Patrol will accelerate the deployment of personnel and resources to the northern border in FY 2003, and will address any significant changes in illegal cross-border activities appropriately. This is not a departure from the Border Patrol Strategy, but a response to pressing operational issues associated with the northern border.

In FY 2002, and in response to Homeland Security Presidential Directive #2, section 4, a U.S. Canada bilateral common threat assessment among all concerned agencies on border zones' vulnerabilities will be conducted. This assessment will assist INS in future deployment of resources to the northern border.

While optimum deterrence takes many years, internally, INS will conduct an assessment of areas where it is maintaining or extending control to analyze our operational effectiveness. The INS Office of Intelligence will continue to provide informational support to the Service's operational units through the collection, analysis, and dissemination of intelligence information. Intelligence training will also continue to be given high priority during FY 2003.

At the Ports-of-Entry

INS will not compromise its enforcement mission. INS will continue to strive towards the objective to manage effectively the movement of travelers and commerce at United States POEs. INS will continue to work with other Federal Inspection Services to obtain and utilize all available information before passengers arrive at United States borders.

During FY 2002, INS will rebuild its POE enforcement capabilities by applying new positions received from the FY 2002 budget and supplemental appropriations. INS will start with hiring and training additional personnel, and developing infrastructure to support increased enforcement-oriented performance methodology, goals, milestones, and measure reporting, starting in FY 2003.

In FY 2003, INS will extend the use of advance information for Immigration Inspectors as far in advance of arrival and as distant as possible from United States borders to help avoid having to deal with criminals and terrorists on United States territory. INS will obtain maximum advance electronic passenger manifest data that is timely and accurately submitted by carriers for most passengers embarking for the United States from foreign points. INS will make available intelligence and criminal history information, and analyze these data well in advance of arrival at the United States. INS will also increase the number of air POEs with access for NCIC III databases to enhance analysis of criminal record databases. These analytical results provide actionable information for Immigration Inspectors to use at POEs to prevent illegal entry, human trafficking,

and smuggling, among other crimes.

Immediately following the September 11th terrorist attacks on the United States, INS assigned all available personnel to provide absolute and clearly visible coverage at United States land border POEs. One clear result was an immediate and pronounced drop in attempts to smuggle narcotics, or to commit other crimes at United States POEs. As the Border Patrol proved over the past decade with a series of extremely successful deterrent-oriented operations between the POEs, a clear, visible, and obvious control of United States border portals will provide an optimum enforcement benefit. INS will improve interception of persons seeking to enter the United States illegally at POEs. We will use deterrence and a closed loop system to continuously improve border enforcement at United States POEs.

Over the next several years, as INS increases the probability of detection and apprehension of illegal aliens entering between POEs (southern, northern, coastal), analysis of the trends will provide INS valuable information to understand the proportion of the entrants that are repeatedly trying to illegally enter. It will also help to identify the combined impact on illegal immigration of those that have shifted to alternate locations between ports, to alternate methods, such as to POE, and alternate techniques of entry such as smuggling. This will enable INS to fully integrate the impact of both its overseas, border and interior strategies.

Crosscutting Activities:

The INS coordinates with other federal, state, local, and international law enforcement agencies where operational initiatives are crosscutting. This includes memoranda of understanding (MOU) with the Drug Enforcement Administration (DEA), particularly with respect to a delegation of legal authority to enforce drug laws under Title 21. A similar MOU is in place with the United States Customs Service where cross-designated authority is provided to both INS and Customs officers to enforce their respective laws. INS, the U.S. Attorney's Office, and the FBI, often coordinate at the INS Sector and District Office levels.

The INS also is involved with a number of federal, state, and local joint-agency task forces with missions such as anti-terrorism, drug interdiction, disruption of alien smuggling, detection of fraud, and other illegal activities. On the international front, the INS coordinates its border enforcement efforts with land neighbors to the north and south engaged in such special programs as Operation Alliance with Mexico, and Project Northstar with Canada.

5.1C Identify, Disrupt and Dismantle Alien Smuggling and Trafficking Organizations (Management Challenge)

Background/ Program Objectives:

The growing volume, sophistication and violent nature of alien smuggling organizations poses a threat not only to the national security of the United States, but to the continued success of the strategies adopted by INS to manage and control our borders, combat illegal immigration at its source and promote public safety by fighting immigration-related crimes. INS will initiate high priority investigations, conduct asset seizures and present individuals for prosecution for alien smuggling related violations to disrupt the means and methods that facilitate alien smuggling.

INS maintains close working relationships with all members of the Intelligence community, routinely sharing information that is aimed at the disruption and dismantling of human smuggling organizations. The benefits of this level of sharing and cooperation can be seen in the development of better enforcement targets, more highly coordinated foreign disrupt operations, and the dismantlement of significant illicit smuggling organizations. Further, the continuation of these cooperative operations in FY 2003 will enhance INS' ability to confront terrorism as well as organized criminal smuggling enterprises.

The September 11th terrorist attacks on America have resulted in a renewed focus on the INS role in advancing national security. Some of the momentum in disrupting and dismantling smuggling organizations will shift to disrupting and dismantling terrorist cells in FY 2002 and FY 2003. INS will continue support the FBI's investigation into the terrorist attacks. INS will also continue to identify national smuggling and trafficking enforcement targets and carryover these investigations to final enforcement and prosecutorial stages

In FY 2000, the GAO reported that INS lacked inter-program coordination, an agency-wide automated case tracking and management system, and performance measures to assess the effectiveness of the anti-smuggling strategy. INS is undergoing a period of restructuring; placement and structure of the alien smuggling and trafficking program will obviously be considered as a part of this overarching process. Further, INS has determined that the Criminal Investigations Reporting System, when successfully integrated with ENFORCE, will constitute an effective and efficient agency-wide automated case tracking and management system.

Performance:

Performance Measure: Targeted Alien Smuggling & Trafficking Organizations Identified, Disrupted, and Dismantled

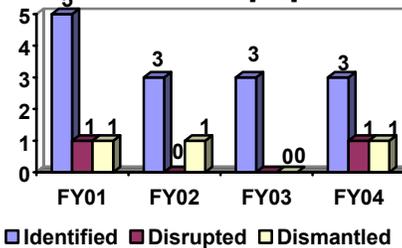
FY 2001 Actual:

5 identified, 1 disrupted, 1 dismantled

FY 2002 Performance Plan Evaluation:

As a result of the changes in enforcement priorities since the recent terrorist attacks, we have revised the FY 2002 targets to 3 identified, 0 dismantled, and 0 disrupted.

Targeted Alien Smuggling & Trafficking Organizations Identified, Disrupted and Dismantled [INS]



Data Definition: Identification: the process of conducting investigations and gathering evidence and intelligence to name participants and their criminal associates violating Federal U.S. immigration laws. Since these are complex investigations, cases identified in one year produce outcomes in later years.

Disruption: occurs when a targeted organization is adversely impacted as a result of INS enforcement actions. Indicators of disruption include changes in organizational leadership, trafficking patterns, smuggling infrastructure, or smuggling methods. This may include disruptive actions taken by another agency or government at the request of, or in coordination, with the INS.

Dismantlement: occurs when an identified organization is no longer capable of operating as a coordinated criminal enterprise.

Data Collection and Storage: Data is collected in the Performance Analysis System (PAS) and manual tracking. INS collects investigations data in the PAS which contains aggregate case data and workyears for specific categories of activities. The field enters data into PAS each month.

Data Validation and Verification: PAS verification is conducted by the Statistics Office of the Office of Policy and Planning. The statistics are corroborated through submission audits; and logic, range, and computational edits. The Office of Statistics produces monthly statistical and production reports. Some manual tracking is required for smuggling and fraud since performance categories for types of cases no longer exactly match the definitions and methodology of the existing PAS categories. This manual case information is collected and verified by headquarters staff.

Data Limitations: PAS records are complete with 95 percent of field office records entered within the first 8 working days of the reporting month. The remaining 5 percent are subsequently obtained through submission audits. Since PAS data are manually consolidated at an office level, audits of individual case records cannot be performed.

FY 2003 Performance Target: 3 identified, 0 dismantled, and 0 disrupted

FY 2004 Performance Target: 3 identified, 1 dismantled, and 1 disrupted

Public Benefit: The criminal organizations that engage in alien smuggling and immigration fraud as well as foreign-born-terrorist organizations pose a significant threat to the public safety and national security of the United States. Seizing the assets of these organizations and individuals reduces their capital, thus affecting their ability to operate, and also takes away the profit incentive inherent in nearly all criminal activity. As a result of INS efforts, many alien smugglers, fraud organizations, and facilitators were arrested and presented for prosecution; assets were seized; and aliens with a nexus to organized crime, violent gangs, drug trafficking gangs, or who have terrorist related affiliations, were apprehended. These efforts provide a significant public benefit.

Strategies to Achieve the FY 2003 Goal:

As identified by the Office of the Inspector General, INS faces management challenges related to alien smuggling. INS is addressing these issues through increased use of automation in the intelligence collection and analysis process including the following systems: CIRS, NetLEADS, ENFORCE and IDENT. In FY 2003, use of these systems will provide managers with better information for use in resource allocation decision-making. As Servicewide implementation of these systems is achieved, INS will be able to gain greater access to intelligence data being collected by field enforcement units.

Anti-smuggling strategies will be coordinated with FBI, border, and overseas initiatives. INS will maximize the use of its intelligence resources and related technology to focus its investigative and enforcement resources in areas that will achieve highest impact. The Office of Intelligence will continue to provide informational support to the Service's operational units through the collection, analysis, and dissemination of intelligence information. Intelligence training will also continue to be given high priority during FY 2003.

Efforts will be made to expand INS geographic reach and inter-component cooperation. In conjunction with smuggling cases, INS will pursue operations against major benefit and document fraud conspiracies. INS will deter the presence of illegal aliens and support the integrity of the legal immigration process by focusing on criminal investigations of those employers who intentionally violate immigration laws or engage in smuggling or immigration-related fraud. Asset forfeiture violations uncovered as a result of smuggling, fraud, and work-site enforcement cases will be pursued to the fullest extent of the law.

To improve the effectiveness of efforts to apprehend persons attempting illegal entry, INS will expand international operations. INS officers overseas will conduct specifically targeted investigations based on intelligence developed by INS internally and through the intelligence community which results in the disruption and dismantlement of organizations responsible for smuggling migrants to the United States. INS officers work with host government and third country Embassy personnel to provide consultative services concerning validity of travel documents, to airline and immigration officials at airports. Further, special short-term coordinated enforcement operations are conducted in source and transit countries involving INS and host country officials. These operations result in the apprehension and repatriation of mala fide migrants en route to the United States.

Crosscutting Activities:

INS conducts international investigations to prevent, identify, disrupt, and dismantle criminal organizations that facilitate illegal migration. INS' anti-smuggling strategies are coordinated with the FBI. In addition, INS works with the U.S. Attorneys to prepare cases and receives information on work-site enforcement activities from the Department of Labor. INS is represented and participates in several intra-agency task forces including the FBI Joint Terrorism Task Forces, the DOJ Organized Crime and Drug Enforcement Task Forces (OCDETF), and the Violent Gang Task Forces.

5.1D Deter Illegal Immigration at the Source

Background/ Program Objectives:

INS enforcement activity overseas is dedicated to halting illegal immigration at its source in order to safeguard our borders. By intercepting mala fide and undocumented travelers, disrupting organized alien smuggling operations and prosecuting known alien smugglers overseas and in coordination with domestic offices, INS sends a clear message to potential illegal migrants that such activity is not acceptable or achievable. Strong enforcement actions overseas strengthen the legal immigration process and save INS costly processing, detention, and removal of aliens who may gain access illegally to the United States.

Performance:

Performance Measure: Interception of Mala Fide and Offshore Travelers en route to the United States

FY 2001 Target: 9,324

FY 2001 Actual: 34,594

Discussion: INS overseas offices significantly exceeded their goal. This success was due to a pilot in INS' Mexico City office established in cooperation with the governments of Mexico and Guatemala, Operation Bus Bound, which involved the interception and repatriation of Central American and third country nationals.

FY 2002 Performance Plan Evaluation: Based on program performance FY 2001, we have increased the FY 2002 target to 20,000 interceptions of mala fide and offshore travelers.

FY 2003 Performance Target: 20,000

Public Benefit: Through overseas efforts, the level of illegal migration into the United States decreased.

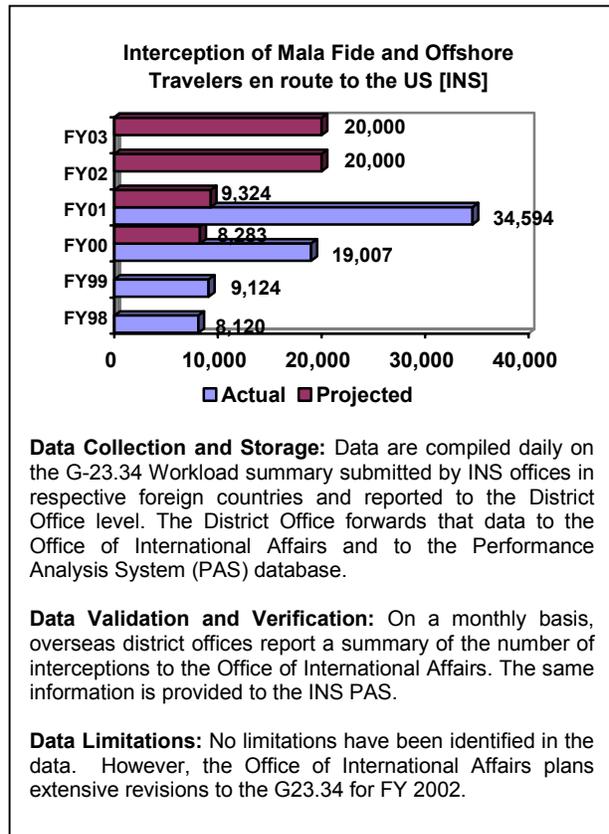
Strategies to Achieve the FY 2003 Goal:

INS will continue Operations Disrupt, to directly affect the undocumented migration flow. INS will identify individuals and organizations engaged in threats to our national security to include alien smugglers, migrant traffickers, terrorists, and fraud purveyors. Overseas anti-smuggling efforts include conducting investigations of criminals (both individuals and organizations) engaged in alien smuggling and trafficking and presenting for prosecution in the United States individuals engaged in alien smuggling and trafficking in coordination and concert with the Trans National Crime Unit and domestic INS counterparts.

We will also continue to train law and immigration enforcement officials in both source and transit countries in deterrence techniques and fraudulent document detection to stem the flow of undocumented migrants before they arrive in North America. INS will train security personnel and air carriers in fraudulent document detection to stop the movement of mala fide travelers before they board planes en route to the United States.

INS will assist host country law and immigration enforcement officials in the investigations of fraudulent document providers, alien smugglers (both individuals and organizations) and traffickers of women and children, as well as pursuing extraterritorial and domestic prosecutions of alien smugglers and migrant traffickers.

INS will continue to repatriate third country nationals en route to the United States. Bi-lateral and multi-lateral law enforcement coordination and cooperation will continue during FY 2003 to target criminal activity involving illegal migration. These efforts will identify organizations engaged in alien smuggling and migrant trafficking and coordinate investigations and operations across jurisdictional lines to dismantle them.



Enhance effective intelligence sharing capabilities between INS overseas and domestic offices, with an emphasis on identifying suspected terrorists and their organizations. We will continue to encourage source and transit countries to implement anti-smuggling and migrant trafficking legislation. INS will enhance effective intelligence sharing capabilities between overseas offices and domestic INS offices, with an emphasis on identifying suspected terrorists and their organizations.

Crosscutting Activities:

INS agents in offices worldwide work closely with the Department of State, DEA, the United States Customs Service (USCS), FBI, and foreign governments, in order to exchange information with their foreign immigration counterparts and to better identify and disrupt organized alien smuggling activities.

STRATEGIC OBJECTIVE 5.2: CRIMINAL ALIENS**Promote public safety by combating immigration-related crimes and removing individuals, especially criminals, who are unlawfully present in the United States.****Annual Goal 5.2 Promote public safety by combating immigration-related crimes and removing individuals, especially criminals, who are unlawfully present in the United States.****STRATEGIES**

- ◆ Identify and expeditiously remove criminal aliens and develop approaches to minimize recidivism.
- ◆ Support global and border enforcement efforts to intercept illegal immigration-related activities before they occur.
- ◆ Respond to community reports and complaints about the negative consequences of illegal immigration and build partnerships to help address these concerns.
- ◆ Minimize immigration benefit fraud and other document abuse.
- ◆ Block and remove employers' access to undocumented workers and help reduce worker exploitation.

The events of September 11, 2001 required INS to reexamine strategies, approaches, and operations to ensure that service efforts fully address threats to the United States. This reevaluation, coupled with a reemphasis on many objectives established prior to the recent terrorist attacks, changed the focus for the Interior Enforcement program. The updated approach to the program's increasingly critical mission includes focused enforcement efforts at the Northern Border and in the Caribbean and Central and South America, as well as targeted investigations of industries and businesses where there is a potential threat of harm to the public

interest. INS initiatives on the national and global levels require partnerships with other DOJ components to combat terrorism, organized crime, illegal drugs, and violent gangs to reduce the threat of criminal activity.

In FY 2003, INS will continue its aggressive campaign to remove all removable aliens, with a concentrated focus on criminal aliens. INS will develop a fugitive operations program to identify, locate, apprehend and remove criminal aliens who have received final orders of removal and who have not presented themselves for final removal (absconders). INS will continue its Institutional Removal Program (IRP) to identify, locate, process and provide hearings for aliens within the criminal justice system and effect their expedient removal after their release from custody and/or incarceration. INS will also develop systems to monitor and track individuals released from custody to ensure their appearance for final removal. INS will continue its coordination and cooperation with both government and non-government organizations to facilitate removal efforts. INS will target its efforts to include the use of the National Crime Information Center to identify criminals and recidivists.

INS will also continue its efforts to improve the responsiveness to and coordination with local law enforcement. INS will evaluate the interaction of Quick Response Teams (QRT) with other enforcement efforts. Consistent with one of the goals of the QRT initiative, INS works closely with communities to resolve immigration-related local issues.

MEANS – Annual Goal 5.2**Dollars/FTE**

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
Immigration and Naturalization Svc	2602	360	3012	405	2738	314
Immigration Exam Fees	92	13	148	22	148	24
Immigration User Fee	63	9	73	11	75	11
Subtotal	2757	\$382	3233	\$438	2961	\$349

Skills

Achievement of this goal requires personnel to attain and maintain mandatory law enforcement skills including proficiency with firearms and various non-deadly force methods; expert knowledge of applicable Federal statutes, regulations, Executive Orders, policies and procedures, including rules of search and seizure, arrest authorities, and Federal Rules of Evidence. Personnel must maintain a high degree of interpersonal skills and problem solving and investigative abilities as well ethical and moral standards consistent with the organization's set of core values. They must possess strong computer skills with a variety of office productivity systems and software, as well as with specialized law enforcement and national security, computer data bases. They must be able to operate a variety of motor vehicles. Personnel are employed in positions including the following Deportation Officers, Detention Enforcement Officers, Docket Clerks, IRP Directors, Special Agents, Investigative Assistants, Financial Analysts for asset forfeiture, Intelligence Agents/Officers, Attorneys, and Legal Technicians, analysts and other support staff.

**Information
Technology**

Systems utilized to collect performance data include the Deportable Aliens Control System (DACS), the Criminal Alien Information System (CAIS), Performance Analysis System (PAS), LYNX work-site enforcement case tracking system, and Orion LEADS intelligence system. Ultimately, the data will be captured in ENFORCE. The verification of aliens' lawful status by the Law Enforcement Support Center (LESC) includes interfaces with DACS and other corporate information systems such as the Central Index System (CIS). INS also interfaces with the NCIC to report wanted and deported alien felons.

PERFORMANCE ASSESSMENT – Annual Goal 5.2

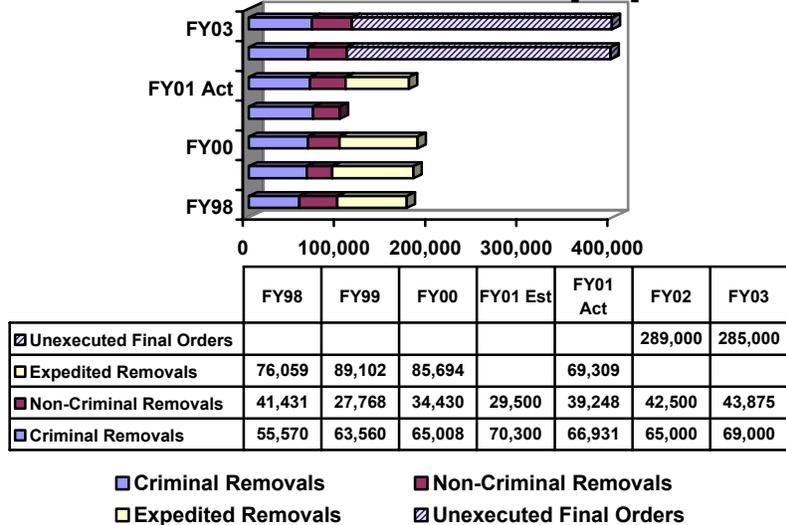
5.2A Increase the Number of Criminal Alien Removals (Management Challenge), Monitor Alien Overstays (Management Challenge), and Monitor Escort of Criminal Aliens (Management Challenge)

Background/Program Objectives:

A key element of INS' enforcement mission is to remove illegal aliens from the United States. INS is legally required to remove aliens who have received formal removal orders or who have volunteered to be repatriated. A fundamental part of this mission is to ensure the removal of the criminal element in the alien population. INS is adopting new policies and procedures to improve the effectiveness of the Institutional Removal Program, a program designed to identify and remove incarcerated criminal aliens by means of administrative or hearing processes before their release from custody. Focusing on the criminal alien removals enhances the promotion of public safety.

Another management challenge is in the area of identifying and removing persons who are in the United States illegally, including the monitoring of alien overstays. Knowing who has entered and who has departed our country in real time is an important element in enforcing our laws. The Data Management Improvement Act, passed in FY 2000, requires INS to develop a fully-automated, integrated entry-exit data collection system and deploy this system at airports and seaports by the end of FY 2003; at the 50 largest land ports-of-entry (POEs) by the end of FY 2004; and all other POEs by the end of FY 2005. The legislation also requires a private sector role to ensure that any systems developed to collect data do not harm tourism or trade.

Final Order Alien Removals [INS]



Data Definition: Unexecuted Final Orders: Aliens who have received a Final Order of Removal but have not yet been removed.

Data Collection and Storage: INS collects removal and detention data in the Deportable Alien Control System (DACS) case tracking system. Data is input to DACS daily from physical Alien-files, primarily by INS Deportation Program staff, and to a lesser extent, inspectors and agents. DACS is updated throughout the life cycle of the case.

Data Validation and Verification: DACS verification occurs through the headquarters DACS quality team, file reviews, comparison with monthly statistical reports, INSPECT team reviews, and district status reports and call-up lists. The Statistics Office of the Office of Policy and Planning conducts monthly quality reviews of DACS data. The verification of an alien's lawful status by the Law Enforcement Support Center (LESC) includes interfaces with DACS and other corporate information systems such as the Central Index System (CIS). INS also interfaces with the NCIC to report wanted and deported alien felons.

Data Limitations: DACS removals records are complete, with 99 percent of total removals records entered within 6 months of the close of the fiscal year. A small but significant number of detention records (approximately 7 percent of over one hundred thousand records) are incomplete. The long-range plan is for DACS to migrate to the Enforcement Case Tracking System (ENFORCE) that will have the capability to track detention and removal cases. A new system the ENFORCE Removal Module (EREM) has been planned for deployment testing in FY 2003. This system should permit the reduction of data entry errors, increase completeness and accuracy of data retrieval and provide greater data integrity. Development is continuing through FY 2002 and will continue into FY 2003, followed by deployment testing in the later part of FY 2003.

Performance:

Performance Measure: Measure Refined: Final Order Alien Removals (This measure has been revised to display the FY 2002 and 2003 backlog of aliens with final orders that have not been removed.) NOTE: Prior year actuals have been corrected to reflect the most accurate data available at this time.

FY 2001 Target:

Criminal Removals: 70,300

Non-Criminal Removals: 29,500

FY 2001 Actual:

Criminal Removals: 66,931

Non-Criminal Removals: 39,248

Expedited Removals: 69,309

Discussion: Increased apprehensions by the border and interior enforcement before September 11, 2001 led to an increase in the non-criminal aliens amenable to removal, easily surpassing the FY 2001 target. Criminal alien removals lag 6 percent below target. Historically, due to data lag, these numbers of removals increase by several percent over a 3-4 month period following the end of the year. Therefore, it is expected that the criminal removals target will be met when all the data are reconciled in January 2002. (NOTE: Due to DOJ policy not to set targets which give the appearance of bounty hunting, INS does not set targets for expedited removals.)

FY 2002 Performance Plan Evaluation: Based on program performance in FY 2001, we have increased the FY 2002 target of Criminal removals to 65,000 and the non-criminal removals to 42,500. The Unexecuted Final Orders are projected to be 289,000

FY 2003 Performance Target: Criminal removals: 69,000; non-criminal removals: 43,875; and Unexecuted Final Orders: 285,000

Public Benefit: INS will continue to remove an increasing number of criminal illegal aliens every year, thereby reducing the number of criminal aliens in the United States. Both criminal and non-criminal removals promotes the public safety, enhances the national security and will create a deterrent to continued illegal migration.

Strategies to Achieve the FY 2003 Goal:

In FY 2003, INS will remove all removable aliens with a concentrated focus on criminal aliens as well as the reduction in backlog of aliens with unexecuted final orders. INS will develop a fugitive operations program to identify, locate, apprehend and remove criminal aliens who have received final orders of removal and who have not presented themselves for final removal (absconders). INS will continue its Institutional Removal Program (IRP) to identify, locate, process and provide hearings for aliens within the criminal justice system and effect their expedient removal after their release from custody and/or incarceration. The INS will also develop systems to monitor and track individuals released from custody to ensure their appearance for final removal. INS will continue its coordination and cooperation with both government and non-government organizations to facilitate the efficient and expeditious removal of all removable aliens.

INS will commit to increasing the number of alien removals and develop a set of progressive annual targets to achieve a 100 percent removal rate within 10 years, by the end of FY 2012. This includes the elimination of the backlog of illegal aliens in the active files who had received final orders for removal, but who have not yet been removed from the United States. To achieve this objective, INS will work closely with the Executive Office for Immigration Review (EOIR) to ensure cases are processed expeditiously and with the Department of State to obtain travel documents to ensure that removals are completed in timely fashion. In addition, INS will strive to reduce the backlog of overstays; continue processing criminal alien inmates, to expedite their removal from the United States to the maximum extent practicable; develop a fugitive operations standard team configuration, procedures, and implement a training program. The final objective is to improve processes and procedures, and to develop the resources and infrastructure, such that INS can create and maintain the capacity to remove 100 percent of aliens served with final orders of removal every year.

Illegal aliens who have received final orders will be removed in accordance with set priorities. These priorities include: specific targets of high priority national security investigations, including those on the FBI Watch List and as requested by competent authority; aliens from countries of special interest who have failed to surrender for removal, especially those with criminal convictions; and aliens from all other countries who have received final orders and have failed to surrender for removal. INS will focus initial fugitive operations efforts in New York, Los Angeles, Chicago, Miami, Newark, Detroit, and San Francisco districts to address their high

absconder populations and continue removal efforts of all other removable aliens. We will continue coordinating with foreign embassies and consulates to reduce the time needed to obtain travel documents for aliens with final orders of removal and continue to work with Southeast Asian and Caribbean countries to reduce the hurdles to efficient removal of illegal aliens.

Also, in FY 2001, the OIG reported that the INS did not consistently follow provisions of the INS escort standard for violent aliens and did not adequately coordinate the escort process with the Department of State. In response to the OIG's concerns, the INS directed districts to ensure that all violent aliens are properly escorted. District Directors are now required to conduct quarterly reviews to ensure compliance with escort standards and implement corrective action in instances of non-compliance. Adherence to escort policy is verified through the INSpect program during reviews at districts. In addition, INS plans to conduct training on the use of escort standards for those involved in making escort determinations and is coordinating with the Department of State to ensure adequate notification for INS removals

Crosscutting Activities:

To facilitate efficient and expedient removals, repatriations, and information sharing, INS works in conjunction with BOP, USMS, state and local law enforcement, and foreign governments. INS shares facilities with BOP and coordinates detainee bed space. Additionally, INS coordinates with BOP when aliens serving federal sentences are processed for removal before completion of their sentence under the Institutional Removal Program. INS also shares facilities with USMS, and relies on USMS for some of their transportation needs through the JPATS program. Through this cooperation, INS is able to maximize available bed space and meet transportation requirements more efficiently. INS also works to develop additional agreements with foreign governments to facilitate repatriation.

STRATEGIC OBJECTIVE 5.3: IMMIGRATION BENEFITS SERVICES

Provide timely and consistent services and achieve a substantial reduction in the benefits processing backlog.

Annual Goal 5.3: Provide timely and consistent services and achieve a substantial reduction in the benefits processing backlog.

STRATEGIES

- ◆ Reduce Benefits backlog.
- ◆ Establish quality assurance, timeliness, and customer service standards for all immigration benefits processing, and ensure that mechanisms are in place to meet these standards.
- ◆ Maintain fair and timely refugee and asylum case processing that denies meritless claims quickly without discouraging legitimate seekers of refuge.
- ◆ Complete reengineering of the naturalization process, redesign processes for immigrant and non-immigrant applications processing, and institute documented standard operation procedures nationwide.
- ◆ Introduce electronic filing for applications processes.
- ◆ Create a culture of customer service as an integral, permanent component of INS benefits applications processing.

In FY 2003, INS will improve application processing and continue to emphasize the integrity of decisions made on applications for immigration benefits. INS will move to a six month processing time for all applications. At local levels, INS will continue to increase community consultations to anticipate or identify potential operational obstacles.

INS has already taken steps to begin reducing the backlog on all applications. Utilizing a comprehensive workload evaluation and staffing model for all applications projected over FY 2002 and 2003, staffing requirements are calculated for every application in every district and service center for three workload categories - Receipts, Backlog, and Legal Immigration Family Equity (LIFE) Act. The workload and staffing model report identifies the allocation of

these positions among the various districts, sub-offices, and service centers by application based on projected workloads.

INS will continue online filing efforts for additional benefit applications and the development and deployment of a customer-based Computer Linked Application Management System (CLAIMS) replacement system. INS will build upon FY 2002 improvements to offer case status information and address changes via the INS Internet website and the National Customer Service Center.

MEANS – Annual Goal 5.3

Dollars/FTE

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
H-1B Fees	1	1	71	26	71	10
Immigration and Naturalization Svc	152	39	337	123	443	75
Immigration Exam Fees	4499	643	5940	893	5957	976
Subtotal	4652	\$683	6348	\$1042	6471	\$1061

Skills

INS requires the skills of Adjudication Officers/Examiners, Immigration Information Officers, Status Verifiers, Examinations Assistants, clerks and temporary INS staff, Quality Assurance specialists, and significant levels of contractor support.

**Information
Technology**

CLAIMS 4 software, used in the processing of Naturalization casework, was fully deployed to all of the field office sites in FY 2001. Enhanced software versions will be developed and deployed to address Adjustment of Status and other application casework. At INS Service Centers, the current aging CLAIMS 3 automated support will be upgraded. Continued automated enhancements are being made to the applicant fingerprint capture and follow-on FBI print-screening process associated with applications adjudication. IT enhancements for the National Customer Service Center's (NCSC's) phone and Internet information operations; for Forms Centers application requests; and for the National Records Center (which are all critical to INS' benefit applications process), will continue. At the National Records Center (NRC), the RAFACS system (Receipt and Alien-File Accountability and Control System), which allows for timely transfer and tracking of alien-file (A-file) records associated with applications processing, was replaced by the National Files Tracking System (NFTS).

PERFORMANCE ASSESSMENT – Annual Goal 5.3

5.3A Ensure Immigration Benefit Services are Timely, Fair, and Consistent

Background/ Program Objectives:

INS will increase performance in Adjustment of Status application casework processing while meeting completion and backlog goals. In FY 2003, INS will realign resources and increase staff efficiencies to achieve a 6-month processing time for all applications.

INS will also maintain a 99% level of compliance with Naturalization Quality Procedures designed to ensure that naturalization processing is performed consistently, correctly, and fairly. As a result of continual improvements in the processing mechanisms as well as staff performance and realignment, INS will provide efficient service as well as timely adjudication of applications to its customers.

Performance:

Performance Measure: Average Case Processing Time (NOTE: This average is calculated by dividing the average of the past 12 months of completions into the number of pending applications at the end of September.)

FY 2001 Target: Naturalization: 9 months
Adjustment of Status: 14 months

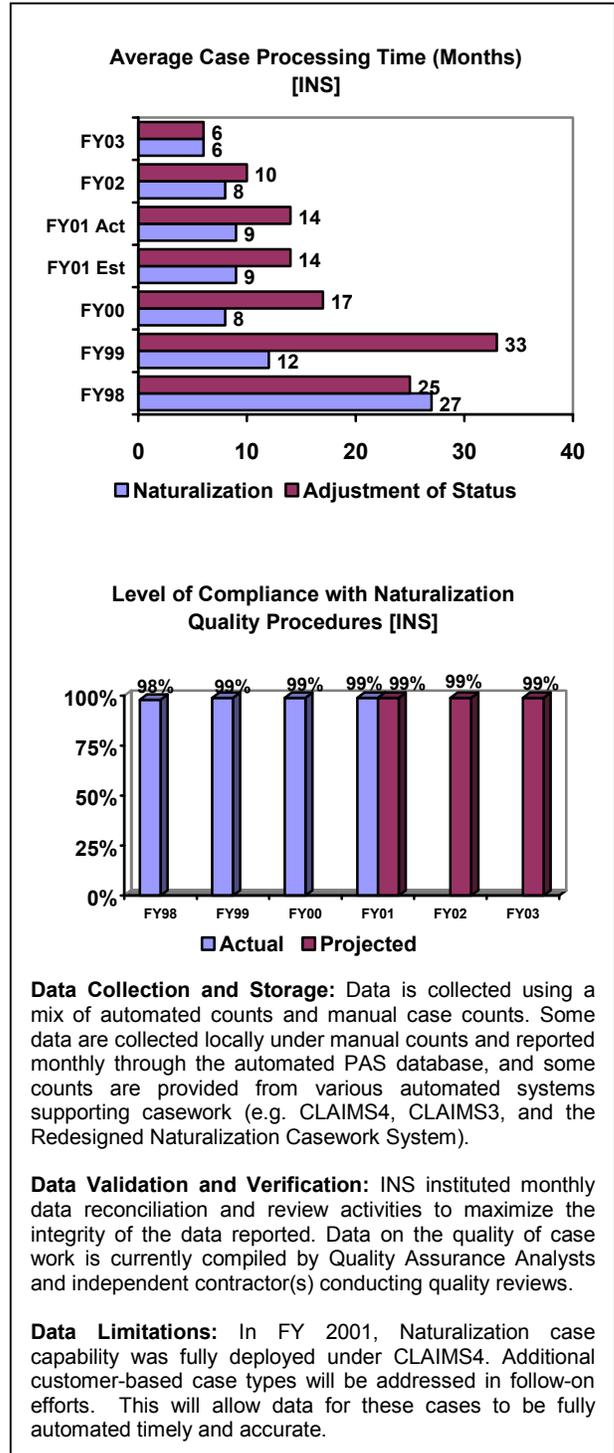
FY 2001 Actual: Naturalization: 9 months
Adjustment of Status: 14 months

Discussion: INS met the processing time goals for naturalization and adjustment of status cases during FY 2001. INS completed 831,486 Naturalization cases and 821,508 Adjustment of Status cases. Processing times were improved due to the increase in the number of completions from the first through the fourth quarter. The applications backlog for Naturalization was nearly eliminated in FY 2001, allowing INS to shift their focus to eliminating the backlog in Adjustment of Status cases.

FY 2002 Performance Plan Evaluation: Based on program performance in FY 2001, we decreased the FY 2002 target for processing time for Naturalization cases to 8 months, while Adjustment of Status cases remains at 10 months.

FY 2003 Performance Target: 6 months for all applications

Public Benefit: The public will benefit by receiving immigration information and benefits in a timely, accurate, consistent, courteous, and professional manner.



Performance Measure: Level of Compliance with Naturalization Quality Procedures (Former title: Level of Compliance with Quality Standards)

FY 2001 Target: 99% compliance

FY 2001 Actual: 99% compliance

Discussion: INS achieved a 99.4% compliance rate with the Naturalization Quality Procedures in FY 2001.

FY 2002 Performance Plan Evaluation: Based on program performance in FY 2001, we expect to meet the FY 2002 target of 99%.

FY 2003 Performance Target: 99%

Public Benefit: The public will benefit by receiving immigration information and benefits in a timely, accurate, consistent, courteous, and professional manner.

Strategies to Achieve the FY 2003 Goal:

In FY 2003, INS will improve application processing and related services to ensure that they are timely, consistent, fair, and of high quality. INS will continue to emphasize the integrity of decisions made on applications for immigration benefits. At local levels, INS will continue to increase community consultations to anticipate or identify potential operational obstacles.

INS will continue the backlog reduction efforts to achieve the President's stated goal of achieving application processing times of six months or less by the end of FY 2003. INS expects forty percent of the Adjustment of Status backlog work to be completed in FY 2002 and sixty percent in FY 2003, to allow for the hiring and training of the new required staff in FY 2002. Exceptions to the six-month processing time standard are: 60 days processing time for Petitions for Nonimmigrant Workers and Applications for Employment Authorization, and 90 days for Petitions for Amerasian, Widow(er), or Special Immigrant, and Applications to Extend/Change Nonimmigrant Status, Replacement Permanent Resident Cards, Replacement/Initial Nonimmigrant Arrival Departure Record and Travel Documents, and Replacement Naturalization Citizenship Document.

Crosscutting Activities:

INS coordinates with the FBI for fingerprint screening. INS coordinates with the Department of State and Department of Labor in the Data-share initiative to electronically share traveler visa and application information to improve the issuance process and improve identification of fraudulent visas.

STRATEGIC OBJECTIVE 5.4: ORGANIZATION AND INFRASTRUCTURE
Improve operational efficiency and organizational effectiveness of the INS workforce

Annual Goal 5.4: Improve operational efficiency and organizational effectiveness of the INS workforce

STRATEGIES

- ◆ Restructure INS.
- ◆ Institutionalize new processes and systems.
- ◆ Modernize financial and Information Technology resources.
- ◆ Complete the INS Enterprise Architecture Plan (EAP).

A variety of services, goods, policies, and procedures are needed to create and support the operational capability of a productive INS workforce. In a stable organization, infrastructure costs and activities would generally be allocated to the business/mission areas that they support and not given separate attention except for major strategic management priorities. However, because of the enormous expansion of the INS mission and workforce over the past several years, infrastructure changes have not been able to keep up

with the mission areas that they need to support. Backlogs, shortfalls, imbalances, and inconsistencies exist that need specific attention over the next several years.

MEANS – Annual Goal 5.4

Dollars/FTE

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
Breached Bond/Detention	16	19	19	2	19	2
Immigration and Naturalization Svc	2060	231	2096	255	2034	270
Immigration Exam Fees	227	35	280	52	263	54
Immigration User Fee	295	37	306	41	288	44
INS Construction	81	133	92	228	92	58
Subtotal	2679	\$455	2793	\$578	2696	\$428

Skills

In addition to staff with administrative skills (personnel, finance, logistics, etc.) employees need analytic focus to drive the integration of infrastructure support with mission activities.

Information Technology

INS uses a variety of systems to support administrative and financial activities and decisions. Most of these are legacy systems that reflect older technology and stove-pipe concepts. In FY 2001 and FY 2002, a modern core financial system, FFMS, is being put in place to replace much of the functionality of the 20-year old current system, FACS, and its auxiliary components. While this will significantly improve INS' ability to manage its financial resources, INS continues to work with the Department to determine if FFMS is the appropriate long-term solution.

For commodity and property management, INS continues to use the Asset Management Information System (AMIS) which is old and more suited to inventory tracking than for modern approaches to commodity/property management. However, an integrated approach to commodity management in INS is being developed, with clear links to procurement and financial transactions. New systems for managing the INS fleet and facilities are being put in place in FY 2001 and FY 2002.

Human resource management is supported by a number of old, independent, and overlapping systems such as the Position Tracking System, the Hiring Tracking System, and the Officer Corps Rating System, as well as by manual processes and ad hoc databases. Although resources have not been identified to pursue an integrated approach to human resource management, some work is being done in FY 2001 and FY 2002 to better integrate these separate systems, eliminate or reduce redundancy, and automate some manual processes.

PERFORMANCE ASSESSMENT – Annual Goal 5.4

5.4A Conduct Effective Information Systems Planning and Management to Provide an Adequate, Cost Effective and Compliant IT Environment (Management Challenge)

Background/ Program Objectives:

The enormous growth in INS' workforce and mission over the past several years has resulted in proliferation of new or enhanced automated systems. Management approaches to information technology have been undergoing significant long-term changes, with emphasis on a strategic approach to the management of IT resources and capital assets, compliance with security requirements, and accurate reporting of current status. These activities help ensure that automation decisions and activities provide maximum value for dollar spent.

In FY 2003, INS will use its Enterprise Architecture (developed in FY 2002) to guide and justify use of resources for automated support of business activities, and will increase compliance of all projects with appropriate Systems Development Lifecycle Standards (96%) and security requirements (100%). With adequate out-year support, INS will keep the percentage of technologically adequate equipment from falling below 35 percent of the total workstations, so that the INS workforce can benefit from automated support for their mission activities.

Performance:

Performance Measure: Compliant, Secure and Adequate Information Technology (IT) Systems

FY 2001 Target:

Technologically Adequate Equipment: 35%

System Security Compliance: 75%

Systems Dev. Lifecycle Standards: 66%

FY 2001 Actual:

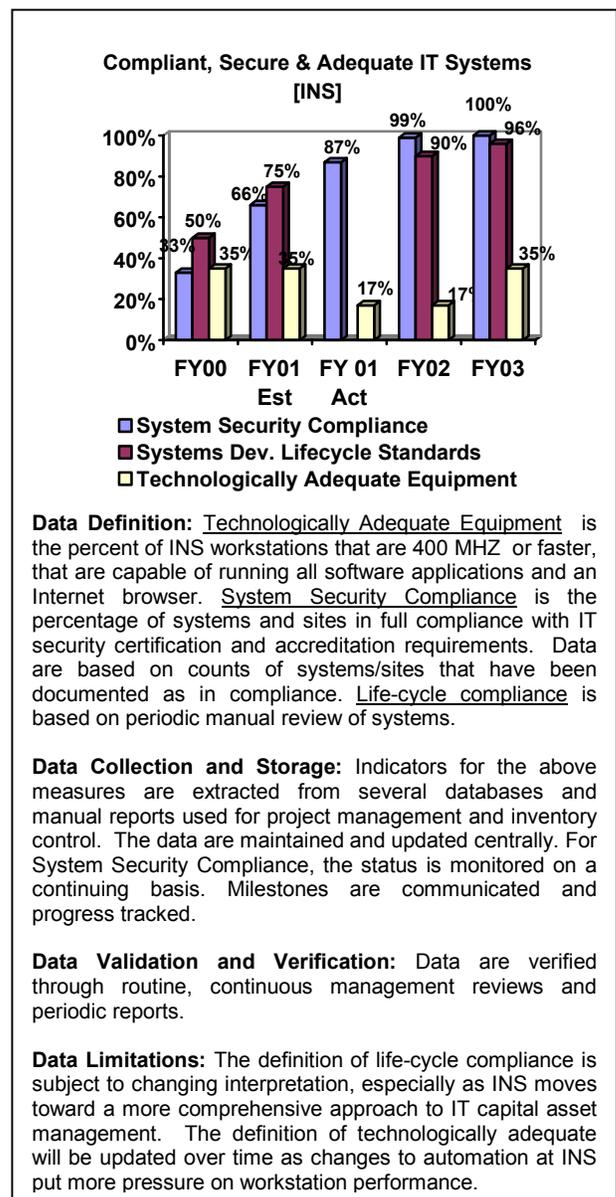
Technologically Adequate Equipment: 17%

System Security Compliance: 87%

Systems Dev. Lifecycle Standards: Data was not calculated. Efforts on the Enterprise Architecture Plan will allow for measuring all projects' systems development life cycle compliance.

Discussion: Technologically Adequate: Initially, workstations were separated into two groups: "Inadequate" (200MHz and slower) with 65% result and "Adequate" (faster than 200MHz) with 35%. This yielded a result of 35%, given that no IT refresh activity was funded. Follow-on analysis determined that breaking the workstation population into three categories provided a clearer picture of the workstation profile: "Inadequate" (less than 200MHz) was 46%, "Marginal" (200-399 MHz) was 37% and "Adequate" (400 MHz or faster) was 17%. The result of 17%, again given that no IT refresh activity was funded, is considered more appropriate.

System Security Compliance: 87.5% of all INS systems are reported to be in compliance with IT security Certification and Accreditation requirements. All baseline certification and accreditation efforts were completed (5 required documents) and 98.8% were granted Conditional Certification and Interim Authority to



Operate accreditation status. One system or 1.2% was granted Unconditional Certification and Full Accreditation status.

FY 2002 Performance Plan Evaluation: Based on program performance FY 2001, we have revised the corresponding FY 2002 targets to be: Technologically Adequate Equipment: 17%, System Security Compliance: 99.5%, and Systems Dev. Lifecycle Standards: 90%.

FY 2003 Performance Targets: System Security Compliance: 100%; Systems Dev. Lifecycle Standards: 96%; Technologically Adequate Equipment: 35%

Public Benefit: Adequate infrastructure for IT provides an effective base for use of automation to enhance both the benefits and enforcement aspects of INS' mission. Compliance with technology architecture and security requirements helps protect sensitive information from malicious misuse or destruction.

Strategies to Achieve the FY 2003 Goal:

A significant contribution to the efficient and effective management of IT resources is expected from the INS IT Enterprise Architecture, which will be defined by the end of FY 2002. An important feature of the Enterprise Architecture is the detailed mapping of INS business functions, both as they exist and as they are expected in the future. This business architecture will drive decisions about requirements for data and information, which in turn drive choices about technology. Although the primary purpose of the Enterprise Architecture is to form a basis for decisions about IT, it will also help shape decisions related to INS restructuring and organizational streamlining.

INS will continue to bring existing and planned automated systems into compliance with standard, documented life-cycle processes including investment review, security considerations, and performance assessment. Implementation of the Enterprise Architecture is expected to change many of the processes by which IT decisions are made and reviewed in INS, so that full compliance may initially call for adjustments.

INS will continue its efforts to improve the stability of the INS IT environment, with emphasis on improving capabilities that support counterterrorism activities. INS will improve the performance and sustainability of the data communications network, fortify the security of the network and the information that traverses it, and develop the ability to query information from multiple systems. INS will continue preliminary activities in support of Atlas, the IT Infrastructure Transformation Plan. INS is in the process of instituting a Balanced Scorecard approach to developing, maintaining, and reporting performance measures, which will enable management to focus attention and resources on the IT activities that will have the most impact on mission accomplishment.

Although nearly 100% of INS systems and sites are expected to meet IT security requirements by FY 2003, Service-wide security vulnerabilities (identified in FY 2001 and FY 2002) may still exist. These will be addressed through intrusion detection and auditing capability; identification and authentication, and compliance with Electronic Information Security Act, so as to ensure increasing protection of the confidentiality and integrity of information and reduce vulnerability to penetration of the INS systems.

A major impediment to effective use of IT resources is inadequacy of data communications and workstation equipment. In FY 2003, INS will upgrade servers, network nodes, and inoperable or marginally usable workstation equipment to reduce costs and improve responsiveness of automation to mission needs.

Crosscutting Activities:

INS participates in the Information Technology Security Officers Working Group, which meets regularly to address issues of security policy, operation, technology and awareness. INS is also working on an initiative with the General Accounting Office dealing with guidelines for systems life-cycle management.

STRATEGIC OBJECTIVE 5.5: QUALITY OF DATA

Provide accurate, easy-to-use, readily accessible, and up-to-date information to meet planning and operational needs

Annual Goal 5.5: Provide accurate, easy-to-use, readily accessible, and up-to-date information to meet planning and operational needs

STRATEGIES

- ◆ Expand the use of Information Technology.
- ◆ Institute National Case Management.
- ◆ Increase use of electronic Benefit processing.

In the course of administering the Immigration and Nationality Act, the INS provides a significant amount of information to benefit applicants, other governmental agencies, employers, communities, Congress, and the public. INS also gathers information from and about those with whom INS comes in contact. The Government Paperwork Elimination Act and

government-wide management reforms call for changes in the way agencies interact with the public, and are expected to significantly increase the use of electronic approaches to information exchange.

MEANS – Annual Goal 5.5**Dollars/FTE**

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
Immigration and Naturalization Svc	889	347	1060	331	1199	378
Immigration Exam Fees	956	336	1506	385	1506	383
INS Fines	0	2	0	23	0	6
Immigration User Fee	48	52	60	55	55	54
Subtotal	1893	\$737	2626	\$794	2760	\$821

Skills

INS requires computer specialists skilled in database design, systems applications and software design, design and deployment of hardware and telecommunications, as well as problem solving, project design and management, and analytical and program management skills.

Information Technology

A number of systems are currently used to support the expansion of electronic information services. Most of these systems already exist and are being adapted or augmented as needed. In the area of records management, the key systems (Central Index System (CIS) and Receipt Alien File Accountability and Control System (RAFACS)) are many years old and have been stretched to adapt to the improvements in records processing. The functions of these systems all need to be revisited in light of current business needs and technology. (National File Tracking System (NFTS) is a newer system that is expected to eliminate many of the deficiencies of the current RAFACS to CIS interface.)

Freedom of Information Act/Privacy Act (FOIA) Information Processing System (FIPS) is used to manage FOIA requests, and will be enhanced and deployed to support Service-wide requirements in FY 2003.

PERFORMANCE ASSESSMENT – Annual Goal 5.5

5.5A Provide Accurate and Readily Accessible Information

Background/ Program Objectives:

In FY 2003, INS will continue to provide useful, current information about INS services, offices and functions, policy and plans, regulations and statistics and reports. INS will also move toward an information framework that facilitates quick, remote access for wider audiences and allows increased use of the Internet for access to INS forms. INS will be developing a platform to allow convenient access for a variety of users via the Internet. As INS' customer base and information database expands and with the advent of e-government initiatives, INS will modify operations to provide electronic alternatives to delivery of products and services and exchange of information. By FY 2003, 3 application forms will be available for filing online. INS will provide employers and benefit providers with the information, assistance, and tools needed to allow them to comply with the laws while safeguarding the civil and privacy rights of citizens and aliens alike.

In FY 2003, INS will continue to implement the Government Paperwork Elimination Act (GPEA) and take steps toward the expansion of electronic government through strategic attention to key areas identified in INS' target Enterprise Architecture and modern e-mail communications. As processes and policies are put in place for improved management of information technology (also discussed under Strategic Objective 5.4), informational needs of customers will be identified and addressed through design, development, and deployment of programs and systems.

Performance:

Performance Measure: % of Public Use Forms Available Online

FY 2001 Target: 100%

FY 2001 Actual: 85% (97 of 113)

Discussion: INS is continuing to refine the downloadable forms to make them fillable. Consequently several forms that were available online have been temporarily removed while they are being changed to the new format. This resulted in a total of 10 forms still unavailable online.

FY 2002 Performance Plan Evaluation: Based on program performance in FY 2001 we expect to meet the FY 2002 target of 100% (113) public use forms available online.

FY 2003 Performance Target: NA.

Performance Measure: NEW MEASURE: Forms and Applications That Can be Filed Online

FY 2001 Target: NA New Measure.

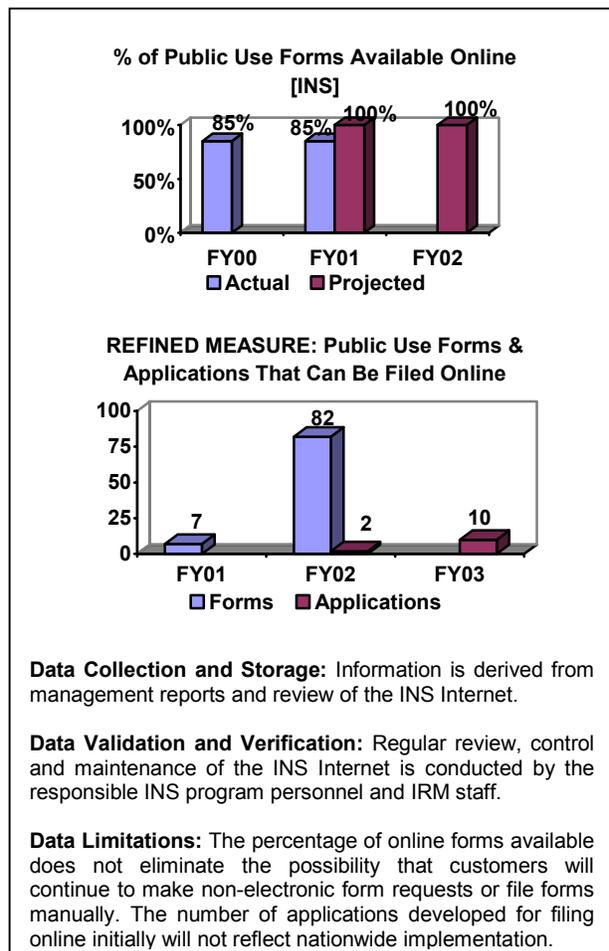
FY 2001 Actual: 11% of forms (7 of 82)

Discussion: INS has converted several forms to make them fillable online and will complete that effort in FY2002. Also in FY 2002, INS will begin to convert applications to make fillable online.

FY 2002 Performance Plan Evaluation We expect to meet the FY 2002 target of 82 (100%) public forms and 2 applications that can be filed online.

FY 2003 Performance Target: 10 applications

Public Benefit: The ability to file online will provide the public a convenient, paperless alternative for submitting public use forms and benefit applications. In addition, it will improve INS' application processing time through elimination of data entry.



Strategies to Achieve the FY 2003 Goal:

In FY 2003, INS will continue to provide a structured Internet environment to ensure a reliable, easy-to-use means of gathering information for external customers. INS will also use its target Enterprise Architecture to identify key initiatives essential to expanding electronic government.

INS began to provide services such as electronic filing and fillable forms on the Internet in FY 2001. The first applications that can be submitted online will be implemented in FY 2002. The completion of INS' target Enterprise Architecture in FY 2002 is expected to produce changes in the Service's strategic direction for online applications. These strategic changes will be addressed before a significant number of additional applications are made available online.

To accomplish electronic filing objectives, INS will need to determine the processes appropriate for filing online applications and resolve these challenges. The challenges include some that will be faced by other government entities including: acceptance of electronic signatures, the legal sufficiency of records, and electronic records retention and long-term records storage. Internally, INS must address the limitations of the existing systems. Benefit processing systems were not developed to incorporate the requirements of electronic record keeping. Therefore, INS will incorporate and integrate e-government standards and technology into its customer service, benefit processing, and management information needs.

To streamline procurement, INS will adopt the Central Contractor Registration, as the single validated, online, source of information on vendors.

Crosscutting Activities:

The INS website provides a wealth of information that is shared with other government agencies. INS also shares data and information with many other federal agencies including the Department of State, Department of Labor, the Office of Personnel Management, United States Customs Service, the Central Intelligence Agency, Department of Treasury, and other bureaus within the Department of Justice.

STRATEGIC OBJECTIVE 5.6: BORDER FACILITATION**Improve the efficiency of the inspections process for lawful entry of persons and goods****Annual Goal 5.6: Improve the efficiency of the inspections process for lawful entry of persons and goods****STRATEGIES**

- ◆ Promote the expeditious movement of travelers by conducting critical enforcement functions prior to the primary inspection process.
- ◆ Maximize the use of techniques and technologies that promote and expedite lawful entry and exit, including cooperative strategies with local authorities, the travel industry, and foreign governments.
- ◆ Develop, improve, and integrate alternative inspection processes.
- ◆ Work cooperatively with other federal agencies at POEs to create a secure and seamless federal inspection process.
- ◆ Establish traveler service standards and ensure mechanisms are in place to meet those standards.

In FY 2003, INS will leverage the Border Traffic Management strategies used successfully during FY 2001 and continued in FY 2002. Additional resources identified for FY 2002 will permit INS to increase the numbers of primary inspection lanes at air, sea, and land Ports-of-Entry. The additional resources will use already validated and successful Traffic Management strategies and methods to further improve passenger processing at Ports-of-Entry.

The additional Inspections resources will also be used to support improved processing performance once the anticipated automated Arrival – Departure Information System is developed and in operation. We anticipate

doing this by expediting processing for selected low-risk segments of our customer-base, while expanding processing capacity for those travelers requiring more attention.

In addition, the Data Management Improvement Act, passed in FY 2000, requires INS to develop a fully-automated, integrated entry-exit data collection system and deploy this system at airports and seaports by the end of FY 2003; at the 50 largest land ports-of-entry (POEs) by the end of FY 2004; and all other POEs by the end of FY 2005.

MEANS – Annual Goal 5.6**Dollars/FTE**

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
Immigration and Naturalization Svc	1669	199	2241	341	2920	723
Immigration Exam Fees	356	23	354	25	354	26
Immigration User Fee	3123	295	3700	395	4372	459
Land Border Inspection Fee	16	2	26	5	26	3
Subtotal	5164	\$519	6321	\$766	7672	\$1211

Skills

Immigration Inspectors must have good interpersonal skills, problem-solving abilities, professional bearing, operate various motor vehicles, and attain fluency in the Spanish language. They must maintain mandatory law enforcement skills including proficiency with firearms and various non-deadly force methods: and expert knowledge of applicable Federal statutes, regulations, Executive Orders, policies, and procedures, including rules of search and seizure, arrest authorities, and the Federal rules of evidence. These officers must be skilled interviewers and listeners and must maintain expert skills with documentary forensic techniques to rapidly and accurately identify suspect fraudulent documents. They must be able to thoroughly investigate document fraud, document their findings, and to testify authoritatively these actions. In addition, Immigration Inspectors must be proficient report and legal brief writers, and must be adept in developing evidence and providing authoritative testimony before local and Federal magistrates. Given the increasing use of automated data systems and analysis tools, Immigration Inspectors also require strong computer skills with a variety of office productivity systems and software, as well as with specialized law

Information Technology

The Interagency Border Inspection System (IBIS) is a major tool used to inspect travelers. The INS also uses other automation and technologies to improve processing time performance, such as dedicated commuter lanes and accelerated passenger lanes. The Performance Analysis System (PAS) and system-generated counts are used to report data on the use of automation and technologies to manage traveler inspections on a monthly basis. At air and certain sea POEs, USCS and INS Immigration Inspectors receive passenger data from the Advance Passenger Information System, which allows the agencies to perform enforcement checks and identify high-risk passengers before they arrive in the U.S.

PERFORMANCE ASSESSMENT – Annual Goal 5.6

5.6A Facilitate Port-of-Entry Traffic and Monitor Deferred Inspections (Management Challenge)

Background/ Program Objectives:

The INS and the U.S. Customs Service (USCS) agreed that cooperation in policy and operational matters enhances the facilitation and enforcement objectives of each agency. To this end, INS will continue to coordinate and integrate efforts with USCS and the other federal inspection services to facilitate the inspection of bonafide travelers.

With continued increases in traffic anticipated, additional inspection program resources are needed. INS must also continue developing and utilizing appropriate automation technologies. INS will continue efforts to identify and segment travelers to manage the movement of low risk travelers while maintaining high traveler satisfaction.

In FY 2001, the OIG reported problems in the way INS handled deferred inspections and noted that the INS did not have adequate procedures in place to ensure that individuals who fail to appear are either brought in to complete their inspection or are appropriately penalized for failing to appear. The OIG also reported that INS's controls were inadequate to determine the effectiveness of the deferred inspection process or the number of individuals deferred and the outcome of those inspections. In response, the INS is developing or revising policies and procedures to address the recommendations provided by the OIG.

Performance:

Performance Measure: % of Total Commercial Flights to Clear Primary Inspection within 30 Minutes

FY 2001 Target: 72%

FY 2001 Actual: 78%

Discussion: INS exceeded its target and cleared 77.9% of commercial flights through primary within 30 minutes.

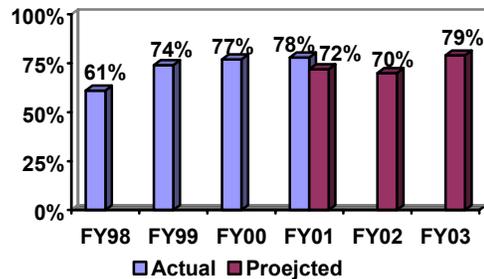
FY 2002 Performance Plan Evaluation: Based on performance in FY 2001 and more stringent security requirements, we are reducing the goal in FY 2002 to 70%.

FY 2003 Performance Target: 79%

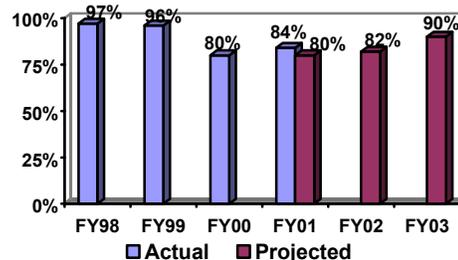
Public Benefit: The law-abiding public deserves good service and that service must be balanced against the need to maintain national security. As the government continues to operate at heightened security levels, INS will continue to maintain this balance.

Performance Measure: MEASURE REFINED: % of Land Border Wait Times (FY98-01 20 Minutes or Less, FY02-03 30 Minutes or Less)

% of Total Commercial flights to Clear Primary Inspection within 30 Minutes [INS]



% of Land Border Wait Times (FY98-01 Goal=20 Minutes or Less, FY02-03 Goal=30 Minutes or Less) [INS]



Data Collection and Storage: Individual POEs collect flight processing information from travelers and airlines and report aggregated information monthly into the Performance Analysis System (PAS). The inspection time for the last traveler is captured in the Interagency Border Inspection System used by INS and U.S. Customs Service. Wait time data for each land POE is collected manually and reported through INS regional offices.

Data Validation and Verification: PAS verification is conducted by the INS Statistics Office through submission audits; edits, data validation and logic checks, and field contact. Reported processing times are reviewed by district and regional office staff above each air POE and by the headquarters Inspections program, monthly. Air POEs flight processing information is reviewed by supervisory and technical staff. Time measurement data provided by airlines is recorded in automated systems and subject to quality reviews. At land POEs, data is manually collected locally and validated regularly.

Data Limitations: PAS records are complete with 95 percent of field office records entered within eight working days of the following (reporting) month. Land POEs use one of three approved methodologies to observe, and collect data, and to calculate wait times. Because of this variety, submitted data may vary slightly among land POEs.

FY 2001 Target: 80%

FY 2001 Actual: 84%

Discussion: INS exceeded the target, clearing 83.7% of land-border vehicle traffic within 20 minutes. This reflects the improved method for calculating wait times, which incorporate weighting according to the vehicle volume processed.

FY 2002 Performance Plan Evaluation: Based on performance in FY 2001 and more stringent security requirements, we are establishing the goal in FY 2002 to 82%.

FY 2003 Performance Target: 90%

Discussion: INS efforts to manage lawful travel and commerce across the borders into the United States, results in travelers spending less time waiting at ports-of-entry.

Public Benefit: see above

Strategies to Achieve the FY 2003 Goal:

Increased numbers of Immigration Inspectors and supporting Inspection Assistant positions requested for FY02 and FY 03 will provide increased opportunities to schedule Immigration Inspectors to staff a maximum number of available primary inspection lanes at air, land, and sea POEs. Increased processing capacity will sustain and enhance INS ability to meet and exceed the specified performance measures.

In addition, INS will focus performance efforts to increase using law enforcement databases to improve border control and to identify better persons seeking admission to the United States. These goals complement development of an integrated, automated Arrival-Departure Information System required by the Immigration and Naturalization Service Data Management Improvement Act of 2000. This statute, enacted in June 2000, amends Section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996. It requires the development of an integrated entry and exit data system using available data to record alien arrivals and departures in an electronic format, without establishing additional document requirements.

Crosscutting Activities:

At land POEs, INS Immigration Inspectors collect data on processing times in cooperation with the U.S. Customs Service (USCS). Pursuant to a 1979 Memorandum of Understanding (MOU), INS and the USCS agreed to staff land POE vehicle lanes on an equal basis.

INS Immigration Inspectors coordinate operational initiatives with other federal, state, local, and international law enforcement agencies to minimize adverse affects of enforcement operations on traffic management at POEs. On the international front, INS Immigration Inspectors coordinate traffic management and other operational activities with national border control authorities in Mexico and Canada.

INS Immigration Inspectors maintain working relationships with the intelligence community, routinely sharing information that is aimed at the interdiction and interception of document fraud and human trafficking at United States POEs. These activities enhance traffic management at the POEs by enabling Immigration Inspectors to perform law enforcement responsibilities while effectively managing traffic, both pedestrian and in vehicles. Continuation of these operations in FY 2003 will enhance INS Immigration Inspectors' ability to thwart fraud, human trafficking, and terrorism at United States POEs.

STRATEGIC OBJECTIVE 5.7: ADJUDICATION

Adjudicate all immigration cases promptly and impartially in accordance with due process

Annual Goal 5.7: Adjudicate all immigration cases promptly and impartially in accordance with due process

STRATEGIES

- ◆ Adjudicate priority cases within specified time frames.

This annual goal relates primarily to the adjudication functions of the Executive Office for Immigration Review (EOIR) and its mission of providing a uniform and timely interpretation and application of immigration law.

EOIR has identified four adjudication priorities and set specific time frames for each. These priorities include cases involving criminal aliens, other detained aliens, and those seeking asylum as a form of relief from removal and appeals. While the quality and fairness of judicial decision making is of paramount importance, timeliness is an important measure of performance.

Both INS and EOIR are committed to the prompt and fair resolution of matters brought before EOIR. By defending immigration laws, policies, and administrative judgements regarding alien removal in Federal courts, the Civil Division and the United States Attorneys uphold the intent of Congress and secure the efforts of the immigration agencies.

MEANS – Annual Goal 5.7

Dollars/FTE

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
Exec. Ofc for Immigration Review	1090	\$159	1187	\$177	1290	\$193

Skills

EOIR requires the skills of immigration judges, Board of Immigration Appeals members and attorneys, Administrative Law Judges, and support positions, including court interpreters, paralegals, and legal technicians.

Information Technology

ANSIR, the Automated Nationwide System for Immigration Review, is integrated with routine case processing operations.

PERFORMANCE ASSESSMENT – Annual Goal 5.7

5.7A Adjudicate Immigration Cases in a Fair and Timely Manner

Background/ Program Objectives:

EOIR’s ability to meet its goal of fair and timely adjudication of immigration cases is critical to: the guarantee of justice and due process; the timely, reward of relief from removal in meritorious cases; the timely removal of criminal and other inadmissible aliens; and the effective utilization of limited detention resources.

In FY 2003, EOIR’s immigration judges will complete 90% of expedited asylum, 90% of Institutional Hearing Program (IHP), and 90% of detained cases within target time frames. These time frames are: (1) expedited asylum cases within 180 days of filing by aliens with the DOJ; (2) IHP (criminal alien) cases prior to aliens’ release from incarceration; and (3) detained cases within 30 days of filing with the Immigration Court. These targets are related to percentages of cases actually completed. In FY 2002, EOIR established a targeted time frame for completion of appeals within 180 of filing with the Board of Immigration Appeals.

Performance:

Performance Measure: Percent of Immigration Court Cases Completed Within Target Time Frames.

FY2001 Target:

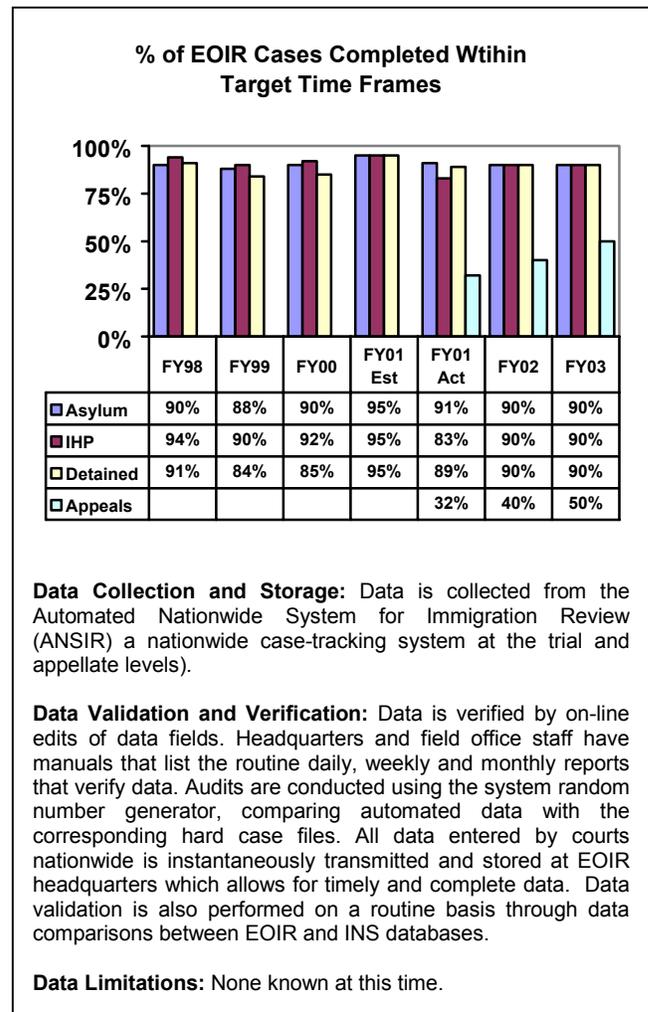
- Expedited Asylum Cases – 95%
- Detained Cases – 95%
- IHP (Criminal) Cases – 95%
- Appeals – Not projected – new measure

FY 2001 Actual:

- Expedited Asylum Cases – 91%
- Detained Cases – 83%
- IHP (Criminal) Cases – 89%
- Appeals – 32%

Discussion: In FY 2001 EOIR received 312, 738 matters (a higher number than originally anticipated) and completed 289, 087. However, EOIR fell short of its goals for completion times in the three adjudication priorities. In all three areas, the lack of qualified interpreters may have been a contributing factor. EOIR relies on contract interpreter services for the vast majority of the now 200+ languages/dialects spoken by respondents in proceedings. Depending on how rare the language/dialect, the vendor may not have the capacity to fill simultaneous orders, resulting in the need to reset cases beyond the time frames established by the goals. EOIR will work closely with its primary contractor to ensure that interpreters are available as needed.

In the case of the detained and IHP cases, another factor contributed to EOIR’s inability to meet its goals. Large detention facilities and prisons are often not located in urban areas where *pro bono* representation is more accessible. It is not necessarily unwarranted for a judge to grant more than two continuances if he/she believes that the alien or the alien’s family is making a genuine effort to find representation. Even though EOIR has set targets of completing detained cases (with no applications for relief) within 30 days, and IHP cases prior to release from incarceration, the agency also realizes that judges are bound to provide for a fair hearing.



FY 2002 Performance Plan Evaluation: Based on FY 2001 performance, and the factors outlined above, EOIR has revised its FY 2002 goals downward to 90% for each of the three adjudication priorities. The newly established target for appeals is set at 40%.

FY 2003 Performance Target: 90% expedited asylum cases; 90% IHP cases; 90% detained cases; and 50% appeals completed within targeted time frame.

Strategies to Achieve the FY 2003 Goal:

EOIR will continue to target new resources and to reallocate existing resources to the adjudication of the priority caseload as described. This includes the adjustment of court dockets to increase the number of calendars devoted to asylum cases and increasing the volume and frequency of Immigration Judge details to federal, state and local correctional facilities as needed.

Crosscutting Activities:

EOIR coordinates with INS and BOP in operating its Institutional Hearing Program, which is intended to resolve immigration cases before non-citizen inmates are released from prison. With respect to coordination involving adjudication processes overall, EOIR coordinates routinely with the INS and the Civil Division. Although EOIR is an independent component of the Department, its workload is linked to INS enforcement activities and adjudication policies. Similarly, EOIR's ability to adjudicate cases in a timely fashion affects other Department goals, e.g., the expeditious removal of criminal aliens, the efficient use of limited detention space, and the timely provision of relief in meritorious cases.