

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

The DOJ components with primary responsibility for implementing Strategic Goal Four 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. INS cooperates with other federal, state, and local law enforcement agencies in activities such as drug smuggling, terrorism, and other criminal acts. INS' contributions to DOJ's broader criminal law enforcement activities are reflected in Strategic Goal One (Keep America Safe by Enforcing Federal 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 a timely and efficient manner. 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 eight material weaknesses in this area:

Delivery Bonds - INS has been experiencing difficulty in collecting fees owed from breached bonds since 1990.

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.

Organizational and Management Issues - In 1997 the General Accounting Office (GAO) found that the INS needed to take steps to resolve management problems, including establishing roles and responsibilities, clarifying lines of communication, and disseminating organizational policies and guidelines.

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

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.

Management of Property - The INS needs to improve accountability of property highly vulnerable to waste, loss, unauthorized use, or misappropriation. With regard to weapons, INS has not routinely reported the status of weapons, and, as a result, has numerous lost or missing weapons.

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 agency-wide 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.

INS Financial Management (material non-conformance) - A material nonconformance is continuing to be reported in regard to the INS' need to implement policies and procedures to ensure that all transactions were recorded in accordance with federal accounting standards. Solutions are replacement of the financial system and adherence to federal accounting standards. While INS adherence to accounting standards has improved during FY 2000, much still needs to be accomplished.

DOJ's Office of the Inspector General's (OIG) December 2000 list of the ten most serious management challenges facing the DOJ includes three of the above issues: Removal of Criminal Aliens; Information Systems Planning and Implementation (which focuses primarily on INS information systems and links closely to the material weakness, management of automation programs (the non-INS aspects of this issue are discussed in STRATEGIC GOAL SEVEN: Ensure Excellence, Accountability and Integrity in the Management and Conduct of Department of Justice Programs); and Financial Statements and Systems (which includes references to INS' financial systems (the non-INS aspects of this issue are discussed in STRATEGIC GOAL SEVEN: Ensure Excellence, Accountability and Integrity in the Management and Conduct of Department of Justice Programs)).

In addition to the above issues, the OIG cited INS Border Strategy as one of the top ten management challenges for DOJ in this strategic goal. The INS Border Patrol faces significant enforcement challenges along the southwest border and the northern border to stem the tide of illegal aliens, drugs, and terrorists.

Performance measures related to these material weaknesses and management challenges are noted.

PROGRAM EVALUATIONS

Joint Evaluations

The 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

Formal multi-year program evaluations of the Employment Verification Pilots began in FY 1999. By FY 2001, the first of the series of reports of the evaluations including statistics and interpretation of the impact of the pilot in providing alien status verification services for employers will be provided to decision makers and the general public.

INS Information Technology (IT)

As part of its activities, the INS Information Technology Investment Review Board will continue to review and assess all operations and maintenance spending, all investment spending for IT, and life-cycle costs for FY 2001 and FY 2002. In FY 1999, INS established Portfolio Managers for areas of IT activity (i.e., senior staff from the program operations components of the agency), and established a new Strategic Information and Technology branch within the mission/customer components of the agency. This provides more focused customer-based evaluation of the INS IT needs as a basis for decision making. The analysis and evaluation activities through the IT-IRB Executive Steering Committee process and through the Strategic Information and Technology branch will be refined in FY 2001. Initial activity in FY 1999 and FY 2000 will be strengthened in FY 2001 to use special reviews of systems performance and costs, and in the use of Independent Verification and Validation contracts to intensively evaluate particular systems or projects. Independent Verification and

Validation studies are currently underway for the Computer Linked Application Information System 4.0 (CLAIMS4) system supporting INS' benefits processing.

Beginning in FY 2000, all existing IT systems and projects are subject to a major life cycle management review as a basis to make decisions. In FY 2001, procedures will be in place to ensure that in-process 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. All in-process evaluations will be conducted by an independent group to ensure that systems comply with the revised Systems Development Life Cycle requirements.

Border Control

INS continuously evaluates the effectiveness of its border control strategies, particularly for the southwest border, and quarterly evaluates progress through the Commissioner's Performance Management Reviews. In addition, several special studies have been initiated and are ongoing to evaluate border enforcement effectiveness. These include a study in FY 2000 and FY 2001 to determine the optimal staffing, resource, equipment and technology needed to effectively control the Southwest Border. This study will encompass Service-wide needs in the Border Patrol and other related programs such as the Detention and Removal Program, Inspections, and Management and Infrastructure requirements.

Other studies related to the effectiveness of INS enforcement activities at the border are anticipated in FY 2001. 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 GAO report on the Status of the Southwest Border Strategy. Study findings will be available when all results are synthesized and an overall analysis is performed.

IDENT-IAFIS

FY 2000 through FY 2001, INS will continue 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 will examine 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.

Inspections

An evaluation of the recent deployment of the Remote Video Inspections Systems began in FY 2000 and will carry forward into FY 2001. The INS-U.S. Customs Border Coordination Initiative will be ongoing throughout FY 2001. In FY 2001, INS and Customs will jointly address the optimum staffing levels for their enforcement and facilitation goals. In addition, an assessment of the use of automated technologies to segment and facilitate low-risk travelers at ports began in FY 2000 to provide alternatives for formulating activities in FY 2001 and beyond.

Benefits Processing

Formal INS Program Assessments of Naturalization applications casework focused on verifying the compliance level of INS field office operations with the new Naturalization Quality Procedures. This was accomplished through outside audits controlled by the Department, and through internal audits contracted by INS. INS internal audits are continuing in FY 2001.

Removals

Program Assessments for removals programs are designed to measure the efficiency and effectiveness of particular strategies or approaches. Internal Program Assessments and workload analysis have been conducted in the past on the Institutional Removal Program (IRP). The General Accounting Office (GAO) conducted a series of assessments of INS' ability to initiate and complete removal proceedings through IRP and of INS management of IRP. INS anticipates ongoing internal and GAO monitoring and reports on IRP in FY 2001. The impact of internal transfers of functions between INS' Investigations program and the Detention and Removal program for selected Federal and State IRP sites expected to occur in FY 2001, in the support of the IRP program, will be the subject of an FY 2001 evaluation.

Quick Response Teams (QRT)

INS plans to evaluate its QRT operations in FY 2001. INS is examining staffing, locations, and results of teams established and implemented in FY 2000 and anticipates new FY 2001 program adjustments and new staff. The 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 is continuing to train local law enforcement agencies working with the communities that are affected by QRT sites.

INS Detention

During FY 2000-2001, the INS Detention Program will use a detention projection model in an ongoing basis to assess the impact of program changes and resource and policy decisions. In addition, in FY 2001, INS plans to develop projects to use alternatives to detention based on an evaluation completed in FY 2000 on the results of the Appearance Assistance Program demonstration project. The evaluation addressed the impact of Appearance Assistance Program on improving aliens' appearance at hearings and compliance with immigration judge final orders as a means to reduce use of detention space for appropriate categories of aliens.

Interior Enforcement

Interior Enforcement program assessments have been conducted and are expected to continue through FY 2001. In addition to its own efforts, INS anticipates ongoing GAO monitoring and evaluation, as mandated by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, taking place in order to report on the Attorney General's progress in deterring illegal entry into the United States. GAO has recently reviewed the INS anti-smuggling program and the work-site enforcement programs. INS expects continued monitoring, evaluation and reporting to occur for these two programs.

NS Internal Management

In the management arena, INS conducted several internal program evaluations as the basis of improving these operations and support for requirements across all programs. In FY 2000, INS completed an administrative staffing study, facilities study, and study of training alternatives. A vehicle and facility impact study and feedback began in FY 2000 and is continuing into FY 2001.

STRATEGIC OBJECTIVE 4.1: IMMIGRATION INFORMATION SERVICES

Provide accurate, easy to use, readily accessible and up to date information which meets the needs of internal and external customers.

Annual Goal 4.1: Increase information availability and accuracy.

STRATEGIES

Determine the informational needs of customers and ensure these needs are addressed through design, development, and deployment of programs and systems.

Define data quality standards and build quality mechanisms directly into data collection and reporting processes to ensure reliability of data reported.

Create informational materials that are written or voiced in plain and understandable language, are easy to use, and meet the needs of customers.

Continue to enhance and expand use of communications and information technology to make this information easily and readily accessible to customers.

Coordinate and develop partnerships with other agencies and organizations on data requirements, effective collection and reporting, and expand the electronic exchange of data with mission partners, including federal, state, and local agencies as well as private sector organizations.

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.

Create a culture in which everyone values performance and demographic information, effectively uses data to

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 will strengthen its commitment to increase the availability of reliable information and statistics and to increase the avenues of access to this information. In FY 2002, INS will focus on expanding capabilities to provide informational materials and customer feedback in a timely and easily accessible manner. INS will continue data quality initiatives to assess the quality of selected information sources each year. INS will develop action plans and re-engineer parts of mission-direct and administrative support systems that are critical to supporting the availability of accurate and consistent information.

In accordance with presidential and DOJ directives, INS will continue to expand on the electronic information repository through added information published on the INS Internet Website. Since 1999, INS has extensively revamped and significantly enhanced both the

content and usefulness of the Website. A tremendous growth in the visibility and use of the site resulted. INS will maintain the accuracy and timeliness of the content of this information to promote better understanding of INS' mission and core processes by the general public, INS customers, clientele and stakeholders, as well as fostering interagency sharing of information.

Another critical aspect of the expanded communication of information is addressing the Freedom of Information/Privacy Act mandates. Backlog reduction continues to be the principal goal of the program. INS will employ a variety of techniques to manage the surge in requests and reduce the response time for its customers. INS is advancing national case management systems and solutions to streamline assignment, review and respond to requests for information. INS will reduce the workload by establishing alternative means of addressing requests for particular types of information, e.g., genealogy and case discovery.

MEANS – Annual Goal 4.1

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	\$ mil	FTE	\$ mil	FTE	\$ mil	FTE
Citizenship and Benefits and Program Dir.	101	736	67	862	71	862
Immigration User Fees	2	27	3	28	3	28
Immigration Examination Fees	91	846	164	1093	173	1243
TOTAL	194	1609	234	1983	247	2133

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. "Help Desk" assistance, particularly in the field environment, is critical as the new ENFORCE, CLAIMS and biometric systems are being deployed. This includes Internet web managers, web content managers, technical layout and development, policy analysts and advisors and coordinators with the IRM

**Information
Technology**

INS relies upon ENFORCE, CLAIMS, biometric applications and other mission-direct application systems as well as supporting hardware and telecommunications platforms. In addition, INS uses the Correspondence Control Automated Tracking system to manage the Freedom of

PERFORMANCE ASSESSMENT – Annual Goal 4.1

4.1A Provide Accurate and Readily Accessible Information

Background/ Program Objectives:

INS will continue to expand use of communications and information technology to make information easily and readily accessible to external and internal customers. 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. As processes and policies are put in place for improved management of information technology (also discussed under 4.6C), informational needs of customers will be identified and addressed through design, development, and deployment of programs and systems. In addition, data quality mechanisms will be built directly into data collection and reporting processes to ensure reliability of data reported.

FY 2000 Actual Performance:

Performance Measure: % of Sites with ENFORCE /IDENT Installed – Discontinued Measure

Target: 74% **Actual:** 71%

Performance Measure: % of Utilization at Sites Where Deployed – Discontinued Measure

Target: IDENT: 88% ENFORCE: 85%

Actual: IDENT: 89% ENFORCE: 87%

Discussion: ENFORCE (booking module) deployment met its requirement of 40 deployments in a manner other than what was planned. The target was for 40 deployments to QRT sites for supporting interior enforcement. Six QRT sites received deployments and the remaining were not addressed in FY 2000 due to the congressionally imposed moratorium on IDENT deployments and the lack of funding for Enforce training. The Border Patrol provided funding and used its own staff to deploy ENFORCE to 37 sites. At this point in time, only 29 site deployments remain to complete initial ENFORCE deployments for Border Patrol operations. No deployment took place for IDENT, either stand-alone or in conjunction with ENFORCE, due to the congressionally imposed moratorium on IDENT deployments pending resolution of issues regarding integration of IDENT with FBI's Integrated Automated Fingerprint Identification System (IAFIS). A program office with representatives from FBI and INS has been established to oversee the IDENT-IAFIS studies mandated by Congress

Public Benefit: Full deployment of ENFORCE is important for effective interior operations and for providing a complete data set to reflect overall operations. Complete data sets are, in turn, important to providing the information needed to manage the strategy and promote its accomplishment.

FY 2001 Performance Plan Evaluation: Not Applicable. This measure has been discontinued due to the Congressionally imposed moratorium on IDENT deployments.

Data Collection and Storage: INS utilizes the Performance Analysis System (PAS) to capture information on total apprehensions. Transaction counts from the IDENT and ENFORCE automated systems activity are used to identify the number of individual apprehendees receiving subject-case processing and biometrics enrollment/ comparison through these systems. For Deployment of ENFORCE/IDENT software and any related equipment, contractor records are maintained.

Data Validation and Verification: The assigned manager under the INS Annual Performance Management will review submitted data and reports relative to use rates on a quarterly basis.

Data Limitations: Current issues regarding types of cases to exclude from the counts are being reviewed to improve

Performance Measure: % of Public Use Forms Available Online

Target: 85% (57) **Actual:** 85% (57)

Performance Measure: Applications That Can be Filed Online

Target: Not projected – new measure **Actual:** Not counted – new measure

Discussion: At the end of FY 2000, 57 public use forms were available online. INS has committed to making all 67 of its public use forms available and "fillable" online. These forms cover the full range of forms for naturalization and benefits. Making these available online is the first step to allowing applications to be filed electronically. INS is committed to make online filing available for multiple applications in FY 2002.

FY 2001 Performance Plan Evaluation: Based on FY 2000 performance we expect to meet the corresponding FY 2001 targets.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, INS will provide a structured Internet environment to ensure a reliable, easy-to-use means of gathering information for external customers. INS will enhance its Internet base by continuing to provide useful, current information about INS services, offices and functions, policy and plans, regulations and statistics and reports. INS will ensure a responsive platform and information framework that facilitates quick, remote access for wider audiences and for an increased use of the Internet for access to INS forms. In FY 2002, INS will continue to implement the Government Paperwork Elimination Act (GPEA) and take steps toward the future of

Data Collection and Storage: Information is derived from management reports and review of the INS Internet.

Data Validation and Verification: Regular review, control and maintenance of the INS Internet is conducted by the responsible INS program personnel and IRM staff.

Data Limitations: The percentage of online forms available does not eliminate the possibility that customers will continue to make non-electronic form requests or file forms manually. The number of applications developed for filing online initially will not reflect nationwide implementation.

"e-Gov" through plans to continue high standards of information and e-mail communications. This effort will tie information with other government websites. INS will begin providing services such as electronic filing and fillable forms on the Internet by FY 2002. The first application that can be filed online will be implemented in FY 2002.

INS will emphasize data quality to improve the timeliness and quality of critical data required for service operations and planning. Initiatives will address re-engineering of central data management workload and work-hours data, identifying data integrity improvement needs, implementing data standards and improvement activities, and support the production of official statistics and reports.

Crosscutting Activities:

INS will continue coordination with the Federal Bureau of Investigation (FBI) on IDENT/IAFIS systems integration to improve the timeliness and accuracy of criminal identification, ensuring that thousands of persons entering the U.S., both legally and illegally, can be promptly checked for the existence of criminal records maintained by the FBI. INS will coordinate with Joint Automated Booking System (JABS) users, such as the U.S. Marshals Service, to deploy the system to INS locations. INS enforcement systems will interface with JABS, thereby ensuring rapid and positive identification of offenders and eliminating redundancy in the booking process.

INS partners with the U.S. Customs Service and DEA to establish formal liaison and develop joint performance objectives.

4.1B Improve the Timeliness and Accuracy of Alien Status Verification Services

Background/ Program Objectives:

INS will continue to improve alien employment verification by expanding the availability, timeliness, and effectiveness of voluntary verification services. INS will conduct the three verification pilots mandated by the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 allowing employers who have voluntarily enrolled to make inquiries of INS by means of electronic media or telephone to seek confirmation of the identity and employment eligibility of new employees. This service will assist employers with compliance with the law and reduce the possibility of unknowingly employing an unauthorized worker.

FY 2000 Actual Performance:

Performance Measure: Average Response Time for Status Verification (Days)

Target: Gov't Customers(benefits): 3 **Actual :** 3

Target: Employers: 1 **Actual :** 1

Discussion: INS conducts primary checks and manual paper based secondary verifications of alien status for participating benefit- issuing agencies, except those agencies presently testing an automated secondary process: the Department of Labor, the Social Security Administration in New York and New Jersey, and the California Employment Development Department. The manual paper-based secondary verification can take 10-14 days to receive a response.

Public Benefit: This program is an information sharing initiative designed to aid employers and agencies in determining an applicant's/recipient's immigration status, and thereby ensure that only entitled applicants/recipients receive federal, state, or local benefits.

FY 2001 Performance Plan Evaluation: Based on FY 2000 performance, we expect to improve upon the corresponding FY 2001 target, reducing the response time for government customers to two days.

Performance Measure: Employers Participating in Verification Pilot Program – Discontinued Measure

Target: 5,500 **Actual :** 5,500

Discussion: The program increased the number of employers participating in the employment verification pilot program through information dissemination and employer seminars. Additional sites were identified and counted by employers who were verifying employment for multiple sites.

Public Benefit: Discussed above.

FY 2001 Performance Plan Evaluation: Based on FY 2000 performance, we expect to achieve the corresponding FY 2001 goal relating to providing information services. However, as enrollment is a voluntary program and not reflective of INS efforts this indicator will be discontinued as a measure of performance.

Data Collection and Storage: The response time data focuses on services provided through automated submission and verification requests and system based counts are provided. For the number of employers currently enrolled in the employment status verification pilots, the Pilot Tracking System maintains individualized data on each employer enrolled.

Data Validation and Verification: The initial automated request (primary verification) for status verification is responded to almost immediately based on information contained in INS' Alien Status Verification Index (ASVI) database. The response time for each case is automatically calculated and averaged by the system at any given reporting point. Requests where primary verification did not provide a definitive answer often results in a request for further review of INS records (secondary verification). Based on automated transaction requests for secondary verification against the ASVI database, an automated record of the date-in and date-of-response for each request is maintained in the Status of Verification System (SVS). An average response time for secondary request responses for a set of cases over a period of time is computed by the system. In those cases where secondary requests are submitted to INS via the manual G-845 form, the INS status Verifier inputs the date-in and date-of-response for each case into the SVS, and an average response time is computed, as cited above. For data on employers enrolled in the employment verification pilots, only a formal request for removal from the pilot by the employer allows adjustment of the database maintaining the enrollment numbers.

Data Limitations: Data is complete and accurate given the automated basis for capture and reporting.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, INS will continue to maintain support levels for the status verification information needs of federal, state, and local government customers. Incremental addition of the number of employers served in status verification will occur through voluntary enrollments, and the response times for employer-related status verification gained in FY 2000 will be maintained. The standards for timely processing of verification inquiries will be maintained despite anticipated increases in workload from benefit providers and employers.

Crosscutting Activities:

In providing alien status verification services to employers under the new pilot programs authorized by Congress, INS is working closely with the Social Security Administration (SSA) on two of the three prototype approaches. Additionally, INS provides information on alien status to SSA under a longstanding agreement to assist SSA in processing benefit applications under their legislation.

STRATEGIC OBJECTIVE 4.2: IMMIGRATION BENEFITS SERVICES

Deliver services to the public in a professional and courteous manner and ensure that correct immigration benefit decisions are made in a timely and consistent fashion.

Annual Goal 4.2: Ensure that immigration benefit services are timely, fair, and consistent.

STRATEGIES

Establish quality assurance, timeliness and customer service standards for all immigration benefits applications 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 operating procedures nationwide.

Introduce electronic filing for applications processing.

Create a culture of customer service as an

In FY 2002, INS will improve application adjudications processing and related services to ensure they are timely, consistent, fair, and of high quality, with continued emphasis on ensuring the integrity of decisions made on applications for immigration benefits. At the local level, INS will continue to increase community consultations to anticipate or identify potential operational obstacles.

Major service enhancements will also continue, including improvements in automated systems supporting benefit application processing, fingerprint processing, telephone-based and internet-based information services, fulfilling forms requests for INS customers, and online filing of multiple applications.

CLAIMS processing capability will continue to be developed for all new Naturalization case processing and to cover additional applications types and forms. The INS will identify appropriate benefit applications for online

filing. In FY 2002, Immigration Benefits Re-engineering activities will focus on the next identified set of INS application types (e.g., I-485 - Adjustment of Status, I-130 - Alien Removal Petition, I-751 - Petition to Remove the Conditions on Residence).

During FY 2001, Congress enacted and INS established a Premium Service for Business Case, with an appropriate fee to meet the needs of INS' business clientele who require higher levels of applications service for specific cases (e.g., H-1B - Alien in Specialty Occupation Visa). Authority for premium processing was granted by Congress and signed by the President as part of the FY 2001 appropriation bill. The anticipated revenues from such fees will focus on the premium service, expand anti-fraud activity, and support capital investments. In FY 2002, INS will maintain the quality standards and processing times for the Premium Business Cases while increasing activity.

MEANS – Annual Goal 4.2

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	\$ mil	FTE	\$ mil	FTE	\$ mil	FTE
Citizenship and Benefits and Program Dir.	98	119	54	38	99	376
Immigration Examination Fees	513	4703	788	5447	857	6440
H-1B Fees	1	0	14	35	16	71
TOTAL	612	4822	856	5520	972	6887

Skills

INS requires 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, will be 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

PERFORMANCE ASSESSMENT – Annual Goal 4.2

4.2A Ensure Immigration Benefit Services are Timely, Fair, and Consistent

Background/ Program Objectives:

The INS will increase performance in application casework processing while meeting completion goals for FY 2002. As a result of continual improvements in the processing mechanisms as well as staff performance and realignment, the INS will provide efficient service as well as timely adjudication of applications to its customers. INS will achieve a six to nine month processing time for naturalization applications in FY 2002, realign resources and increase staff efficiencies for other application processes. In FY 2002, INS will maintain a 99% level of compliance with Naturalization Quality Procedures and will establish a baseline level of compliance with the Adjustment of Status (AOS) quality standard.

FY 2000 Actual Performance:

Performance Measure: Average Case Processing Time

Target: Naturalization: 6 **Actual:** 8

Target: Adjustment of Status: 24 **Actual:** 17

Performance Measure: Level of Compliance with Quality Standards

Target: Naturalization: 99% **Actual:** 99.4%

Discussion: In FY 2000, INS missed its target. However, during peak periods at the end of the year, INS met the six month processing time by shifting resources to increase production. In December 1999, District Offices submitted detailed production plans to ensure increased productivity during the FY. Representatives from various INS components met to review receipts and workload distribution and affirm the annual goals. Continuation Review Teams conducted site visits to meet with field representatives from district and sub-offices, review local case continuations and make recommendations to reduce the continuation rate and processing time for completing continued cases. The Director of Production Management Division traveled to districts and Service Centers to meet with field managers to review production plans and expectations.

Public Benefit: INS will continue reengineering efforts, resulting in delivering services to the public that are timely, consistent, fair, and of high quality.

FY 2001 Performance Plan Evaluation: Based on FY 2000 performance, we expect to achieve the corresponding FY 2001 targets.

Data Collection and Storage: Data collected using a mix of automated counts and manual case counts. Some data are collected locally under manual counts and reported monthly through the automated PAS database, and some counts are provided from various automated systems supporting casework (e.g. CLAIMS4, CLAIMS3, and the Redesigned Naturalization Casework System).

Data Validation and Verification: INS instituted monthly data reconciliation and review activities to maximize the integrity of the data reported. Data on the quality of case work is currently compiled by Quality Assurance Analysts and independent contractor(s) conducting quality reviews.

Data Limitations: In FY 2001, N-400 Naturalization case capability will be fully deployed under CLAIMS4, with additional case types (AOS) to be immediately addressed in follow-on efforts. This will allow all data for these cases to be fully automated and case-based, providing for timely and accurate data.

Performance Measure: Number of Cases Completed (Adjudicated) (millions)

Target: Naturalization: 1.3 million **Actual:** 1.3

Target: Adjustment of Status: .5 million **Actual:** .6

Discussion: While both targets were met or exceeded, naturalization receipts level have been lower than projected, while adjustment of status caseload has grown.

Public Benefit: Discussed above.

FY 2001 Performance Plan Evaluation: Based on current projections, the FY 2001 target for Naturalizations and the Adjustment of Status cases will be 800,000. INS has revised estimates of receipts and projections and will shift Naturalization case staff resources to Adjustment of Status (AOS) cases as the Naturalization backlog decreases. INS will decrease processing times to 11-14 months.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, INS will increase its performance in addressing applications case work while maintaining processing times in Naturalization and Adjustment of Status case work, including the Legal Immigration Family Equity (LIFE) Act workload. INS will maintain current processing time for new asylum casework, completing 75% of all referrals within 60 days.

In Naturalization, FY 2002 efforts will include completion goals for other naturalization applications such as Applications for Certificates of Citizenship and Applications for Replacement Certificates. At the same time, improvements to the Adjustment of Status process will be

underway, particularly to standardize procedures, decrease backlogs and reduce completion time frames. Production efficiencies will be further defined to hold processing times for Naturalization and Adjustment of Status applications to a minimum. INS will maintain the quality level for ensuring the integrity of those cases at 99 percent based on compliance with the Naturalization Quality Procedures, and maintain the time frames for processing related fingerprint work, as increased workload is addressed. A baseline for Adjustment of Status quality standards will be established in FY 2002.

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.

Data Collection and Storage: Data collected using a mix of automated counts and manual case counts. Some data are collected locally under manual counts and reported monthly through the automated PAS database, and some counts are provided from various automated systems supporting casework (e.g. CLAIMS4, CLAIMS3, and the Redesigned Naturalization Casework System).

Data Validation and Verification: INS instituted monthly data reconciliation and review activities to maximize the integrity of the data reported. Data on the quality of case work is currently compiled by Quality Assurance Analysts and independent contractor(s) conducting quality reviews.

Data Limitations: In FY 2001, N-400 Naturalization case capability will be fully deployed under CLAIMS4, with additional case types (AOS) to be immediately addressed in follow-on efforts. This will allow all data for these cases to be fully automated and case-based, providing for timely and accurate data.

STRATEGIC OBJECTIVE 4.3: BORDER ENFORCEMENT

Annual Goal 4.3: Effectively control the border and deter illegal immigration at the source.

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 migrations 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.

In FY 2002, INS will continue with 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.

Efforts in Deterrence and Apprehension target unlawful border crossers who seek to enter between POEs. The INS National Border Control Concept is to achieve control of the border at and between POEs. Additional Border Patrol resources (personnel and technology) are needed in FY 2002 to maintain and extend control along the border. 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.

Additional impacts on operational effectiveness and deterrence levels within identified zones and corridors can be achieved by the continued systematic deployment of agent staffing, technology and other resources that directly support enforcement operations. Moreover, 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 also will intercept and repatriate mala fide travelers and offshore migrants en route to the United States.

MEANS – Annual Goal 4.3

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	\$ mil	FTE	\$ mil	FTE	\$ mil	FTE
Enforcement and Border Affairs	1741	13370	1146	11148	1272	11648
Enforcement Fines	2	0	6	0	6	0
TOTAL	1743	13370	1152	11148	1278	11648

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

Information
Technology

The Interagency Border Inspection System is a major tool used to inspect travelers. Photophone equipment, allows transmission of photographic images between the INS Forensic Document Lab and POEs. The ENFORCE system is to be integrated with ENFORCE/EID. Automated ENFORCE subject-case processing software is used where deployed. In addition, significant efforts are underway to integrate live-scan biometrics functionality with the 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 2001. The Border enforcement effort between the Ports-of-Entry also utilizes the Integrated Surveillance Intelligence System

PERFORMANCE ASSESSMENT – Annual Goal 4.3

4.3A Effectively Control the Border (Management Challenge)

Background/ Program Objectives:

At the Ports-of-Entry

As the number of passengers continues to increase at the POEs, INS will revisit the inspections process and establish innovative approaches to accomplish the mission. INS will expand use of Passenger Analysis Units at air POEs that will analyze flight information from the Advance Passenger Information System, passenger reservation system, open-source information and law enforcement databases to identify high-risk travelers before they arrive in the United States. The Passenger Analysis Unit will also develop post-secondary intermediate and long-range operations that detect evolving trends in smuggling, visa and Visa Waiver program scams and other types of fraud. INS will also continue to expand the automated National Crime Information Center Interstate Identification Index criminal history record queries of Advance Passenger Information data to the Miami International Airport and the Los Angeles airport. This approach was used very successfully at the John F. Kennedy and Newark International Airports to intercept criminal aliens. Also, as more Border Patrol agents and resources are applied to targeted areas along the border, the POEs will experience an increase in mala fide travelers.

Along the Border

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. Phase IV includes the Northern Border and Coastal areas as well as new areas of activity. Currently, we are in Phase II and have achieved optimum deterrence in the principal corridors where traditional illegal activity has occurred in San Diego and El Paso, and are 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 would not yield a significant gain in arrests/deterrence. This is a critical point in our 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 we have been able to profile and predict the trend pattern to reaching optimum deterrence. It takes several years of staffing up until 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). Another important factor to note is that it can take up to 6-8 years to reach optimum deterrence.

Although we look to an eventual reduction in arrests as 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 Nogales, Arizona border areas. The ultimate impact is the increase in quality of life in these areas.

FY 2000 Actual Performance:

Performance Measure: High Priority Border Corridors Demonstrating Optimum Deterrence

Target: Not projected – new measure **Actual:** 6 corridors

Discussion: During FY 2000, INS continued to refine the border control operational effectiveness measure, in particular by using “corridors” rather than zones, with each sector identifying the corridors within their area of operation. FY 2000 resulted in 6 corridors achieving optimum deterrence. The Phase I Sectors, San Diego and El Paso, maintained optimum deterrence in two corridors each, while the Phase II Sectors, Tucson and McAllen, maintained optimum deterrence in one corridor each. INS continued to deploy resources, personnel, equipment, and technology in anticipation of further improvement.

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.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to meet our FY 2001 target.

<u>Phase I</u>	<u># of Corridors</u>	<u>FY94*</u>	<u>FY95*</u>	<u>FY96*</u>	<u>FY97*</u>	<u>FY98*</u>	<u>FY99*</u>	<u>FY00</u>	<u>FY01</u>	<u>FY02</u>	<u>FY03</u>	<u>FY04</u>
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
<u>Phase II</u>												
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
<u>Phase III**</u>												
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 depicted in FY 01 through FY 04 is dependant upon sufficient allocation of resources. 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: The operational effectiveness measure used for Border Patrol operations between ports-of-entry (POEs), i.e., the level of operational effectiveness within identified corridors (of the Southwest border) is defined as apprehensions plus turn backs (the attempt was thwarted), divided by attempts. Attempts are compiled by adding apprehensions plus evadees plus turn backs. In the past, the number of successful illegal entries (evadees) was largely unknown. With our 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. Operational effectiveness is further analyzed by evaluating: increase in traffic outside of targeted zones/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. Through our management of operational effectiveness we will gain deterrence in targeted corridors within identified sectors.

Data Collection and Storage: Data for the measure is compiled by zones (the smallest geographical area of focus). It is then aggregated at the Sector level into Sector corridors. The following are types of data collected: 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). Ninety percent of all data is mined from ENFORCE. Two percent comes from sector-level automated databases that are part of BPETS (G-259, G-481, and VETS). Eight percent comes from manual collection (tally sheets used by Border Patrol Agents to record number of turn backs, evadees, tunnel entries, etc.)

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: Currently, a process to standardize all such recording and reporting of data is being implemented across all Border Patrol Sectors to ensure consistency and validity. The collection of this data is currently an intensive manual process. The use of the 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.

Strategies and Initiatives to Achieve the FY 2002 Goal:

We 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 our current level of effectiveness in San Diego and El Paso, we will continue Phase II efforts in Tucson and McAllen. Our basic strategy is to apply increased levels of Border Patrol resources 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. The 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.

While optimum deterrence takes many years, internally INS will conduct an assessment of areas where we are maintaining or extending control to analyze our 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 plus turn backs. In the past, the number of successful illegal entries (evadees) was largely unknown. With our 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. Through our management of operational effectiveness we will gain deterrence in targeted corridors within identified sectors.

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.

4.3B Deter Illegal Immigration at the Source

Background/ Program Objectives:

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

FY 2000 Actual Performance:

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

Target: 8,283 **Actual:** 19,007

Performance Measure: Offshore Prosecutions Assisted by INS Aided by Fraudulent Document Detection

Target: 107 **Actual:** 514

Discussion: In FY 2000, the Overseas Districts accounted for the interception of 19,007 mala fide, or undocumented, migrants en route to the United States. These intercepts were accomplished as a result of INS officers working closely with their host country government agencies, diplomatic missions and consular posts abroad, other U.S. government agencies, airline industry officials, local law enforcement, and immigration entities to provide advice, training and assistance and accomplish anti-smuggling deterrence operations. This included training in recognizing migrant trafficking scenarios, detecting fraudulent documents, and facilitating the efficient boarding of bona fide travelers. As a result of the assistance provided by INS overseas, host countries initiated prosecution and abatement efforts in 514 cases. Improved and thorough reporting of these activities by the INS overseas District offices resulted in a more accurate account of these activities than has been available in the past, and INS significantly exceeding its targets.

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

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, INS projects that it will continue at the current level, exceeding the FY 2001 corresponding targets.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, DOJ will continue to strengthen INS' capability to apprehend and deter persons attempting illegal entry by hampering the efforts of alien smugglers and drug carriers. The Operation Global Reach initiative was designed to expand INS presence overseas in transit and migrant producing countries. This effort has resulted in the development of intelligence supporting enforcement operations aimed at detecting mala fide travelers, fraudulent document purveyors and alien smuggling organizations.

Data Collection and Storage: Data are compiled daily on the G-23.34 Workload summary submitted by INS offices in respective foreign countries and reported to the District Office level. The District Office forwards that data to the Office of International Affairs and to the Performance Analysis System (PAS) database.

Data Validation and Verification: On a monthly basis, overseas district offices report a summary of the number of interceptions to the Office of International Affairs. The same information is provided to the INS PAS.

Data Limitations: As PAS captures aggregate workload data,

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 4.4: BORDER FACILITATION
Facilitate lawful travel and commerce across the borders of the United States.

Annual Goal 4.4: Facilitate port of entry traffic.

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.

Continue to develop, improve and integrate alternative inspection processes.

Work cooperatively with other federal agencies at ports-of-entry to create a secure and seamless federal inspection process.

Establish travel service standards and ensure mechanisms are in place to meet those standards.

The rapid and continued growth of passenger and vehicular traffic has placed greater demands on the inspections process. In order to meet INS' objective of facilitating the movement of travelers and commerce without compromising its enforcement mission, INS has continued to work with the other federal inspection services to obtain and utilize all available information prior to passengers arriving at United States borders. In FY 2002, INS will strive to improve upon the traveler processing times at ports-of-entry (POE) that were achieved in FY 2001. With significant increases in passenger traffic anticipated, additional inspection program resources, as well as continued development and utilization of automation and technologies, will be needed to meet the expected workload.

MEANS – Annual Goal 4.4

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	\$ mil	FTE	\$ mil	FTE	\$ mil	FTE
Enforcement and Border Affairs	169	1701	198	1741	204	1777
Immigration User Fee	283	3108	307	3356	395	3702
Land Border Inspection Fee	1	16	2	26	2	26
TOTAL	453	4825	507	5123	601	5505

Skills

Immigration Inspectors must have interpersonal skills, problem solving abilities, composure, skill in

Information Technology

INS uses automation and technologies to facilitate 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 facilitate traveler inspections on a monthly basis.

PERFORMANCE ASSESSMENT – Annual Goal 4.4

4.4A Facilitate Port-of-Entry Traffic

Background/ Program Objectives:

The INS and the U.S. Customs Service (USCS) agreed that mutual 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.

On June 15, 2000, the Immigration and Naturalization Service Data Management Improvement Act of 2000 was enacted. This Act amends Section 110 of the Illegal Immigrations Reform and Immigrant Responsibility Act of 1996 and 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.

FY 2000 Actual Performance:

Performance Measure: % of Travelers Inspected with INSPASS – Discontinued Measure

Target: .70 % **Actual:** .57%

Discussion: In FY 2000, the Visa Waiver Pilot Program expired with no permanent program in place for six months. This six month gap had a significant effect on INSPASS usage as the Visa Waiver Pilot Program applicants could not use the system during this time.

Public Benefit: Discussed below.

FY 2001 Performance Plan Evaluation: Although the INSPASS program will continue there are no plans at this time for expansion, therefore this indicator will no longer be included in the Departmental Performance Plan.

Performance Measure: New title: % of Travelers Inspected by Automated Dedicated Commuter Lanes (DCLs) Former title: % of Travelers Inspected with SENTRI

Target: 2.75% **Actual:** 4.10%

Discussion: This measure reflects the percent of vehicle traffic inspected by Automated Dedicated Commuter Lanes (DCLs) at land border ports equipped with automated DCLs. Automated DCL enrollment and usage has continued to increase. At ports equipped with Automated DCLs, 4.1% of the vehicles were inspected by the automated systems, which exceeded the annual target of 2.75%. (SENTRI is an Automated DCL system utilizing state-of-the-art automation and security. The system uses electronic transponders attached to the traveler's vehicle as well as an enrollment identification card as its verification process).

Public Benefit: Discussed below.

Data Collection and Storage: Data are reported monthly using the Performance Analysis System (PAS) and system generated counts to identify the numbers of travelers participating. INS collects data in the PAS workload and resource tracking system.

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; edits, data validation and logic checks, and contact with field offices for missing information.

Data Limitations: PAS records are complete with 95 percent of field office records entered within the first 8 working days of the reporting month.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000 and the opening of the San Ysidro, California, SENTRI site, the percentage of vehicles inspected by automated technologies is expected to increase in FY 2001 to 4.9%.

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

Target: 72 % **Actual:** 77%

Discussion: INS exceeded the annual target. However, select high traffic airports reported delays in processing times during peak travel periods. A significant increase in the volume of air traffic contributed to delayed processing times at air POEs this fiscal year.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve the corresponding FY 2001 target of 72%. This target is less than our current performance due to projected increases in travelers seeking entry into the U.S. and additional airport terminals due to open in FY 2001, which will be staffed below optimum levels.

Public Benefit: Discussed below.

Performance Measure: % of Land Border Wait Times 20 Minutes or Less

Target: 80 % **Actual:** 80%

Discussion: INS met its FY 2000 target. Although some high traffic land border ports experienced significant delays during the third and fourth quarters, the majority of the wait times at land POEs were within the 20 minute standard. We continue to track high traffic ports and their peak wait times.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve the corresponding FY 2001 target.

Public Benefit: As a result of INS efforts to facilitate lawful travel and commerce across the borders into the United States, travelers spent less time waiting at ports of entry.

Strategies and Initiatives to Achieve the FY 2002 Goal:

During FY 2002, INS, in cooperation with other agencies, will continue meeting the congressionally mandated 45-minute processing time at air POEs, and continue its commitment to attain a 30-minute processing time.

Data Collection and Storage: Given the variance in land POEs, wait time data for each port is collected manually based on unique circumstances and reported through INS regional offices.

Data Validation and Verification: This data is collected locally and validated daily. Processes were implemented at the local level for affected communities and users to review results to ensure third party validation of these unique measurements requirements.

Data Limitations: Land border POEs utilize one of three approved methodologies to calculate wait times, hence variance in data may occur among the land POEs.

The Immigration and Naturalization Service Data Management Improvement Act requires the Attorney General, in consultation with the Secretaries of State, Treasury, and Commerce, to establish a joint task force. The task force will be composed of the Attorney General (or designee) and 16 members including private sector representatives of affected industries and representatives from federal, state, and local agencies. The task force will determine the most appropriate method of implementing an electronic entry and exit data system. INS established the Arrival Departure Information System (to create a centralized database to store arrival and departure data electronically for all non-U.S. citizens).

Crosscutting Activities:

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

STRATEGIC OBJECTIVE 4.5: INTERIOR ENFORCEMENT

Preserve the integrity of the legal immigration system and promote public safety and national security by deterring illegal immigrations, combating immigration-related crimes and removing individuals, especially criminals, who are unlawfully present in the United States.

Annual Goal 4.5: Increase the number of alien removals and disrupt and dismantle alien smuggling and trafficking organizations.

STRATEGIES

- Identify and expeditiously remove criminal aliens and develop approaches to minimize recidivism.
- Disrupt and dismantle alien smuggling and trafficking organizations.
- Support global and border enforcement efforts to intercept illegal immigrations-related activities before they occur.
- Respond to community reports and complaints about the negative consequences of illegal immigrations and build partnerships to help address these concerns.
- Minimize immigration benefit fraud and other documents abuse.
- Block and remove employer's access to undocumented worker, and help reduce worker

The INS adopted an Interior Enforcement Strategy (IES) which coordinates resources and increases inter-governmental cooperation and community consultations. This strategy calls for increased cross-component and cross-regional planning and action, concentrating on critical common targets: the prompt removal of high-priority categories of illegal aliens, the deterrence of unauthorized migration, and the minimum harm to the public and national security by aliens.

In FY 2002, INS will continue to remove aliens receiving final orders of deportation by focusing on high-priority cases as well as the efficiency and effectiveness of the Institutional Removal Program, which includes institutional hearings and county jail programs. INS will also increase the use of alternative, non-hearing removals. The flow of illegal aliens and increasing number of criminal alien inmates and referrals from law enforcement entities will require INS to increase bed space and transportation to

support interior and border removals. INS will target its efforts to include the use of the National Crime Information Center to identify criminals and recidivists and will develop additional agreements with foreign governments, Bureau of Prisons and U.S. Marshals Service to facilitate removal, repatriation, and information sharing.

Another major component of the FY 2002 performance plan is to aggressively pursue complex, large-scale, international investigations to prevent, identify, disrupt, and dismantle criminal organizations that facilitate illegal migration. FY 2002 activities center on the National Anti-Smuggling Strategy and related fraud and illegal employment violations. INS will target anti-smuggling enforcement activity in specific corridors. 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. 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.

INS will continue its efforts to improve the responsiveness to and coordination with local law enforcement. By the end of FY 2000, INS had deployed 45 Quick Response Teams (QRTs). Over 97% of the 200 funded and originally selected QRT officers were on duty at their assigned locations by the end of the first quarter in FY 2001. INS continues to look at the feasibility and practicality of expanding the number of QRTs during FY 2001. INS will evaluate the interaction of QRTs with other enforcement efforts. Consistent with one of the goals of the QRT initiative, INS worked closely with communities to resolve local issues and will continue this dialogue on immigration-related matters.

INS initiatives on the national and global levels will benefit from partnerships with other DOJ components to combat terrorism, organized crime, illegal drugs, and violent gangs to reduce the threat of criminal activity committed by foreign nationals.

MEANS – Annual Goal 4.5

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	\$ mil	FTE	\$ mil	FTE	\$ mil	FTE
Enforcement and Border Affairs	314	2776	341	2850	357	2946
Immigration User Fee	9	71	10	73	11	73
Immigration Examinations Fee	11	97	19	121	19	148
TOTAL	334	2944	370	3044	387	3167

Skills

Achievement of this goal requires Deportation Officers; Detention Enforcement Officers; Docket Clerks; IRP Directors; Attorneys; Legal Technicians; Procurement Officers; Special Agents; Investigative Assistants; Immigration Agents; Financial Analysts for asset forfeiture; Intelligence Agents/Officers including intelligence officers with expertise as document/fingerprint examiners; analysts, data input clerks, and other support staff. All Forensic Document Examiners are certified with a masters degree in forensic science. Some have specific areas of expertise (e.g. forensic photography, fingerprints, digital evidence

**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

PERFORMANCE ASSESSMENT – Annual Goal 4.5

4.5A Increase the Number of Criminal Alien Removals (Management Challenge) and Monitor Alien Overstays (Management Challenge)

Background/ Program Objectives:

Another part of INS' enforcement mission is to remove illegal aliens from the United States. INS is legally bound to remove illegal aliens who have received formal removal orders or who have volunteered to be repatriated.

FY 2000 Actual Performance:

Performance Measure: Final Order Alien Removals (NOTE: Prior year actuals have been corrected to reflect the most accurate data available at this time.)

Target: Non-Criminal Removals: not targeted
Criminal Removals: 55,000

Actual: Non-Criminal Removals: 34,290
Criminal Removals: 64,261

Discussion: The original target for non-criminal removals included expedited removals in error, therefore there was no target specifically designated for Non-Criminal Removals. Beginning in FY 2001, expedited removals will no longer be tracked under the Interior Enforcement Goal in the annual performance plan as these removals are not the result of INS work in the interior of the country. However, INS will continue include them for reporting purposes here and in the quarterly report to Congress.

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 are also helping to deter illegal entry.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to meet the FY 2001 target for non-criminal removals. However, current estimates of 67,000 for criminal removals indicate performance will fall short of the original target of 70,300.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, INS will continue to use alternative orders of removal – such as administrative, reinstated, and expedited – as well as partner with the Executive Office of Immigration of Review (EOIR) and the Board of Immigration Appeals to improve the hearing process. INS will maintain the Institutional Removal Program (IRP) in conjunction with state and federal prison systems to identify and process illegal aliens for removal prior to their release from custody. INS will also continue to improve its relationship with state and local law enforcement. To this end, INS will improve coverage to law enforcement activities through the use of Quick Response Teams and the Law Enforcement Support Center.

Data Collection and Storage: Removals projections are linked to use of detention resources and lengths-of-stay. 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.

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 and cannot be used to calculate lengths-of-stay in detention. This is due to data entry and DACS limitations. DACS does not have an incident identification number to match open detention periods to disposition. For example, when there is a break in detention for an alien transferred between facilities the case may remain open because it lacks the needed balancing entries showing the alien was booked out of one location and booked into another location or was removed/released. The long range plan is for DACS to migrate to the Enforcement Case Tracking System (ENFORCE) which will have the capability to track these detention cases. INS will also resolve data entry deficiencies for incomplete records.

Crosscutting Activities:

To facilitate removals, repatriations, and information sharing, INS works in conjunction with BOP, USMS, state and local law enforcement, and foreign governments. INS also works to develop additional agreements with foreign governments to facilitate repatriation.

4.5B Identify, Disrupt and Dismantle Alien Smuggling and Trafficking Organizations (Management Challenge)

Background/ Program Objectives:

The growing volume and sophistication of alien smuggling organizations pose a threat not only to the national security of the United States, but to the continued success of the strategy adopted by the INS to manage and control our borders. The objective of the INS National Anti-Smuggling strategy is to disrupt the means and methods that facilitate alien smuggling utilizing traditional and non-traditional enforcement efforts. Overseas, sector, and district enforcement components have the responsibility to disrupt smuggling organizations in source and transit countries, to deter the illegal entry of individuals at the border and at ports of entry, and to identify, investigate, and prosecute smuggling organizations domestically and internationally.

FY 2000 Actual Performance:

Performance Measure: Principals Presented for Prosecution

Target: Not Projected

Actual: Alien Smuggling Violations: 2,520
Benefit or Document Fraud: 785

Discussion:

Public Benefit: Discussed below.

FY 2001 Performance Plan Evaluation: INS projects it will not maintain the levels achieved in FY 2000 and may fall below its FY 1998/1999 level. This indicator will be discontinued as focus will shift to disrupting and dismantling targeted alien smuggling and trafficking organizations.

Performance Measure: Criminal Cases of Employers Intentionally Violating Employer Sanctions

Target: Not Projected **Actual:** 229

Discussion: INS worksite investigations focus primarily on employers involved in alien smuggling, human rights abuses, and other criminal violations, and on investigations of employer's substantive administrative violations. As a result of INS efforts, employers who knowingly hire illegal workers or violate other criminal statutes relating to their employment are arrested and presented for prosecution.

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;

Data Collection and Storage: Data is collected in the Performance Analysis System (PAS) and manual tracking. INS collects data for criminal cases against employers in LYNX. 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. INS collects work-site enforcement data in the LYNX case tracking system. Investigations data, employer data, and litigation information is captured by officers and field counsel. The forms are submitted to a contractor for data entry. LYNX is updated throughout the life cycle of the case.

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. A degree of LYNX verification occurs through comparison with management reports, regional review or verification with district offices or periodic audits.

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.

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.

FY 2001 Performance Plan Evaluation: INS projects it is unlikely to maintain the levels achieved in FY 2000. Even though this measure will be discontinued, INS will continue to pursue criminal cases against employers who intentionally hire unauthorized workers or who violate other criminal statutes relating to employment of unauthorized workers.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, DOJ will present principals for prosecution from complex, international and/or work-site related anti-smuggling cases, large-scale benefit and document fraud cases, and criminal cases against employers. Performance measures for investigations are aligned with the emphasis on criminal violators in the Interior Enforcement Strategy. Other measures for sanctions fines, task force apprehensions, and asset forfeiture continue to be tracked in INS' internal operational plan.

In support of the INS' anti-smuggling goals contained in the interior and border enforcement strategies, INS intelligence will continue to collect and analyze intelligence related to alien smuggling and endangerment of large, complex smuggling organizations. Based on intelligence from within the INS intelligence system from domestic and overseas sources as well as classified information from the Intelligence Community, INS will identify and develop operations to disrupt and dismantle major criminal organizations.

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 Force, the DOJ Organized Crime and Drug

Enforcement Task Forces (OCDETF), and the Violent Gang Task Forces. INS supports the Migrants Smuggling and Trafficking in Persons Coordination Center; established jointly by the Secretary of State and the Attorney General in order to achieve greater integration and effectiveness in law enforcement and to promote intensified efforts by foreign governments and international organizations to combat alien smuggling.

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.

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.

STRATEGIC OBJECTIVE 4.6: IMMIGRATION INFRASTRUCTURE

Annual Goal 4.6: Ensure the effective and efficient operational capability of the INS workforce.

STRATEGIES

- Develop and maintain a high quality workforce.
- Balance the workforce for effective utilization of mission-essential operational personnel.
- Provide adequate physical and technological environment, support and equipment.
- Establish and reinforce INS core values.

Immigration infrastructure includes all the varied services, goods, policies, procedures, and culture 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. The Immigration Infrastructure Strategic Objective provides a focal point for addressing these needs.

MEANS – Annual Goal 4.6

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	\$ mil	FTE	\$ mil	FTE	\$ mil	FTE
Citizenship and Benefits and Program Dir.	461	2225	456	2251	481	2286
Construction (INS)	107	43	133	81	128	92
Immigration User Fee	80	336	92	333	93	335
Immigration Examinations Fee	122	313	188	273	210	327
Breached Bond Detention	2	24	2	19	2	19
TOTAL	772	2941	871	2957	914	3059

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 aged systems to track and manage financial and administrative processes and decisions. By FY 2003, a modern core financial system, is expected to be in place to replace the 20-year old current system, FACS, and its integrated systems. Other old systems include the Asset Management System, the Position Tracking System, the Hiring Tracking System, the Officer Corps Rating System, the Central Index System, and the Receipt and Alien File Accountability and Control System

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PERFORMANCE ASSESSMENT – Annual Goal 4.6

4.6A Improve INS Organization and Management, While Maintaining a Balanced High Quality Workforce (Management Challenge)

Background/ Program Objectives:

Restructuring proposals have been the subject of ongoing discussions within the Executive Branch for several years. In the FY 2002 budget the Administration proposes restructuring and splitting INS into two agencies with separate chains of command and accountability, reporting to a single policy leader in the Department. No detailed implementation will begin until a final decision on a restructuring plan occurs. The Administration will continue to work with the 107th Congress to enact legislation that fundamentally improves the way immigration operations are conducted.

INS has experienced unprecedented growth in its workforce along with its expanded authorities and responsibilities. Part of the task of ensuring the effective and efficient operational capability of the INS is to ensure that the proper types and numbers of operational and support staff are on-board, trained, and equipped to perform the mission and support activities associated with INS' service and enforcement mission. In building its workforce, INS will continue its initiatives to streamline the hiring processes to accommodate increased numbers of candidates and selections.

A second part of the task is to provide consistent guidance to the workforce regarding organizational policies and guidelines. In 1997, the General Accounting Office (GAO) issued a report indicating that the INS must take steps to further resolve management problems, including clarification of lines of communication and more effective dissemination of organizational policies and guidelines.

FY 2000 Actual Performance:

Performance Measure: INS Field Manuals Completed

Target: Not established – new measure

Actual: 45%

Discussion: The INS administrative manual has been reengineered and is being maintained through a dedicated staff and structured process. Procedures for maintenance of delegations of authority have been approved and implementation plans are being developed by a Delegations Control Officer. Field Manuals are being developed to provide a central repository for all policies and guidance for personnel in five areas: Border Patrol agents, Adjudicators, Inspector Special Agents, and Detention and Deportation Officers. The five field manuals are currently in use although not all sections are complete. Separate policy memos and directives are still in force which have not yet been integrated into a comprehensive field manual. Although, the Inspector's Field Manual is complete, it will receive routine updates to reflect changing circumstances. The Border Patrol Field Manual is expected to be complete by the end of FY 2001.

Data Collection and Storage: Estimates of completion status of field manuals is based on the number of sections of each manual under revision.

Data Validation and Verification: Regularly observed by the responsible program personnel.

Data Limitations: All sections are counted equally even though they may require different levels of effort.

Public Benefit: Consolidation and centralization of policy and guidance into specific administrative and field manuals promote consistency in management and operations across the INS, so that all receiving service are treated fairly and equally.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve the corresponding FY 2001 target.

Strategies and Initiatives to Achieve the FY 2002 Goal:

The INS will routinely review and update material in the Administrative and Field Manuals to ensure that they are current. At the same time, sections of the manuals that are not yet complete will be developed based on consolidation of existing policies and guidelines. All new sections will receive extensive review before they are officially published.

Crosscutting Activities:

This activity is largely internal to INS, though critical to mission activities.

4.6B Improve Infrastructure

Background/ Program Objectives:

The INS workforce has nearly doubled during the last several years. As a result, existing facilities are significantly overcrowded and often present safety and health vulnerabilities. INS, like other agencies, is required to acquire the majority of its space and facilities through GSA. In addition, INS has many above-standard needs such as holding rooms for detainees, alien processing areas, waiting rooms, secure property storage and weapons storage, and enhanced security. A study in FY 2000 identified and documented significant problems of safety, health, security, and overcrowding in INS facilities. INS did not meet the National Life and Fire Safety Codes in many older facilities. Overcrowding in processing, loading and holding areas for aliens, for example, increased the risk of security incidents or injury to both the INS clients and to the officers. INS is developing a performance measure for this area.

FY 2000 Actual Performance:

Performance Measure: New Medical Claims Filed by INS Employees (Per 100 Employees)

Target: Not Projected-New Measure **Actual:**14.2

Discussion: INS implemented an active program to recognize, evaluate, and control workplace safety and health hazards, resulting in some progress. This was accomplished by expanding professional Employee Occupational Safety and Health workforce; substantially upgrading and modernizing policies and procedures; methodically providing comprehensive training for employees and annual training for the professional Employee Occupational Safety and Health workforce; actively cultivating union partnerships; and aggressively securing monetary and human resources.

Public Benefit: Discussed above.

FY 2001 Performance Plan Evaluation: The target for FY 2001 only maintains the current levels.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, resources to support safe, healthy, and effective facilities will be prioritized to address the most serious safety and health deficiencies at INS facilities.

Over time the level of dedicated resources has not kept pace with facilities needs and has led to a level of deterioration of existing INS owned facilities and has caused serious safety and health problems. Phased construction of facilities started in prior years will be completed/continued to help keep the facilities gap from widening. In existing facilities, INS will focus on correcting the most serious safety, health, and security problems, and dealing with overcrowding where it would have the greatest mission impact. This will include improvements to facilities that house INS enforcement, services, and management staff including field offices, district offices, INS detention facilities, ports-of-entry and border patrol sector stations. INS will develop a three-year plan to address the backlog of existing safety and health issues in facilities in FY 2003 while sustaining the quality of new facilities.

Crosscutting Activities:

This activity is largely internal to INS, though critical to mission activities. Facility projects are coordinated directly with the Department of Justice.

Data Collection and Storage: Information on these claims is derived from the data maintained by the respective agency.

Data Validation and Verification: Data verification is the responsibility of each respective reporting agency.

Data Limitations: Claims data may not be entered in a timely manner.

4.6C 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 the INS workforce over the past several years has resulted in proliferation of new or enhanced automated systems. However, management processes for reviewing and assessing proposed investment and for ensuring adequate resources for IT infrastructure and out-year support have not been able to keep up.

FY 2000 Actual Performance:

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

Target: Not projected – New measure

Actual: System Security Compliance: 33%

System Development Lifecycle Stds: 50%

Technologically Adequate Equipment: 35%

Discussion: INS continued its move toward a more strategic approach to manage IT. The records and financial modernization programs are moving toward new ways of managing and operating those key areas. Management approaches to IT are undergoing significant long-term changes. Emphasis has been placed on compliance with IT architectural standards, security requirements, comprehensive investment review, and procedures for accurate reporting of current status.

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

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve the corresponding FY 2001 target.

Strategies and Initiatives to Achieve the FY 2002 Goal:

INS will continue to bring existing automated systems into compliance with standard, documented life-cycle processes including investment review and performance assessment. INS will develop and deploy technology using an approach that considers the full, long-term impact of systems implementation and continued maintenance. This lifecycle standard includes: assessment of the design of the work processes and system; support for the mission and core functions; consideration of the technical alternatives and costs, performance measures, and benefits of the investment; the impact on program operations in FY 2002 and beyond; security and compliance with DOJ and government standards; the contracting strategy; and the risks associated with the investment.

Data Definition: Technologically Adequate Equipment includes workstations that are 400 MHZ or faster, that is capable of running all software applications and an Internet browser.

Data Collection and Storage: Indicators for life-cycle compliance, firewalls, and state of IT equipment are extracted from several databases used for project management and inventory control. The data are maintained and updated centrally.

Data Validation and Verification: Data are verified through routine management reports.

Data Limitations: Definitions of life-cycle compliance, and interoperability are subject to inconsistent interpretation. The evolving communication architecture for INS may change the base requirements for firewalls and intrusion detection as well as projected targets for implementation.

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.

4.6D Achieve Effective Financial Management (Management Challenge) Including the Effective Management of Delivery Bonds (Management Challenge)

Background/ Program Objectives:

For many years, INS has operated with antiquated, stand-alone automated systems for financial management along with processes that were designed for a smaller organization. Recent changes to financial requirements coupled with the increased size and complexity of INS financial affairs, have resulted in significant attention to improving financial management through compliance with mandates for financial oversight and financial records, as well as through improving and integrating essential financial systems.

The DOJ Management Control Report for FY 2000 identified two outstanding issues affecting INS' financial management: a material nonconformance concerning INS Financial Management, and a material weakness concerning management of INS Delivery bonds. INS implemented several actions during the past four years to deal with the first issue and to improve its financial management. INS is developing a fully integrated financial management system based on modern technology and customized off-the-shelf software. The software, Federal Financial Management System (FFMS), is a Joint Financial Management Improvement Program (JFMIP) certified system. The core system is deployed to the INS Headquarters and two INS financial centers (Dallas Finance Center and Burlington Debt Management Center). INS continues to operate and maintain the existing suite of legacy financial management systems. Support of these systems focuses on ensuring that the systems record and processes transactions accurately and allow for system users to access data and develop reports.

The INS has also reorganized its financial management organization, completed a data cleanup effort, and is conducting a business process review to improve and streamline its financial management processes, as well as ensure the new financial management system meets the INS requirements.

To deal with the issue of management of INS Delivery Bonds, INS has developed the Bond Management Information System, established the INS Debt Management Center, and redesigned its business practices to improve handling of delivery bonds. This aspect of the delivery bond weakness will be resolved and closed in FY 2001, therefore, no performance measure has been developed for this area.

The remaining part of the delivery bond issue concerns the existing inventory of bonds that were not created under the new procedures and automated tracking. To deal with the review of open bonds, INS has drafted guidelines directing every District Office and docket control office to assess the bond processing backlogs and to develop a plan for short-term and long-term backlog reductions. These locations will identify the number of bonds that require actions, and develop plans for making the bonds current.

FY 2000 Actual Performance:

Performance Measure: Opinions Earned on Audited Statements

Target: Unqualified Opinion on all five statements (INS does not submit a Statement of Custodial Activity)

Actual: Unqualified Opinion on the Balance Sheet and Qualified on remaining 4 statements.

Performance Measure: INS Audited Financial Statements Receiving a Clean Audit Opinion

Target: 100% **Actual:** 20%

Discussion: INS received an Unqualified Audit Opinion on FY 2000 annual financial statement balance sheets. While INS adherence to accounting standards has improved during FY 2000, much still needs to be accomplished. A material nonconformance is continuing to be reported in regard to the need to implement policies and procedures ensuring that all transactions are recorded in accordance with federal accounting standards. Solutions are replacement of

Opinions Earned on Audited Statements		
Fiscal Year	Goal (all statements)	Actual
2002	Unqualified	
2001	Unqualified	
2000	Unqualified	Unqualified on Balance Sheet; Qualified on remaining statements.
1999	Unqualified	Disclaimer on all statements
1998	Unqualified	Disclaimer on all statements

the financial system and adherence to federal accounting standards. The target date for correction of these issues is October 1, 2003. INS took steps to address the three material weaknesses identified in the FY 1999 audit concerning deferred revenue, accounts payable, and reconciliation of the Fund Balance with Treasury. In addition to focusing efforts on material weaknesses, the INS also addressed issues arising from the financial reorganization activities undertaken during the first and second quarter of FY 2000. Such issues included the need for standardizing and refining financial policy and procedures and addressing payables processing issues.

Public Benefit: An unqualified opinion reflects the fact that INS is properly managing its financial resources to provide proper stewardship of taxpayer monies. With improved financial management, the INS will improve the efficiency and effectiveness of all programs, improve the accuracy and timeliness of payables and obligations processing, and provide current, real-time status of funds for improved management and decision making.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to receive an unqualified audit opinion on the FY 2001 annual financial statements. The INS is reviewing weaknesses identified in the FY 2000 Audit Report and will implement corrective actions throughout the year to improve its processes.

Data Collection and Storage: The information for the indicator is obtained from the reports of the auditors of the financial statements.

Data Validation and Verification: As the formal independent auditor reports are the means by which we measure component progress towards achieving a clean opinion, no additional verification is necessary.

Data Limitations: None known at this time.

Strategies and Initiatives to Achieve the FY 2002 Goal:

During FY 2001, the INS will continue to use the FFMS application in its current state as well as operate and maintain its legacy financial systems. At the same time, the INS will determine the INS long-term strategy for financial systems (including replacement of legacy financial systems), based on completion of a business process review, documentation of its current financial systems requirements, and completion of a market survey of JFMIP-compliant systems. The strategy chosen is expected to exploit the current FFMS capabilities to meet the Agency's short-term needs. In addition to activities related to automated financial systems, the INS will provide adequate financial staff for oversight of a large, complex organization to achieve an unqualified audit opinion.

Crosscutting Activities:

INS participates in Department-wide financial working groups and councils to develop policy and resolve financial management issues.

4.6E Management of Property (Management Challenge)

Background/ Program Objectives:

The rapid growth of the INS in both size and complexity has created a greater challenge in managing and accounting for property highly vulnerable to waste, loss, unauthorized use, or misappropriation. A material weakness was identified as a result of an Office of Inspector General Audit of the FY 1998 Personal Property Inventory that was the first inventory of all service-wide property. Since that time, the INS has made improvements and conducted two additional Service-wide inventories with independent audits. The INS has successfully passed three Chief Financial Officer's Act Audits for capitalized property.

FY 2000 Actual Performance:

Performance Measure: Firearms That Are Unaccounted For

Target: 0 **Actual:** 2

Discussion: In FY 1999 and 2000 INS conducted 22 Firearms Accountability Reviews (FARS) in an effort to reconcile the firearms inventory. In addition to the FARS, Boards of Survey were conducted to account for 32 firearms that had been reported lost, stolen or missing.

Public Benefit: The proper management and accounting of firearms will reduce the number of firearms that become lost, stolen or missing. In addition, improved property accountability in general will ensure that taxpayer funds are used effectively.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve our goal of zero "unaccounted firearms" at the close of FY 2001.

Data Collection and Storage: Information on firearms is derived from firearms inventory systems.

Data Validation and Verification: Regular Firearms Accountability Reviews are conducted to confirm and investigate data in the inventory database.

Data Limitations: Data have not always been updated in a timely manner. However, regular reviews and controls should mitigate this problem.

Strategies and Initiatives to Achieve the FY 2002 Goal:

To sustain the goal of zero "unaccounted firearms", INS is implementing changes in the Firearms Accountability Procedures, such as, assigning a greater responsibility of firearms inventory control to the Firearms Control Officers and providing mandated training for the Firearms Control Officers. INS will conduct ten Firearms Accountability Reviews, in addition to improving the controls for monitoring the reporting of lost, stolen or missing firearms.

Crosscutting Activities:

The measures are largely internal to the INS and are administered by the Office of Administration in the Office of Management.

4.6F Records Modernization and Accessibility

Background/ Program Objectives:

INS has long relied on physical files for key information about aliens and other individuals of interest. However, decentralized storage and transfer of millions of alien files is not adequate for the pace of mission operations. In FY 2000, INS moved to centralize its alien file holdings in a National Records Center (NRC) to improve Service-wide file control and accountability, thereby reducing lost files and improving response time to file requests so that benefits and enforcement personnel can better perform their mission. However, the core automated systems that support and track physical files are outdated, inefficient, and need to be upgraded or replaced.

FY 2000 Actual Performance:

Performance Measure: % of Alien Files Transferred Within 3 Days

Target: Not projected – New Measure **Actual:** 31%

Discussion: At the end of FY 2000, approximately half of active alien files had been transferred to the NRC for centralized storage and management. The NRC is currently exceeding its target of three days for median file transfer time, with 66% of all file requests handled within three days; the service-wide performance is 31% within three days. As file centralization continues in FY 2001, performance in both centralized and decentralized environments should continue to improve.

Public Benefit: Nearly every aspect of benefits and enforcement activity relies on information in INS alien files. By improving timeliness of file transfers and information access, benefits are provided to applicants more quickly, and apprehended individuals are more swiftly and surely processed.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to meet the corresponding FY 2001 target.

Data Collection and Storage: Data is derived from the automated National Files Tracking System.

Data Validation and Verification: The systems that track file movements have several built-in cross-checks, and information to specific files is routinely reviewed as files pass through the NRC.

Data Limitations: Historical data on pending file transfers is not always fully updated. However, this will be corrected as

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, INS will begin a multi-year effort to modernize the technology supporting management and control of alien files. This in turn will increase confidence in electronic records and reduce the cost and time of transferring physical files in many cases. In addition, this initiative will increase the timeliness and accuracy of immigration decisions by INS officials and improve accessibility to information needed to respond to public inquiries. The NRC will house approximately 15-20 million official alien files containing the information utilized by adjudicators, agents, inspectors, detention officers, and legal counsel to make determinations about admittance, benefits applications, lawful status, and deportation. By FY 2002, centralization will continue to improve efficiency and reduce the number of files moved about via local offices.

Crosscutting Activities:

This measure is largely internal to the INS and is administered by the Office of Files and Forms Management in the Office of Management.

STRATEGIC OBJECTIVE 4.7: ADJUDICATION

Adjudicate all immigration cases in a timely manner while ensuring due process and fair treatment for all parties.

Annual Goal 4.7: Adjudicate immigration cases in a fair and timely manner.

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 three 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. 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 judgments 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 4.7

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	\$ mil	FTE	\$ mil	FTE	\$ mil	FTE
Executive Office for Immigration Review	143	1039	159	1135	177	1182

Skills

EOIR requires the skills of immigration judges, Board of Immigration Appeals 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

PERFORMANCE ASSESSMENT – Annual Goal 4.7

4.7A 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 2002, EOIR's immigration judges will complete 95% of expedited asylum, Institutional Hearing Program (IHP) and detained cases within target time frames. These time frames are: (1) 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.

FY 2000 Actual Performance:

Performance Measure: Total Number of Matters Received and Completed (NOTE: Prior year actuals have been corrected to reflect the most recent and accurate data available).

Target: Received: 280,000 **Actual:** 284,362

Target: Completed: 280,000 **Actual:** 276,472

Performance Measure: Percent of Immigration Court Cases Completed Within Target Time Frames. (NOTE: Prior year actuals have been corrected to reflect the most recent and accurate data available).

Target: Asylum Cases: 95% **Actual:** 90%

Criminal Alien Cases: 95% **Actual:** 92%

Detained Cases : 95%

Actual: 85%

Discussion: During FY 2000, EOIR redoubled efforts to achieve case adjudication performance targets. This included frequent, on-going reviews of performance and, where indicated, the adjustment of resources, including court dockets and travel to detail locations. As a result, FY 2000 performance relative to all measures cited above improved over FY 1999 performance.

The volume, nature and geographic concentration of EOIR case receipts are linked to INS enforcement and adjudication. EOIR allocates resources and establishes court dockets and travel schedules based upon past caseload trends. These are modified through the on-going review of caseload data. These strategies have proven largely successful and remain valid.

EOIR's performance targets remain high, despite the effects of external factors that challenge the attainment of performance goals. As an example, the IHP included

Data Collection and Storage: Data is collected from the Automated Nationwide System for Immigration Review (ANSIR) a nationwide case-tracking system at the trial and appellate levels).

Data Validation and Verification: Data is verified by on-line edits of data fields. Headquarters and field office staff have manuals that list the routine daily, weekly and monthly reports that verify data. Audits are conducted using the system random number generator, comparing automated data with the corresponding hard case files. All data entered by courts nationwide is instantaneously transmitted and stored at EOIR headquarters which allows for timely and complete data. Data validation is also performed on a routine basis through data comparisons between EOIR and INS databases.

Data Limitations: None known at this time.

76 federal, state and municipal prison hearing locations, nearly all of which required judges and support staff to travel to remote sites across the United States to conduct Immigration Court hearings. As such, the volume of sites, coupled with their remoteness, impacted performance. Another factor was the considerable lead time required to plan for IHP detail assignments. The details were planned well in advance, both to provide sufficient notice to the parties and to coordinate IHP calendars with the dockets developed for judges in their home courts. The number and duration of IHP details were based upon past caseload trends, then modified whenever possible as the year progressed. On occasion, it was not always possible from a scheduling standpoint nor practical from a cost/resource perspective to schedule details on short notice for case filings which were either atypical in terms of volume/location or involved aliens whose release dates were near in the future (the amount of time remaining on an alien's sentence at the time the charging document is filed with the court directly affects EOIR's ability to complete the case prior to release). Other factors affecting performance included the parties' seeking of continuances for representation, due to illness, etc.

Notwithstanding the above, the relatively small gap between performance and targets can be closed by continuing to review caseload trends, site-by-site, and allocating any new resources and reallocating base level resources to target IHP caseload.

Public Benefit: EOIR's adjudication functions are part of the government's larger immigration program. As such, EOIR's ability to adjudicate cases in a timely fashion allows the larger system to operate more efficiently. This includes the efficient utilization of INS detention bed spaces. In the larger perspective, the guarantee of fairness and due process remains a cornerstone of our judicial system. EOIR's role in the provision of relief in meritorious cases and in the denial of relief in others helps assure the integrity of the overall process.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, EOIR currently estimates it will receive 285,000, and complete 280,000 cases in FY 2001, which is less than the original FY 2001 targets.

Strategies and Initiatives to Achieve the FY 2002 Goal:

To increase performance relative to timeliness goals, EOIR must 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.