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**Immigration - Structural  
Reforms [3]**

**Final Recommendations**

**ORGANIZATION  
RESTRUCTURING**

**IMMIGRATION AND  
NATURALIZATION SERVICE**

Washington, D.C.  
March 9, 1998

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

**BOOZ·ALLEN & HAMILTON**

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## 1. INTRODUCTION

Over the past few years, the Immigration and Naturalization Service (INS) has experienced significant growth. Increased volume of naturalization and other benefit applications, heightened activity along the southwest border, and a number of significant legislative changes, such as The Illegal Immigration Reform and Immigrant Responsibility Act of 1996, have complicated the execution of its mission.

The INS has received significant increases in resources to help it handle these additional responsibilities and workload—its budget allocations more than doubling from FY 1993 to 1998. This dramatic growth has strained the current organization and impacted performance. Problems with the naturalization process, backlogs in application processing, and questions about the agency's ability to prevent illegal immigration and effectively remove those who are already in the US continue to elicit comment and attention.

The INS has undertaken a number of efforts both to address these issues and to improve the agency's basic operations and infrastructure. Key efforts that INS has undertaken in the past few years to address its problems include:

- Reengineering the naturalization process
- Automating records and upgrading information technology infrastructure
- Integrating enforcement operations at the border through initiatives such as Gatekeeper and Rio Grande
- Restructuring Asylum Operations
- Removing significant numbers of criminal or deportable aliens

These efforts represent the beginnings of a major transformation of the agency that will take several years to complete. For the INS transformation to be successful, it must now fulfill four key imperatives:

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

Restructuring the organization is key to the transformation, but it is only a part of it. In order for the transformation to achieve the level of improvement INS and other stakeholders want, the way the agency does business must also change. These changes include new and different business processes, focused on timely and efficient operations; revised training programs that emphasize the professional standards that INS requires; ways of integrating between and within services and enforcement at all levels of the organization; and development of the infrastructure, especially the information infrastructure, necessary to allow the agency to operate effectively and efficiently.

The proposed organization structure presented in this document maintains the responsibility to execute the immigration and naturalization laws of the country under the singular authority of the INS. The INS has a single mission which is to execute the immigration policy of the United States. This single mission has two critical components that are inseparable: the extension of benefits to those who merit them and the protection of those benefits through enforcement for those who do not merit them. For example, when a person applies for benefits, a thorough screen for fraudulent documents is required to positively determine eligibility. Individuals apprehended at the border could turn out to be asylum applicants.

The following table provides additional examples of the close coordination and integration required between service and enforcement operations:

COORDINATION / INTEGRATION POINT	EXAMPLE
Status of an immigrant or alien can often change from a person receiving benefits to one suspected of illegal activity	A person overstays his/her visa and becomes an illegal alien
Real time interaction between enforcement and service staff is needed	Adjudicator interviewing applicant discovers marriage fraud and turns couple over to detention and investigations
Immigration laws can change requiring a coordinated approach when implementing new legislation	IIRIRA influenced both service and enforcement operations such as expedited removals, service centers issuing notices to appear for deportation proceedings

These integration points necessitate shared records and information management capabilities that produce accurate, accessible and available information for both service and enforcement personnel working together in the field. Coordinating common management and information systems between different government agencies has proven extremely complex and difficult with few success stories. Our recommendation is to execute the immigration laws and policy within a single agency—the INS.

### 1.1 Approach and Scope

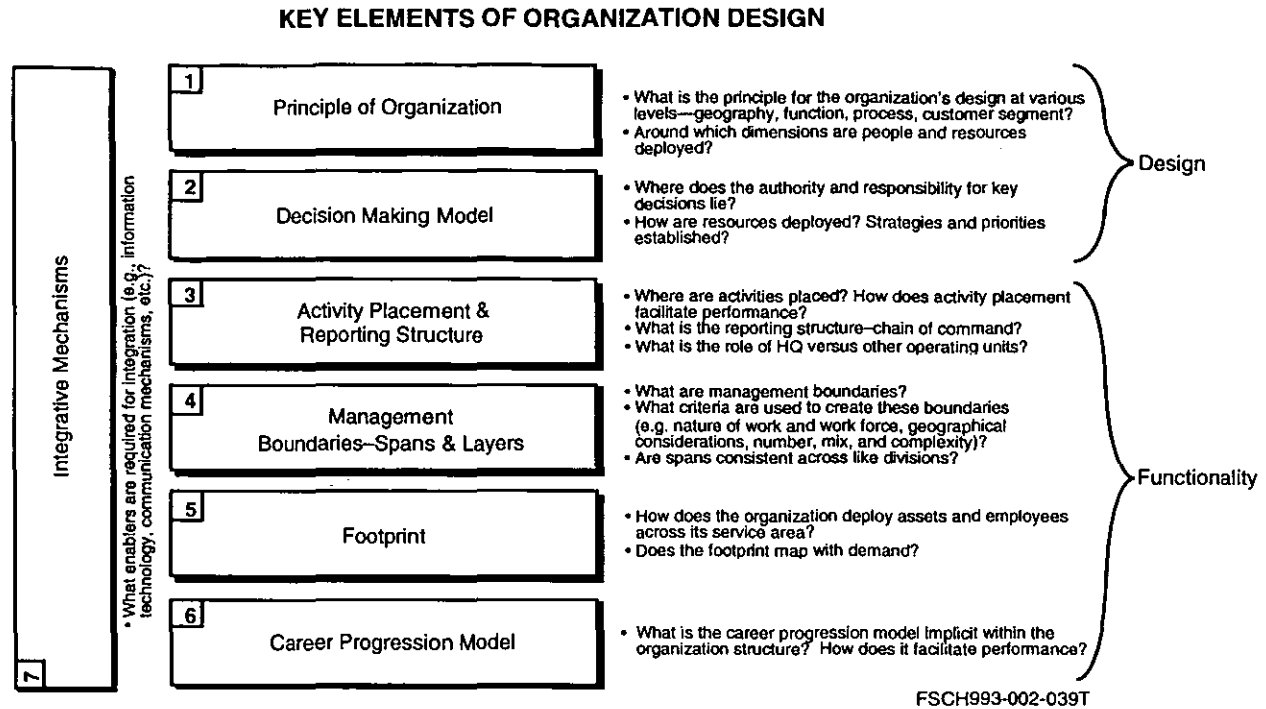
The Department of Justice engaged Booz·Allen & Hamilton (Booz·Allen) to analyze the INS organization and operations and to propose alternative structures that could promote a more effective way to fulfill its mission and address current restructuring proposals. To accomplish this task in approximately nine weeks, Booz·Allen utilized senior consultants with law enforcement and service experience in both commercial and government operations who could quickly assess the current situation and test various structural elements.

Booz·Allen held over 80 interviews with INS staff, met several times with INS senior management including field managers, and visited district offices, a border patrol sector, and a regional office. A number of different data gathering techniques were used including reviewing existing reports and analyses, interviewing other consulting firms assisting INS in the implementation of new initiatives and benchmarking three federal agencies to learn from their experience. Three federal agencies were selected:

- Federal Bureau of Investigations—a law enforcement agency with a unique, highly decentralized field structure
- Social Security Administration—a successful service agency
- U. S. Customs Service—an organization with enforcement and service responsibilities that recently undertook a major restructuring effort that changed its organization

Booz·Allen designed the process to be highly interactive with INS senior management and selected field representatives. Hypotheses were developed and tested with INS, additional data gathered based upon the feedback, and conclusions presented. This cooperative process allowed Booz·Allen to gain necessary information rapidly while maintaining analytical independence.

Based on extensive experience with both commercial and federal government clients, Booz-Allen has developed several frameworks for assessing and designing organizations. The framework selected for INS consisted of seven key elements which together define the design and functionality of an organization. Figure 1 gives the framework used for the INS organizational analysis.

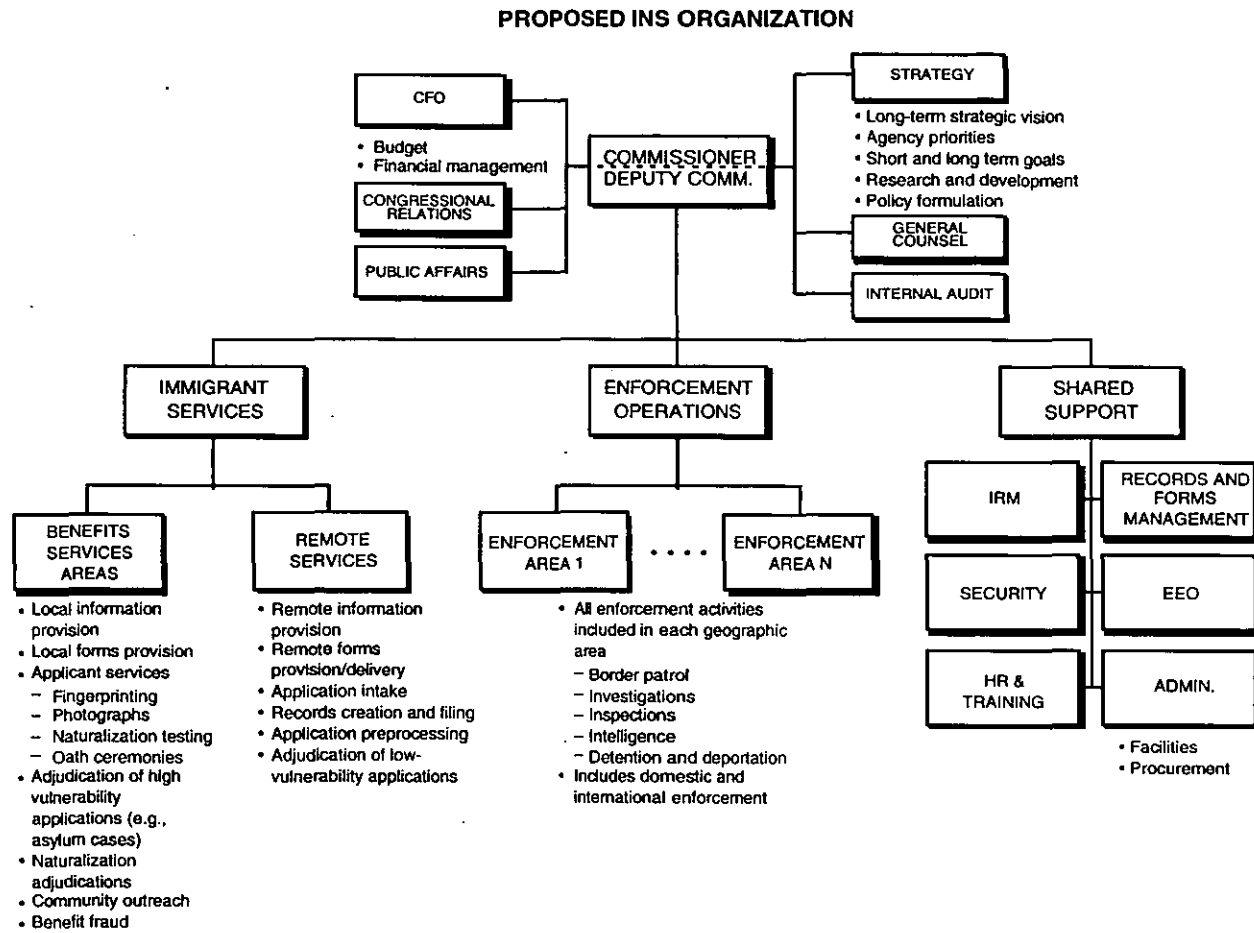


**Figure 1: Key Elements of Organization Design**

Booz-Allen used a methodology that forces top-down decision making. In designing a new organizational structure, several alternatives were considered around each of the design elements. For example, when determining the principle of organization, the team considered a number of options, organizing by customer segments, by geography, or by key functions. The best option was selected based upon how well that alternative satisfied the organizational imperatives. For example, "How well does this option create clear lines of accountability?"

## 2. PROPOSED ORGANIZATION STRUCTURE

Figure 2 shows the proposed high-level organizational structure. It represents the structure that best addressed the four organizational imperatives previously mentioned:



*Note: Geographic boundaries for both Immigrant Services and Enforcement Operations to be examined and redrawn to fit new functions and responsibilities*

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**Figure 2: Proposed INS Organization**

The majority of this report describes the proposed organization in detail which will be dramatically different from INS's current organization. It is worth summarizing these fundamental differences up front:

- HQ will focus on strategy, policy, goals and objectives, performance measurement, and provision of shared services in a support role to field operations—no involvement in day-to-day operations
- Accountability and responsibility for operations will be pushed down to the field
- Separate chains of command for service and enforcement operations will report to the Commissioner to establish clear lines of authority, responsibility, budget alignment, and execution of national priorities
- The geographic boundaries and footprints of service and enforcement operations will be different. Regional and district offices, as known today, will cease to exist. The field structure will be replaced by more targeted footprints that can focus on community needs
- Clear definition of law enforcement—pay reform legislation will be enacted to permit creation of an integrated enforcement division which includes inspectors
- More flexible career paths will be provided for staff within services and enforcement operations that are aligned to the staff's career needs. Separation and clarification of service operations from enforcement will allow leveraging the unique management knowledge, skills, and abilities required for each function
- Integration will take place with policy, process, information technology, training, and performance measures, not just organization—critical points of integration between service and enforcement have been identified

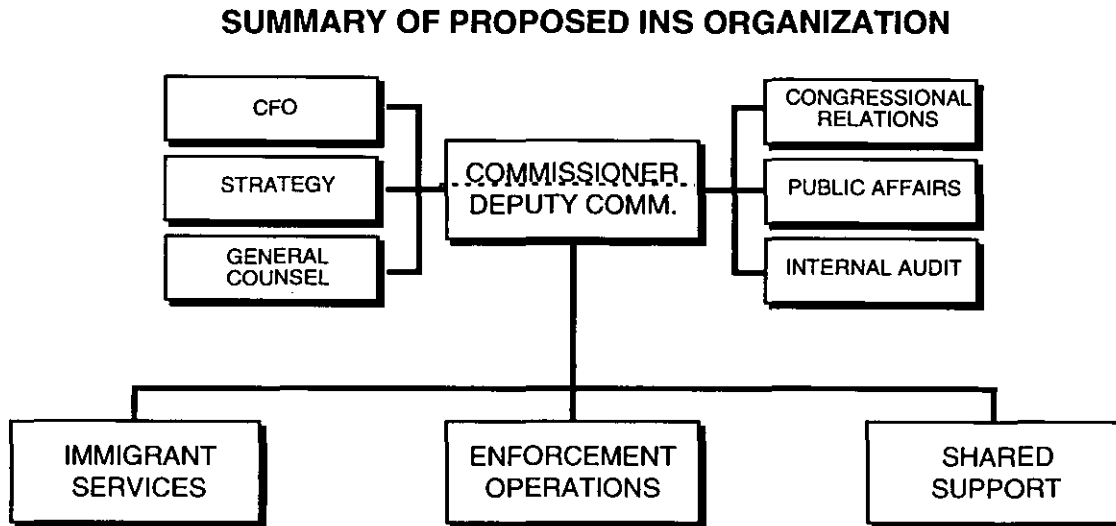
The recommended structure does not change every aspect of the INS. Rather, it tries to build on existing success stories such as the strength of the border patrol model and the restructured asylum organization and processes.



## 2.1 Summary of Proposed Organization

The high level recommended structure separates the agency into two core organization units—Immigrant Services and Enforcement Operations. Although services and enforcement must work together to fulfill the mission of the INS, execution of their functions is fundamentally different. Knowledge, skills and abilities across these functions are not easily transferable. For example, it is unlikely that one would want the head of service operations at American Express to be the chief of the Metropolitan Police Department.

Figure 3 presents a high-level summary of the recommended organization structure.



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Figure 3: Summary of Proposed INS Organization

Immigrant Services and Enforcement Operations would each report directly to the Deputy Commissioner. A senior executive manager, equivalent to a currently defined Executive Associate Commissioner (EAC), would head each of these units and would have full responsibility and accountability for executing operations at the field level. This structure clarifies accountability at the highest level which will be replicated throughout the lower levels of the organization. Individuals in the field would receive directions from one chain of command. They would be able to see a career path that extends from either adjudications officer or border patrol officer to HQ. This structure permits each operations unit to focus on those actions and initiatives necessary to develop “best in class” capabilities.

Implicit in the redesign is a redefinition of the role of headquarters. HQ becomes responsible for developing strategies, goals and objectives, policy, performance targets, and frameworks to set direction to implement national priorities. It provides support where economies of scale suggest increased efficiencies and effectiveness or where consistency and standardization are critical. In line with the current direction of successful commercial corporate offices, it also implies small and focused corporate staffs that see their roles supporting, not directing, operations.

In addition to the two key mission-delivery operational units, the recommendation defines a shared support structure responsible for the provision of administrative activities. The Shared Support division is modeled after a “shared services” structure that is a well established practice in a number of leading Fortune 500 companies. It is important to recognize that shared services units are not staff functions. They are executional in nature and should be led by an executive at the same level as operating units.

A shared services organization balances the need for local provision of support with the ability to capture economies of scale across the agency. It differs from traditional provision of services on a centralized basis. Service level agreements are developed between a shared service unit and its operational customers which spell out the level of quality, timeliness, and service expected. In this sense, the relationship between a shared services unit and the field is similar to a vendor-client agreement or contract. If services could be more effectively performed by a vendor outside the agency, the shared services division encourages the organization to consider outsourcing the activity.

The next building block of the proposed high level structure is the Strategy unit. This unit would focus on developing the long term-strategy of the INS and facilitating the process of designing programs to execute that strategy. Program execution, however, should fall squarely into Immigrant Services and Enforcement Operations. The function of the Strategy unit is to plan, with active participation from the field, but not to be responsible for day to day operations. The current Office of Programs and Office of Policy and Planning would cease to exist—its policy, program, and design responsibilities moved to the new Strategy unit and other operational/executional functions moved into Immigrant Services and Enforcement Operations.

In addition to these units, other staff and advisory units will exist and report directly to the Commissioner. These units include General Counsel, Internal Audit, Public Affairs and Congressional Relations. The recommendation also creates a formal Chief Financial Officer reporting directly to the Commissioner. It is suggested that General Counsel maintain the current reporting relationship to the Commissioner, but further analysis is desirable to detail the impact of the service/enforcement split on today’s District Counsel operations. Internal Audit continues its role as an independent office reporting to the Commissioner.

A detailed description of the organization structure is presented in the following sections.

## **2.2 Immigrant Services**

This structure creates one division responsible and accountable for all aspects of INS service operations. Given the increasing demands on the agency and complexity of the work, a focused approach to service provision with dedicated, well-trained, service operations professionals is required to improve agency performance. Immigrant Services includes activities associated with the provision of benefits: information provision, application adjudication, oath administration and associated support activities (e.g., fingerprinting, test administration). This division also includes capabilities to combat benefits fraud.

This proposed structure differs from the current organization. Today, a District Director is responsible for managing both service operations and enforcement activities. The new model separates responsibility for management of service operations (Immigrant Services) from enforcement. Integration across Immigrant Services and Enforcement Operations will take place through policy, process, information technology, training, and performance measures.

Immigrant Services is organized along functional lines and has two broad components:

- Benefits Service Areas (Local/Community Services)—includes those functions that are community-based and require face-to-face contact with an applicant, petitioner or other individual in order to perform them (e.g. a naturalization interview, fingerprinting)
- Remote Services—includes those activities which benefit from economies of scale, can be performed from a remote location and require consistency in execution (e.g. file creation, phone center operations)

Figure 4 below presents the proposed organization structure for Immigrant Services.

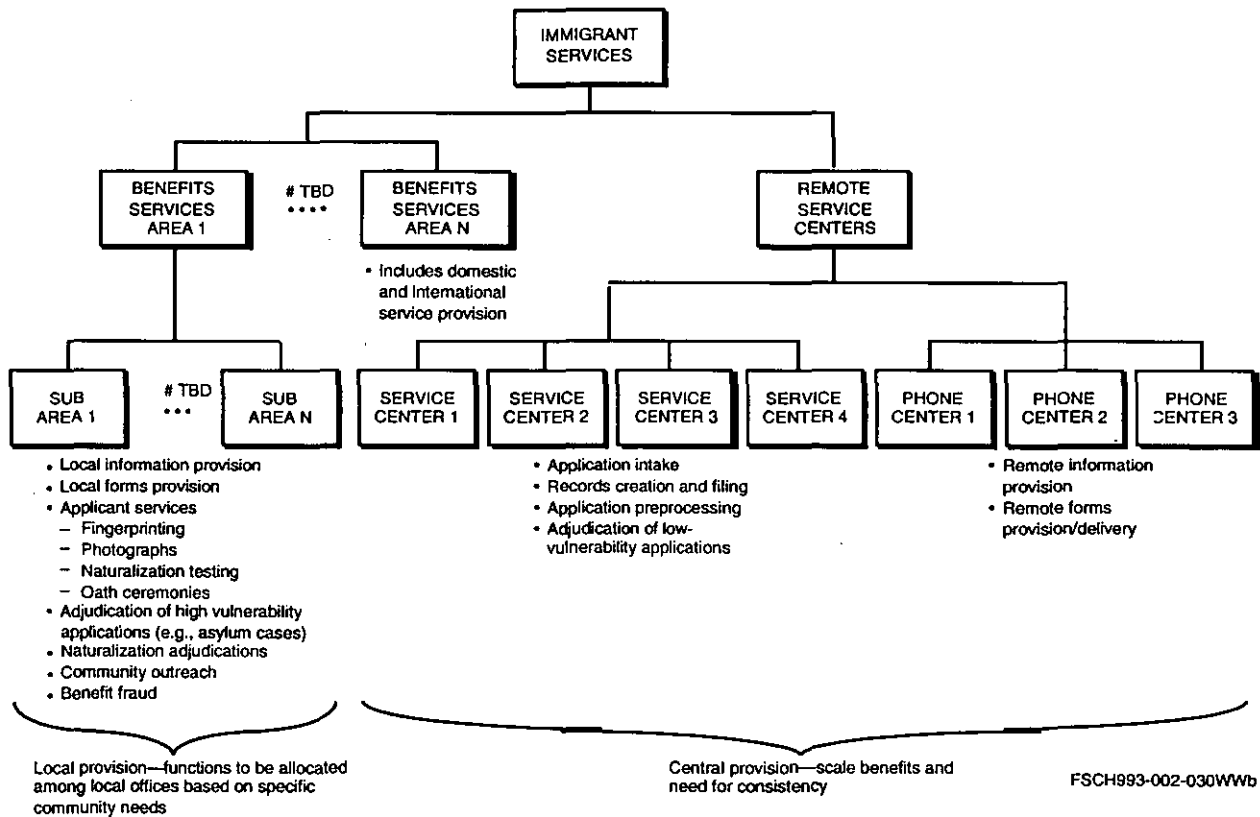


Figure 4: Immigrant Services Structure

Benefits Service Areas (local service provision)

Benefits Service Areas (BSAs) are geographic management units responsible for local service provision—in other words, those activities that require face-to-face contact with the community. The Benefits Service Areas would provide the following types of functions, all of which require local interface with an applicant for benefits:

- Local information and forms provision (Note: Could also be provided remotely via telephone or through other channels to improve accessibility and convenience)
- Applicant services
  - Fingerprinting
  - Photographs
  - Naturalization testing
  - Oath administration
- Adjudication of high vulnerability applications, those that require an interview or where there is a significant potential for fraud

Figure 5 provides an overview of the Benefits Service Area structure.

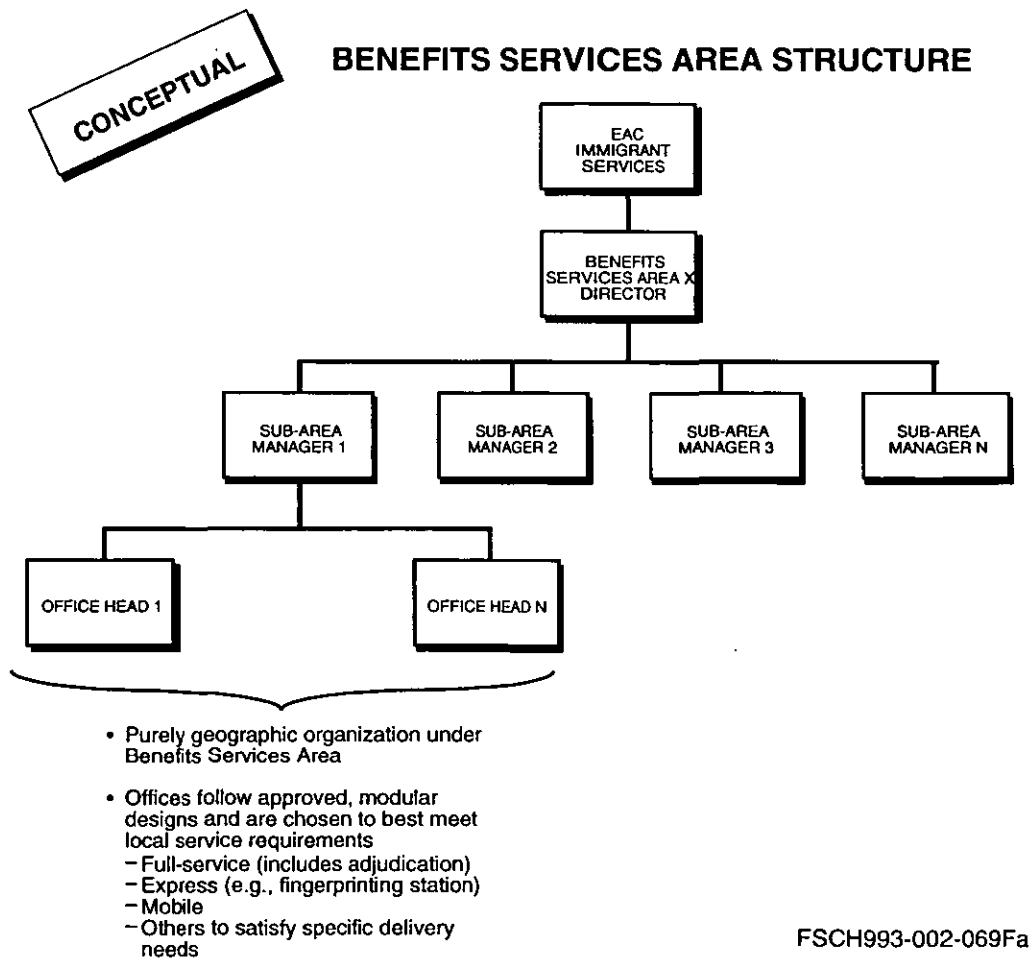


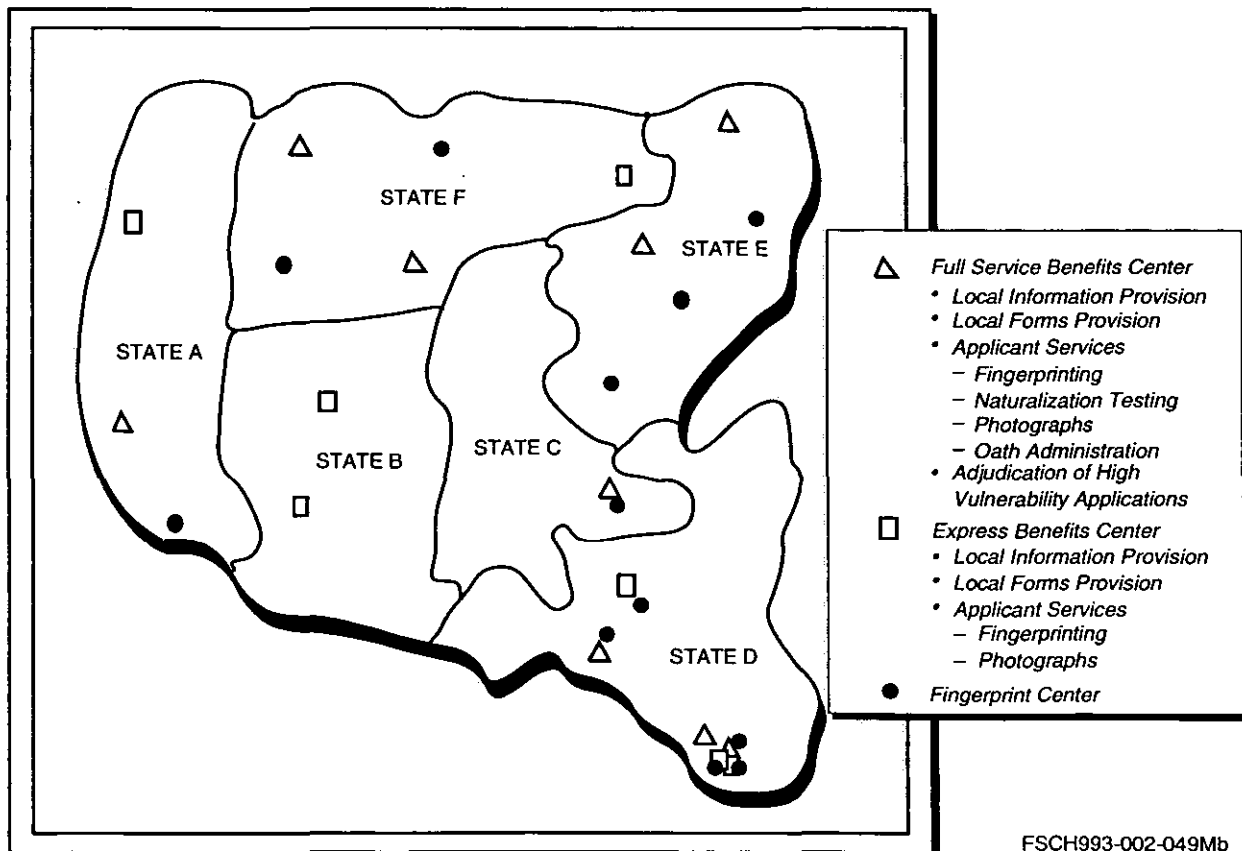
Figure 5: Benefits Service Area Structure

While additional work, with significant input from the field, needs to be done to determine the exact number of BSAs and boundary lines, a preliminary analysis was performed to test the proof of concept and to highlight differences from the current structure:

- Benefits Service Areas replace both the current Regions and Districts. Each BSA would have a director responsible for all local service provision within a given geography. This director would report directly to the EAC of Immigrant Services
- Based upon distribution of demand (i.e., application volumes by geography) and a preliminary understanding of differing community needs, it appears that between 6 and 12 BSAs should be created. This structure produces a reasonable span of control for the EAC of Immigrant Services and yet a “manageable” area in which a BSA director can effectively monitor performance and manage operations
- Each Benefits Service Area director would oversee a number of Sub-Area Managers who are responsible for a smaller geography within a given BSA. These Sub-Areas will include a number of local offices. The Sub-Area management layer is needed to provide appropriate management oversight in a decentralized service provision model
- There will be templates for different types of local offices, ranging from full-service offices (i.e., includes adjudications) to specialized fingerprinting centers. The templates will ensure consistent “look and feel” and operating procedures across the country. The BSA director will deploy different office types throughout the BSA to meet local service requirements

Figure 6 demonstrates what a potential Benefits Service Area could look like with a variety of office types and decentralized service provision.

### CONCEPTUAL BENEFITS SERVICE AREA



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Figure 6: Conceptual Benefits Service Area

### Remote Services

Remote Services is the second major component of Immigrant Services. This unit provides services that can be provided remotely and assists in application processing. Remote Services can include activities currently performed in 4 Service Centers and 3 Phone Centers, such as:

- Remote information provision (via 1-800 phone numbers, Internet, etc.)
- Remote forms provision
- Applications intake
- Records creation
- Application pre-processing
- Adjudication of low-vulnerability applications (e.g. extension of stay, employment authorizations)

These functions are combined into a single management unit to facilitate the standardization of operating procedures and to permit more effective workload management across the country. Today, for example, there is minimal re-allocation of work from one service center to another, even if processing delays at one location are far greater than at others. In this new structure, the Director of Remote Services has the authority to monitor workload volumes in remote sites across the country and move work as required to maintain service levels. This management approach for scale sensitive activities is utilized by leading commercial service operations to optimize resource allocation and ensure that service levels are maintained across geographies.

### Career Paths and Progression

The Immigrant Services structure produces a more robust career path with clear progression potential. Clear career paths are a critical requirement in INS's effort to develop best-in-class customer service capabilities. Today there is a limited ability for service professionals to reach the upper management ranks without enforcement experience. For example, of the 33 incumbent District Directors, only 2 came from a strictly services background. As most of these District Directors lack extensive benefits experience and training, they may not possess the knowledge, skills and abilities needed to effectively manage complicated service operations.

Figure 7 presents a preliminary career path for service professionals in the new organization structure.

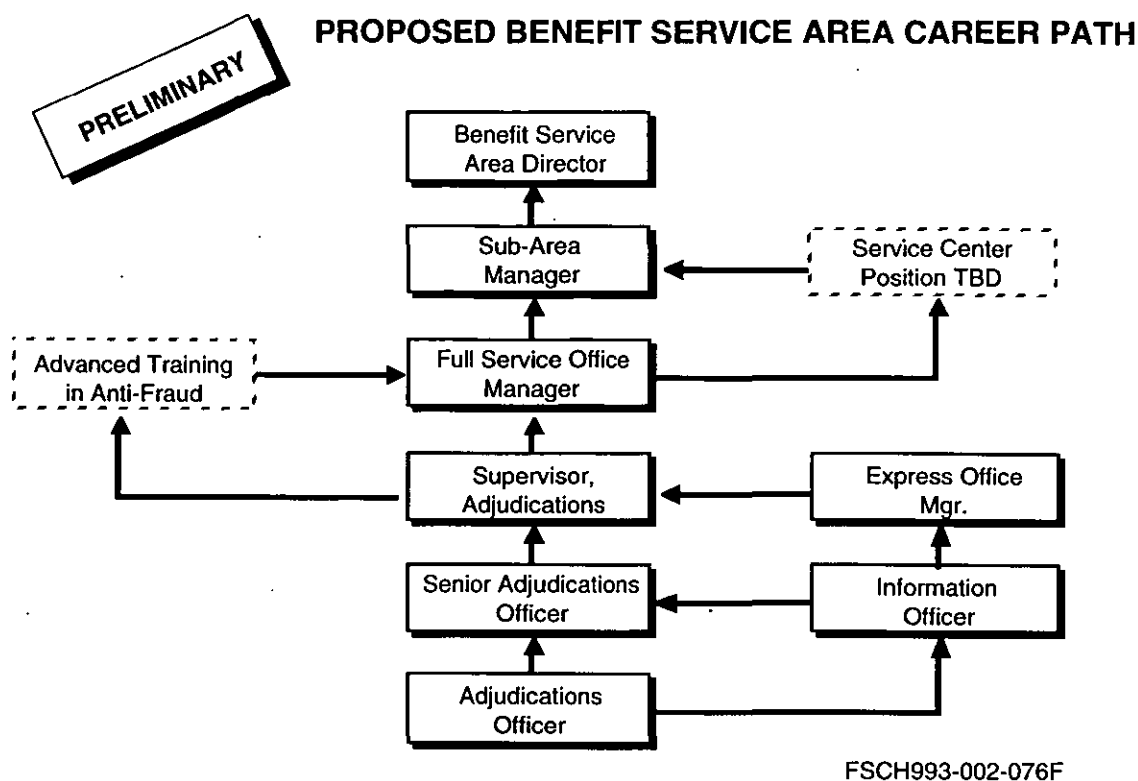


Figure 7: Conceptual Benefits Career Path

The proposed career path depicted in Figure 7 allows for succession and appropriate progression. It also provides a more effective entry strategy for new staff. Under this model, the entry-level position is that of a junior Adjudications Officer. This new entry level position ensures that staff develop a thorough understanding of INS's operations before moving on to handling public requests and questions as an Information Officer. Information Officers are the first face to the customer and leave a lasting impression of the INS, hence the need for more experienced staff. This change could require a reclassification of grade level for the Information Officer (i.e. may need to upgrade the position).

### 2.3 Enforcement Operations

Enforcement Operations encompasses all activities related to the enforcement of immigration laws, both at the border and within the interior. This structure provides a single point of responsibility and accountability for all enforcement, and allows the agency to more focus on integrated enforcement on a national or global scale.

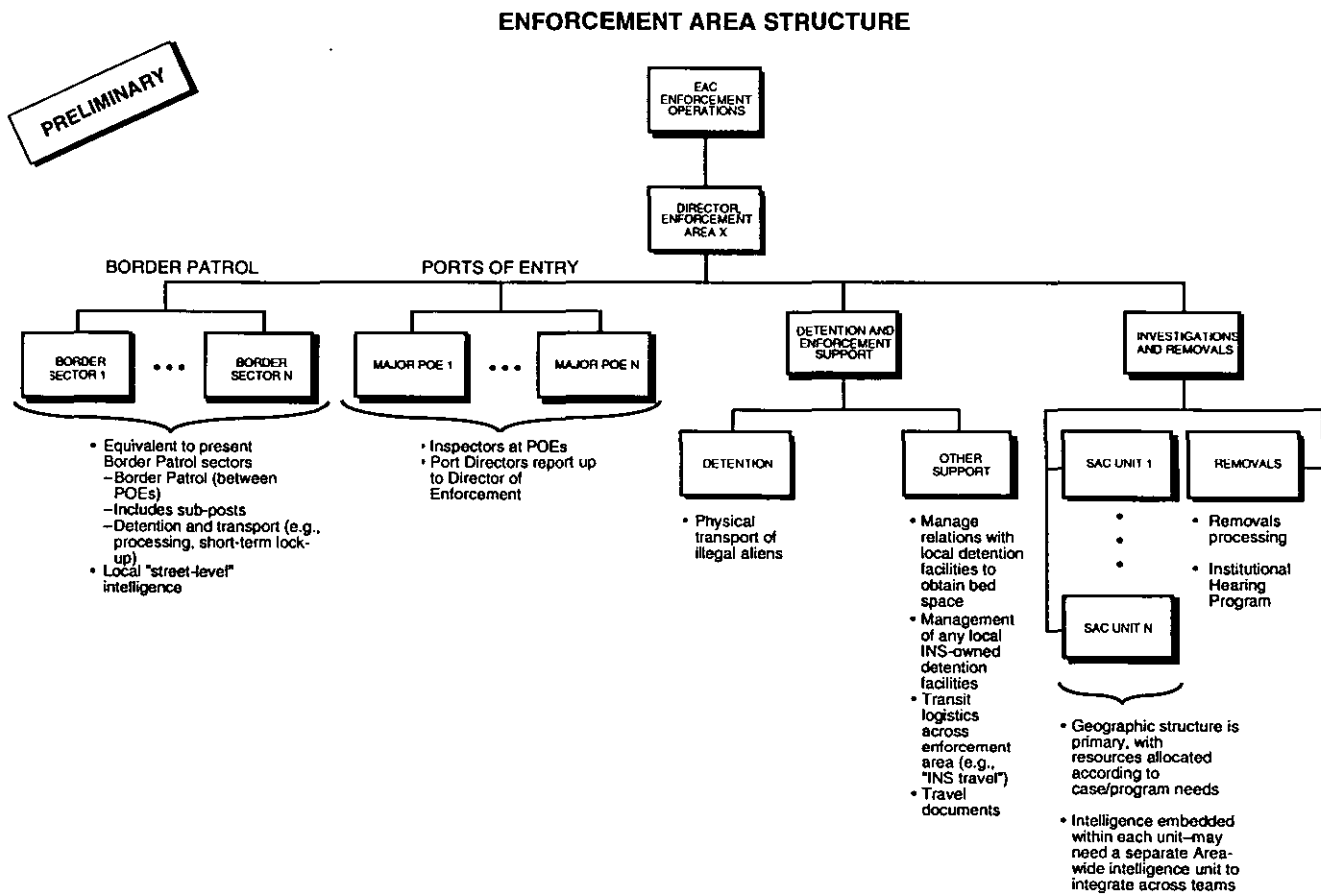
This proposed structure is noticeably different from the current organization. As previously discussed, under the current organization the Districts are responsible for service and enforcement operations. This new structure separates all enforcement-related activities from service operations.

Enforcement Operations is organized geographically into Enforcement Areas, integrating all enforcement resources under a single chain of command. Field interviews revealed the need for close coordination of day-to-day operations among the enforcement disciplines. The design of an enforcement area gives the Area Director the ability to integrate Border Patrol, Ports of Entry, Detention, and Investigations and Removals, to prioritize and coordinate operations.

Initial analyses suggest that between 6 and 12 Enforcement Areas should be created to replace the current Regions and Districts with a completely different structure designed specifically for enforcement. Each Enforcement Area will include four major elements:

- Border Patrol—patrol between ports of entry (POEs) as currently performed by the Border Patrol
- Ports of Entry—inspections at POEs (air, land and sea ports) in cooperation with Customs, the Department of Agriculture and other inspection agencies
- Investigations and Removals—proactive management of cases in key program areas, such as fraud, work site, anti-smuggling, and criminal aliens, as well as processing of removals for deportable aliens
- Detention and Enforcement Support—long-term detention and other activities that support Border Patrol, Ports of Entry and Investigations and Removals

Figure 8 shows the proposed structure for Enforcement Operations.



**Figure 8: Enforcement Area Structure**

Border Patrol

Border Patrol will continue to have responsibility for patrol of the border in between ports of entry. Border Sector Chiefs would report to the Director of the Enforcement Area (see Figure 8 above).



### Ports of Entry

This unit includes inspections at air, land and sea ports of entry. Port Directors would report to the Director of the Enforcement Area. This structure facilitates an integrated approach to border management and promotes cooperation with other inspections agencies (e.g. customs).

The recommended structure would require legislative action to permit reclassification of the inspector as an enforcement position. Today only senior inspectors are classified as enforcement. Reclassification is needed to integrate inspectors into the enforcement division and permit career progression. Best practice law enforcement organizations have common core training programs and clear career paths that permit movement throughout the organization across disciplines.

### Investigations and Removals

Investigations and Removals (I&R) focuses on illegal immigration: fraud, anti-smuggling, criminal aliens, and worksite enforcement, as well as participation in joint task forces with other enforcement agencies. The I&R unit is responsible for intelligence gathering, investigation and identification of criminal activity, and the apprehension and removal of illegal immigrants. I&R is a separate unit to reflect fundamental differences in the nature of the work (case-based), the skills required, and best practices in law enforcement organizations.

The recommendation suggests that I&R operates geographically, as do both the FBI and Customs—with a SAC/RAC model. A Special Agent in Charge (SAC) commands a field office with associated satellite offices led by Resident Agents in Charge (RACs). This model provides local focus and manageable spans of control, as well as an integrated team across an Enforcement Area, all of which are necessary to ensure effective investigative operations.

### Detention and Enforcement Support

Detention and Enforcement Support encompasses those activities that cross-cut and support Border Patrol, Ports of Entry and Investigations and Removals. Some of the activities in this division could be provided by “civilians” rather than law enforcement personnel (e.g. detention logistics) or could possibly be outsourced (e.g., detention facilities). Other best practice law enforcement agencies have “civilianized” many support positions, e.g., in some police departments the dispatch function is now performed by civilians.

Detention and Enforcement Support ensures that the entire Enforcement Area has the level of assistance needed for a best-in-class enforcement operation. It is important to note that detention as described in this unit refers to long-term detention as opposed to temporary lock-up during processing. Temporary detention capabilities and staff will be embedded in Border Patrol and report through that chain of command (as is the case today).

## Career Paths and Progression

The Enforcement Operations structure makes it possible to have an integrated career path and upward mobility for all enforcement professionals. Today, movement from certain law enforcement occupations into others rarely occurs, thus limiting upward mobility. The proposed career path will help eliminate these problems. Figure 9 gives an example of the new enforcement career path.

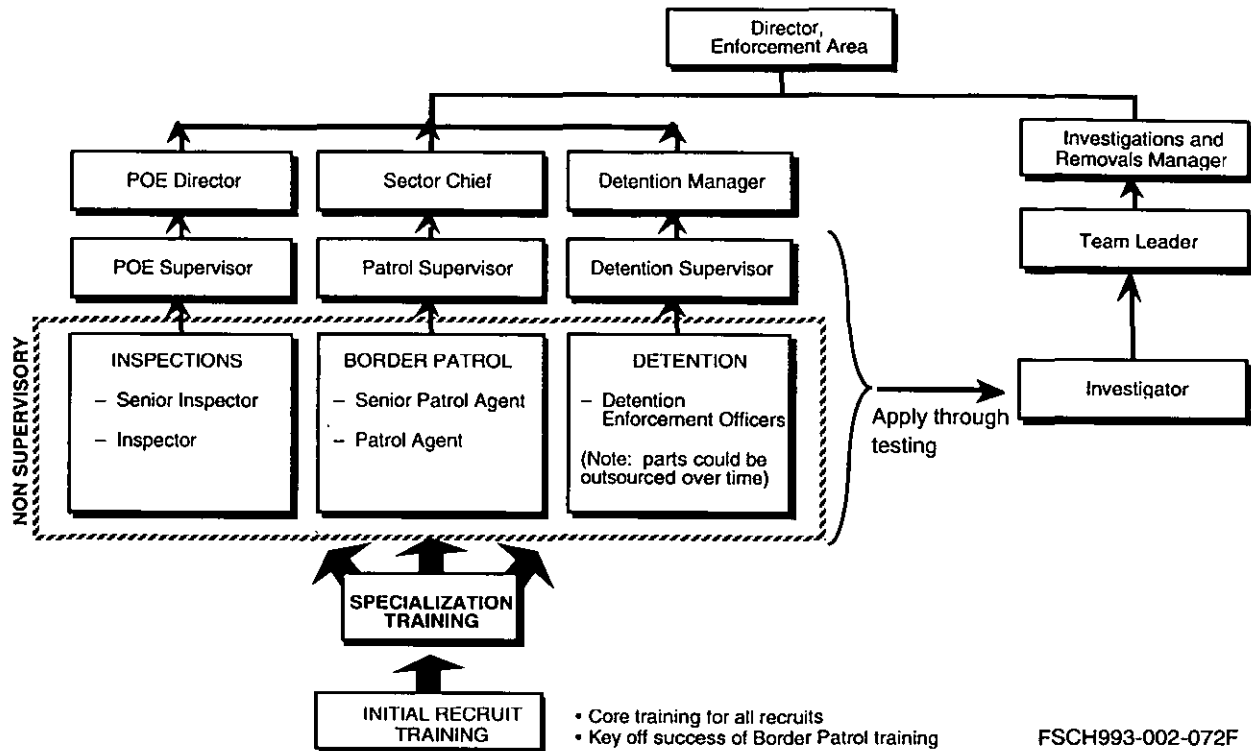


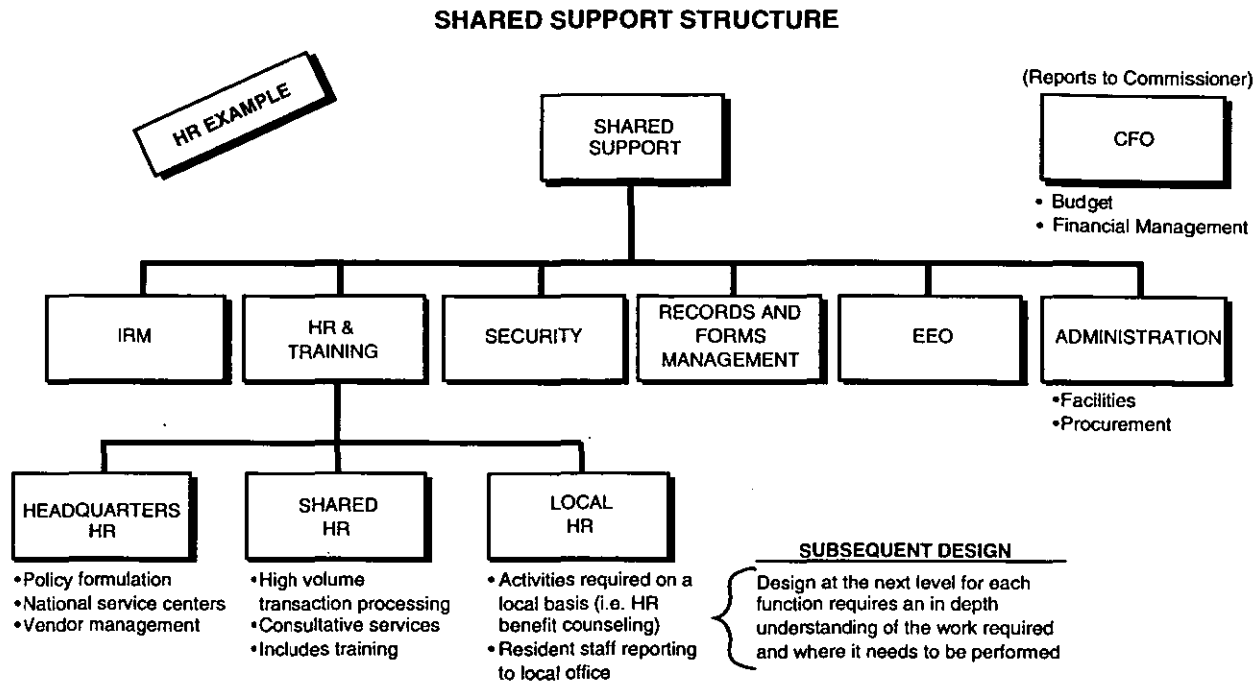
Figure 9: Enforcement Career Path

## 2.4 Shared Support

Shared Support performs critical integration activities and develops agency infrastructure. This division provides the “glue” that links together operations across divisions and geographies. It includes Records Management and Information Resources Management as well as administrative support for the field: Human Resources and Training, Security, EEO and other Administration (procurement and facilities). In a shared support structure, activities could be provided in a number of locations:

- At the local level—I/T infrastructure is critical to enable provision of support at this level
- Shared across geographies—to capture economies of scale and ensure consistency of operations
- At headquarters—policy and procedure setting activities

Figure 10 gives an overview of Shared Support, detailing how HR activities could be organized.



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**Figure 10: Shared Support Structure**

Rationale for Local Support Functions

Certain administrative activities, such as EEO counseling and HR benefit counseling, need to be provided on a local basis. Not every physical location will need a local presence. For example, service can be provided from a field office or a full service office to a small satellite location. Local support staff will report up through the field office chain of command. For example, an HR professional resident in a Benefits Service Area, would report up through the Immigrant Services chain of command. Further analysis is required to determine how local service and enforcement field offices could “share” local support to prevent unnecessary duplication while maintaining needed levels of support to get the job done.

Rationale for Shared Functions

Two types of administrative support are prime candidates for provision on a shared basis. The first type of support includes high volume transaction processing such as payroll and expense reimbursement processing. These activities are scale sensitive and can be performed remotely. Many of these activities are currently performed in one of four Administrative Centers. This type of arrangement should continue, but with management boundaries re-drawn to support the new field structure. For example, the Administrative Center in Dallas today serves primarily those districts and sectors in the Central Region. In the future, this Administrative Center may serve different Service and Enforcement Areas.

A second type of support provided on a shared basis includes those activities that are consultative in nature and in general require a good deal of specialized knowledge or expertise. A typical field office may not have a need for this service on a full-time basis, but needs the expertise available “on demand.” A good example of this type of support is labor union arbitration.

### Rationale for HQ Functions

The types of activities considered for placement at headquarters include those that potentially expose the INS to significant legal, financial or management/personnel risks. Examples include:

RISK	EXAMPLE
<ul style="list-style-type: none"><li>• Legal</li></ul>	<ul style="list-style-type: none"><li>• Compliance monitoring (e.g., Americans With Disabilities Act)</li></ul>
<ul style="list-style-type: none"><li>• Financial</li></ul>	<ul style="list-style-type: none"><li>• Outsourcing of payroll capabilities</li><li>• Decision to purchase HR system (e.g., PeopleSoft)</li></ul>
<ul style="list-style-type: none"><li>• Management/Personnel</li></ul>	<ul style="list-style-type: none"><li>• Union relations</li><li>• OPM negotiations</li></ul>

## 2.5 Strategy

The Strategy organization is an analytical unit responsible for the development of the INS's long-term strategy, including planning and R&D, but excluding all operational functions. This unit is also responsible for agency policy formulation, GPRA planning and evaluation, and definition of agency performance measures. Strategy will be held primarily accountable for a number of key processes that integrate the service and enforcement arms of the INS, including:

- INS-wide policy setting and monitoring
- Strategic planning (most similar to developing the Commissioner's Priorities and long-term plans)
- Research and development—facilitating a process to develop programs that operationalize the strategic plan
- INS-wide performance management—defining performance measures and reporting progress against strategic goals (including Statistics)

To clarify Strategy's role as a process facilitator the recommendation also outlines a high-level process for research and development. The Strategy unit would serve as the focal point for creating and facilitating Task Forces that are responsible for the actual program design. These Task Forces would contain representatives from the units accountable for the program, from the field and headquarters, to provide the necessary expertise for effective R&D. Examples of tasks managed by R&D might include:

- Design of templates for model Immigrant Services offices
- Design of a closed-loop process for managing hand-offs between service and enforcement (e.g., in fraud cases)

This process ensures that Strategy serves as a facilitator while preserving the operational chains of command, and that research and development is closely linked to the INS's strategy. Benchmarking revealed that this task force approach works well for the Social Security Administration as a means to integrate various operational units and perform agency-wide planning. While many activities included in this new Strategy unit are currently performed by the Office of Programs, Programs also has a number of operational responsibilities that need to be moved into operations areas as part of this restructuring.

## 2.6 Other Functional Units

There are several other units, most of which are staff functions (i.e., Congressional Relations, General Counsel, Internal Audit, and Public Affairs) that play an advisory role providing guidance to the Commissioner and INS Senior Management team. The recommended structure includes all of these activities as distinct units with a reporting relationship direct to the Commissioner (as exists today).

This direct reporting relationship is especially important for the Office of Internal Audit. Organizationally, this office must remain independent from other INS offices in order to properly accomplish its mission to review and evaluate the efficiency and effectiveness of INS operations and resolve alleged misconduct by agency employees.

General Counsel (GC) has a dual role in the INS, both the conventional advisory role and a key operational responsibility in local offices with respect to prosecuting removal cases in the Immigration Courts. Until further analysis can be performed to detail the implications of the service/enforcement split on General Counsel operations, Booz-Allen recommends maintaining the current reporting structure. This reporting relationship, with GC staff reporting directly to the Commissioner, creates an independent legal division that promotes appropriate checks and balances. GC operational priorities (e.g. which types of cases are prosecuted first), however, must be aligned with Immigrant Services and Enforcement Operations priorities in the field.

Although Booz-Allen did not extensively study the budget and financial management functions, it sees no reason why a separate CFO should not report directly to the Commissioner in accordance with the recommendation of the NAPA Report. Associated with this recommendation is the need to redesign and simplify the budget account structure to provide more flexibility in day-to-day operations. This issue is discussed in greater detail in the last section of the report.

In the current organization, International Affairs is a distinct Region that includes international service and enforcement operations, as well as a separate group to handle Asylum/Refugee petitions. Under the new organization structure, International Affairs would be split into Immigrant Services and Enforcement Operations, potentially as separate geographic units reporting to these EACs. A detailed analysis of international activities is required to further detail the design of international field operations and its interagency and liaison responsibilities.

Booz-Allen recommends including asylum petitions in the Immigrant Services organization, taking care not to reverse recent performance improvements in asylum processing. In all likelihood adjudication of asylum petitions will remain an area of required special expertise and hence may only be performed in a handful of local offices. It is anticipated that the new Immigrant Services structure will be able to incorporate the effectiveness of the asylum process into local service operations (e.g., integrating with immigration courts).

### 3. BENEFITS OF THE NEW ORGANIZATION

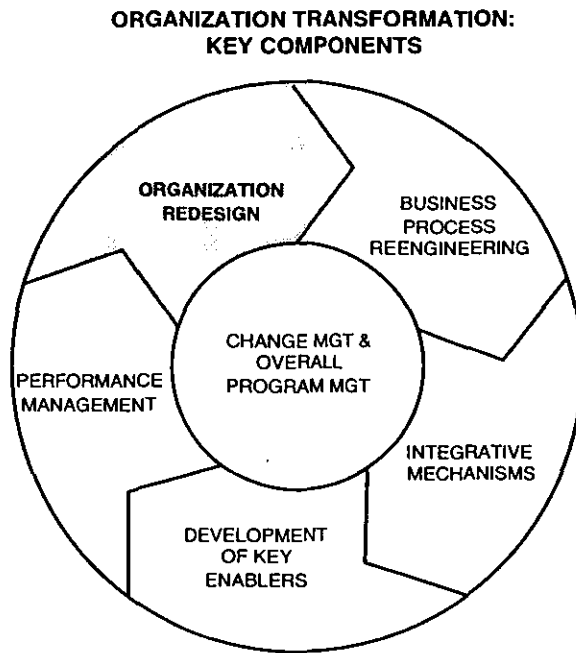
As was stated at the beginning of this report, the proposed reorganization of INS addresses several critical issues the agency faces and serves as a major step in its transformation. The discussion has highlighted how the new organization will address key issues and concerns. This summary of these benefits is summarized in Figure 11:

ORGANIZATIONAL IMPERATIVE	CURRENT PERFORMANCE ISSUES	HOW NEW ORGANIZATION ADDRESSES IMPERATIVES
1. Develop clear lines of accountability	<ul style="list-style-type: none"> <li>• Lines of accountability and responsibility are blurred in the current organization because:               <ul style="list-style-type: none"> <li>– INS lacks a clear principle of organization (clear focal point around which people and activities are aligned)</li> <li>– The decision making model—where and by whom decisions are made—varies, confusing accountability and producing inconsistent execution in the field</li> <li>– Activity placement exacerbates the accountability issue, with operational activities resident in program areas and vice versa</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Primary alignment of the new organization is clear with a split between service and enforcement operations</li> <li>• Clear chains of command and all operational decisions pushed down to the field</li> <li>• Activities rationalized at the local level—HQ focus is on policy and strategy, execution performed in the field</li> </ul>
2. Create customer-oriented service capabilities	<ul style="list-style-type: none"> <li>• Regions and Districts have been allowed to develop their own operating models, creating a different look and feel to INS Immigrant Services across geographies</li> <li>• Allocation of resources does not appear to map to demand, but rather to be driven by the existing district/sector structure</li> </ul>	<ul style="list-style-type: none"> <li>• Promote consistent service levels and “look and feel” across geographies               <ul style="list-style-type: none"> <li>– Remote service structure permits level loading across worksites</li> <li>– Creation of standard field office templates facilitates a consistent “look and feel”</li> </ul> </li> <li>• The current region and district structure is replaced by service areas and enforcement areas that can focus on local community needs</li> </ul>
3. Build professional capabilities in law enforcement and services	<ul style="list-style-type: none"> <li>• The current structure has created operations silos to effectively manage difficult populations or activities</li> <li>• Management boundaries are simultaneously too big and too small – regions are too big to be effective, and some districts are too small to permit coordinated efforts</li> <li>• No clear career progression models exist, producing inconsistent knowledge, skills, and abilities throughout the organization</li> </ul>	<ul style="list-style-type: none"> <li>• Immigrant Services includes all benefits provision activities, including asylum</li> <li>• Structure promotes an integrated approach to border management and overall INS enforcement</li> <li>• Value added management levels—unnecessary layers eliminated</li> <li>• Clear career model and progression for INS employees</li> <li>• Separation of Immigrant Services from enforcement will allow each to focus on the unique management knowledge, skills, and abilities required to carry out these distinct functions</li> </ul>
4. Fulfill the singular INS mission: to uphold the immigration laws of United States as intended by Congress	<ul style="list-style-type: none"> <li>• Integrative mechanisms (i.e., means of integration between service and enforcement) are informal and not institutionalized, producing ineffective and inconsistent execution of the mission</li> </ul>	<ul style="list-style-type: none"> <li>• Consistent interpretation of immigration laws as required by INS’s singular mission</li> <li>• Integration will be accomplished at all levels of the organization through policy, process and technology, e.g.,               <ul style="list-style-type: none"> <li>– Shared records</li> <li>– Fraud detection and prevention</li> <li>– Training</li> </ul> </li> </ul>

Figure 11: Benefits of the New Organization

#### 4. IMPLEMENTATION AND NEXT STEPS

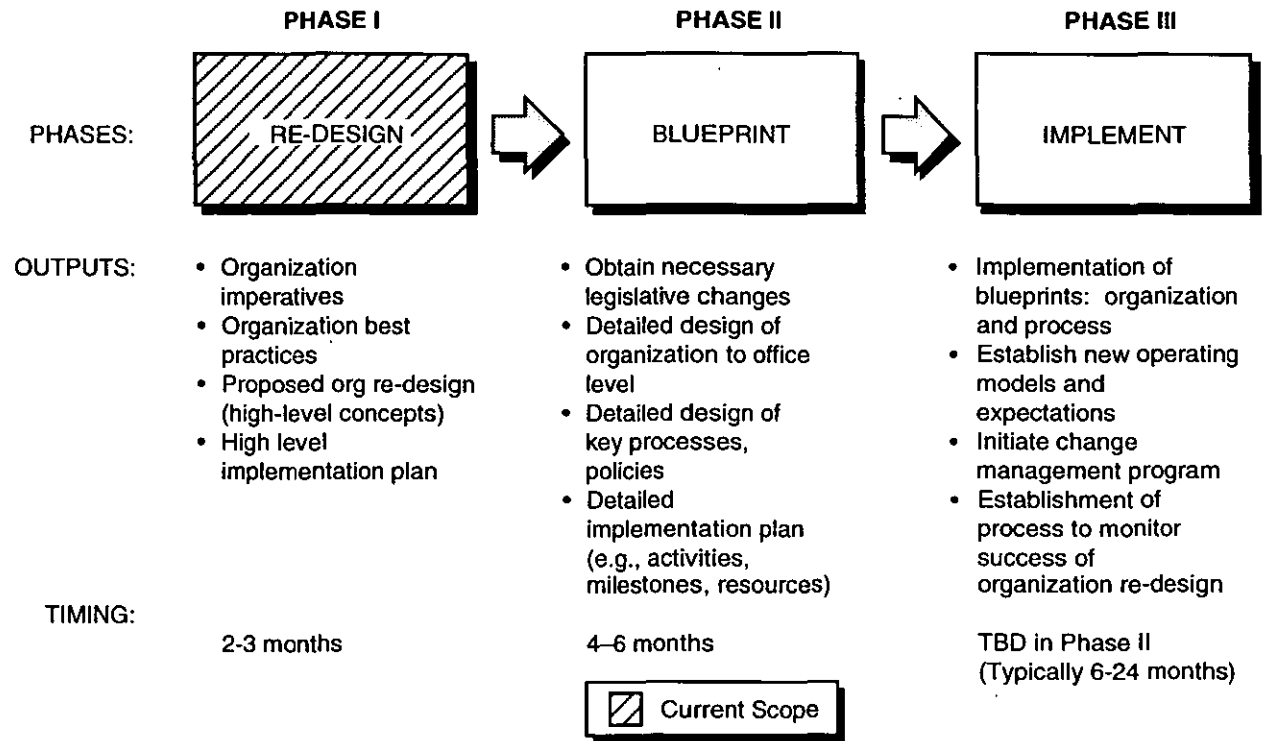
While this document has focused on proposing a new organization structure for the INS, structure is only one of six key components of any successful transformation program. For example, the current INS budget account structure is complex with thousands of sub-accounts. This complexity may result in less than optimal allocation of resources. The budget account structure should be simplified to visibly reflect budget priorities defined by Congress, reinforce accountability in the organization and permit flexibility to meet changing demands in the field. Figure 12 shows the key components of a successful transformation program.



**Figure 12: Key Components of Organization Transformation**

The INS is committed to move forward with its organization transformation. Typically these massive change programs take several years to successfully complete. This document outlines the vision for how the agency will operate within its new structure. Creating the vision is the first phase in the change process. The next phase, blueprinting, will require additional analysis to detail to how the organization will look and operate. Figure 13 shows the three phases of organization re-design and implementation:

### ORGANIZATION RE-DESIGN AND IMPLEMENTATION



FSCH993-002-066F

**Figure 13: Phased Approach to Implementation**

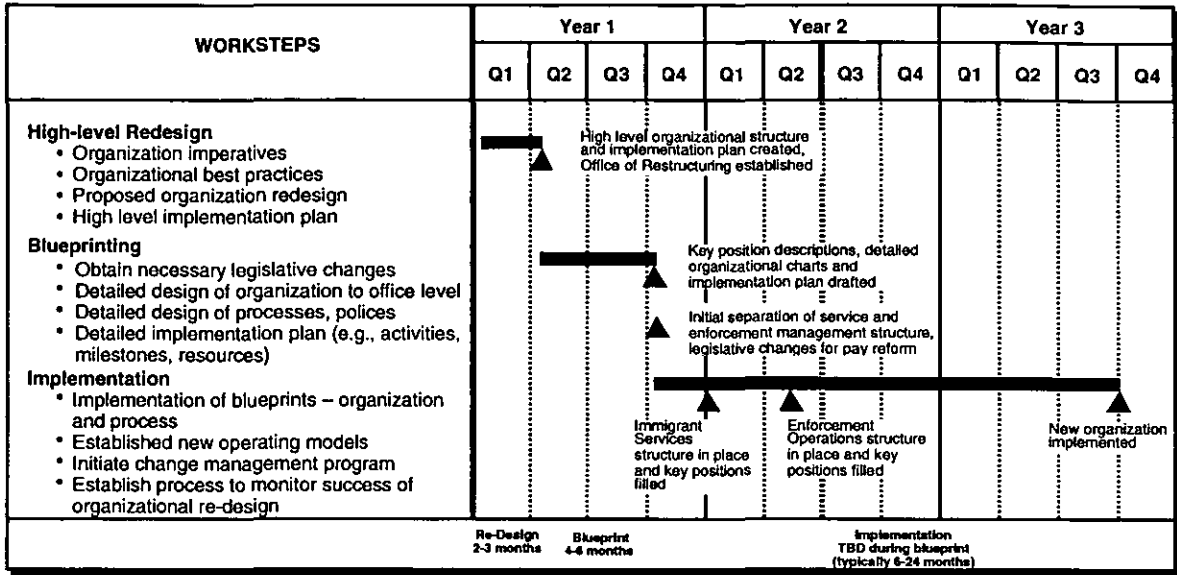
Immigrant Services changes should be implemented first. In the near term, however, detailed transformation plans (“blueprints”) should be developed for both Immigrant Services and Enforcement Operations at the same time. Once Immigrant Services is running effectively, INS can then turn to transforming its enforcement capabilities. This will ensure that immigration enforcement continues with minimal disruption while Immigrant Services is put in place.



Figure 14 presents a preliminary high level implementation plan:

**DRAFT**

**HIGH-LEVEL ORGANIZATION RE-DESIGN IMPLEMENTATION PLAN**



▲ Key Deliverables

FSCH993-002-077F

Note: Additional detail will be added to this implementation plan during March and April

**Figure 14: High Level Implementation Plan**

The organization structure outlined in this document represents a radical departure from how the agency is structured today. While the INS must move forward rapidly to implement change and demonstrate progress to its critics, it must maintain some degree of stability to permit work to get done on a daily basis. Key to the success of this transformation is the buy-in and support of dedicated professionals in the field. Every effort must be made to retain employees who share the vision for a new INS while working to fundamentally change the way the agency does business. The INS will attempt to minimize disruption to staff and provide challenging opportunities in the new organization.

11  
lunni f - structural  
return

**Agenda/Decision Items**  
**INS Restructuring Meeting with Commissioner Meissner**

**Organizational Structure/Booz Report**

- Placement of Shared Service Organization
- Creation of Enforcement Officer Corps

cont. of app-als

**Appropriations Committee Report -- April 1, 1998**

- Letter to AG/Commissioner
- Administration Report

cover letter - process - 3 pp.  
Admin report  
Exec sum  
side-by-side

**Rollout Options**

- Joint Presentation (DPC, OMB, DOJ, INS)
- Schedule of Authorization Hearing on March 31, 1998
- Timing of Reprogramming Notice to Appropriators

cover letter - process  
exec sum - red line  
side-by-side - attachment  
Booz/Me report - all 8  
attachment

## Talking Points/Background:

### Organizational Structure/Booz Report

#### Placement of Shared Service Organization

- Booz Report places administrative support functions at the same level as the Enforcement and Service mission functions. The rationale is that this is a "well established practice in a number of leading Fortune 500 companies" and that shared services provides the "glue" that links INS operations across divisions and geographies.
- There is no disagreement on the importance of the shared service function. Our rationale for placement as a staff function to the Commissioner is to portray enforcement and service as the preeminent operational components of a restructured INS (similar to two deputy commissioners).
- The Commissioner is "hard over" on this issue according to AAG Colgate who attempted to explain our position to her last week. Colgate also indicated in confidence that the AG would not "fall on her sword" over this issue.
- How hard do we want to push this issue given the Commissioner's stated preference to the administrative support function presentation in the Booz report?

#### Creation of Enforcement Officer Corps

- The CIR and draft Booz report recommend the merging of enforcement functions within one uniform service. The revised Booz report shows enforcement "stovepipes" (Border Patrol, Inspections, Detention) with no merger of these activities or job classifications. What is the reason for this significant revision?

### Appropriations Committee Report -- April 1, 1998

FY 1998 CJS Appropriations report language directs the AG to report to the committee on the DOJ review of the CIR report. How does the Administration/White House want to present its review and restructuring effort?

#### Letter to AG/Commissioner

- Letter sent to the AG from DPC, OMB or both outlining the DPC review process and the restructuring strawman which was the result. This letter would lay out the Administration's principles (e.g., one agency, separation of function from field to headquarters, etc). The Booz report would constitute DOJ/INS response to the DPC principles. The report to the appropriators would be an DOJ/INS product.

#### Administration Report

- Rather than a two-phased approach above, in this option the DPC findings and strawman are consolidated with the Booz report into an Administration report on INS restructuring which is presented to the Congress.

## Rollout Options

### Joint Presentation (DPC, OMB, DOJ, INS)

- What level or representation and type of presentation does the Administration/DOJ/INS believe will maximize the INS restructuring proposal:
  - White House/OMB attendance with the AG and Commissioner

### Schedule of Authorization Hearing on March 31, 1998

- Should the Administration attempt to get an authorization hearing on the INS restructuring proposal following the Appropriations Committee hearing in the a.m.?

### Timing of Reprogramming Notice to Appropriators

- Should DOJ/INS have a reprogramming notification prepared to submit to Congress on or soon after the April 1 report deadline?

The Honorable Harold Rogers  
Chairman  
Subcommittee on Commerce, Justice, State,  
and the Judiciary  
Committee on Appropriations  
U.S. House of Representatives  
Washington, D.C. 20515

Dear Mr. Chairman:

For the last several years, the Administration and Congress have shared the goal of significantly strengthening the Nation's immigration system. While the Immigration and Naturalization Service (INS) has made important progress, the Administration recognizes that the recent changes in the breadth and scope of the agency's mission require a rethinking of its structure.

In its report accompanying P.L. 105-119, the House Appropriations Committee directed the Attorney General to review the recommendations of the Commission on Immigration Reform (CIR) and develop a plan that would result in greater effectiveness and efficiency in the performance of the core functions of the Federal immigration system. The President, also responding to the CIR report, asked the Domestic Policy Council (DPC) to "evaluate carefully the [CIR] proposal and other reform options designed to improve the executive branch's administration of the Nation's immigration laws." In conducting this review, the DPC, working closely with the Office of Management and Budget, consulted with the Departments of Justice, Labor, and State, the INS, staff of the CIR, immigration experts and advocacy groups, and other White House offices, including the National Security Council.

The Administration review concluded that the CIR report correctly diagnosed many of INS' longstanding problems -- insufficient accountability between field offices and headquarters, competing priorities within field offices, lack of consistency, a need for greater professionalism, overlapping organizational relationships, and significant management weaknesses. These problems have hampered the ability of the INS to more effectively pursue the principal tasks that Congress and the Administration expect the INS to perform: effective enforcement of our immigration laws both at our borders and in the interior and the efficient provision of immigration and citizenship services. Improving the ability of the INS to pursue these critical priorities must be the guiding principle of any reform plan.

After careful consideration and study, we have concluded that the most effective way to adhere to this guiding principle is to implement dramatic and fundamental reforms *within* the INS. The Administration's reform plan will untangle the INS' overlapping and confusing organizational structure and replace it with two clear organizational chains of command -- one to accomplish its enforcement mission and the other to provide immigration-related services. By retaining both of these functions within a single agency, the Administration's reform plan will ensure that both the enforcement and service operations are appropriately coordinated and supported by headquarters. The Administration's reform plan will strengthen accountability and improve efficiency and effectiveness by allowing each of the two chains of command to focus on its unique requirements.

The key features of the Administration's plan are to:

- Effect an operational split between enforcement and services, resulting in two distinct, clear lines of authority from the field to headquarters, with an INS Commissioner continuing to be responsible for overall agency operations.
- Eliminate the current field structure in which district offices serve both enforcement and service functions, and replace it with separate enforcement and service offices that bring the right mix of staff and skills to local service caseloads and enforcement needs.
- Improve the quality of the workforce by creating separate enforcement and service career paths for INS employees, so that the best employees can move up the ladder and be rewarded for high performance.
- Restructure management operations to ensure an effective "shared support" operation (e.g., records and data management, technological support, employee relations, and administrative support) that will serve both the enforcement and the service sides of the agency.
- Establish a Chief Financial Officer to improve financial, accounting, and budget execution systems.

In addition to implementing the restructuring plan noted above, the Administration will continue its efforts to identify and take appropriate remedial action to eliminate any remaining areas of duplication or inadequate coordination between the INS and the Departments of Labor and State.

During its review, the Administration carefully evaluated the CIR recommendations. The CIR concluded that the INS' dual responsibility of welcoming legal immigrants and deterring illegal immigration has resulted in "mission overload." To address this issue, the CIR recommended disbanding the INS and reallocating its primary responsibilities to the Departments of Justice, State and Labor. We believe those recommendations would only compound the current problems with the Nation's immigration system.

First and most important, this reallocation would hinder the coordination and communication necessary to maintain the integrity and efficiency of both immigration enforcement and immigration service operations. To be most effective, all immigration policy and management should remain within one agency at the Justice Department. Second, such a substantial reallocation of authority could require a lengthy transition, exacerbating existing concerns about long delays in immigration activities.

The Administration's plan is a fundamental change in the way the INS conducts business. The restructuring -- from top to bottom -- will address long-standing concerns about lines of authority and responsibility, consistency of policies and procedures, and performance within the INS. It will result in improved enforcement coordination, career paths that support greater professionalism, and measurable changes in the way INS provides services to the immigration community. Most important, it will greatly improve the ability of the INS to effectively and efficiently perform its duties. We look forward to working with you and other members of Congress to implement this restructuring plan and to ensure successful, long-term improvements in the Nation's immigration system.

Sincerely,

Franklin D. Raines  
Director  
Office of Management and Budget

Bruce N. Reed  
Assistant to the President for Domestic Policy

Janet Reno  
Attorney General

Enclosures

Identical Letters Sent To:

The Honorable Spencer Abraham  
The Honorable Judd Gregg  
The Honorable Ernest Hollings  
The Honorable Edward Kennedy  
The Honorable Alan Mollohan  
The Honorable Lamar Smith  
The Honorable Melvin Watt



## **A FRAMEWORK FOR CHANGE: The Immigration and Naturalization Service**

### **Background**

America has always been a nation of immigrants, and this Administration is proud of the significant progress we have made toward improving this Nation's immigration system. Over the last five years, the INS has worked hard to curtail illegal immigration through tougher border control, reform of a badly abused asylum system, and the removal of record numbers of criminal and other illegal aliens. The agency has also worked to redesign and strengthen the naturalization process. While the INS has made important progress, the Administration recognizes that the recent changes in the breath and scope of the agency's mission require a rethinking of its structure.

In its final report to Congress last fall, the Commission on Immigration Reform (CIR) called for significant reform to our Nation's immigration system. The major thrust of the CIR's proposed reform would move many immigration functions to the Department of State and Labor and would consolidate all immigration enforcement into a new Federal law enforcement agency within the Department of Justice.

In response to the CIR's recommendations, the President asked the Domestic Policy Council (DPC) to "evaluate carefully the [CIR] proposal and other reform options designed to improve the executive branch's administration of the Nation's immigration laws." In conducting this review, the DPC, working closely with the Office of Management and Budget, consulted with the Departments of Justice, Labor, and State, CIR staff, immigration experts and advocacy groups, and other White House offices, including the National Security Council. This review examined organizational and restructuring options including those formulated by the CIR and members of Congress. From this effort, the Administration established a new framework for reform, and the Justice Department contracted with a management consulting firm to provide an independent assessment of structural options and assisted in making the Administration's framework "operational."

### **The Administration's Framework for Change**

The DPC review process concluded that the CIR report correctly diagnosed many of INS' longstanding problems -- insufficient accountability between field offices and headquarters, lack of consistency, need for greater professionalism, overlapping organizational relationships, and significant management weaknesses. These problems have hampered the INS' ability to effectively enforce our immigration laws both at our borders and in the interior, and efficiently provide immigration and citizenship services. Improving the ability of the INS to pursue these critical priorities must be the goal of any reform plan.

After careful consideration and study, the Administration concluded that the most effective way to achieve this goal is to implement dramatic and fundamental reforms *within* the INS. The Administration's reform plan untangles INS' overlapping and frequently confusing organizational structure and replaces it with two clear organizational chains of command -- one for accomplishing its enforcement mission and one for providing services. Each operation would be headed by an Executive Associate Commissioner (EAC) who would report directly to the Commissioner through the Deputy Commissioner.

The plan will eliminate the current field structure in which regional district offices serve both enforcement and service functions and replaces it with separate enforcement and service offices that bring the right mix of staff and skills to local service caseload and enforcement needs. The result will be an INS organization with strengthened accountability and improved efficiency and effectiveness. The plan allows each operation to focus on its unique management, knowledge, skills, and abilities, while also retaining the essential integration functions for coordinating these operations.

#### **Improved Customer-Oriented Services**

- **Creates new local service offices.** The new immigration services operation would locate new service offices in immigrant communities around the country. These offices would focus on providing efficient and effective service, while maintaining the integrity of application processing. The offices would provide a range of services including: providing information to applicants, taking fingerprints and photographs, testing, and interviewing. Depending on community needs, some offices would be configured as full-service centers and others could serve as satellite locations to perform specific functions. These new service facilities would have a standard "look and feel" with clear signs, comfortable waiting rooms, evening and weekend hours, and other customer-friendly features.
- **Establishes accountability and clear lines of authority.** The heads of the local service offices would report to an Area Service Director. The Area Service Director would report directly to the Executive Associate Commissioner for Immigration Services. Area Service Directors would have the flexibility to move case processing responsibilities among offices within their area to maximize efficiency.
- **Establishes clear standards for customer service.** They would be held accountable for meeting a nationally-established standard for timely processing and courteous service at all locations throughout the area.

- **Offers high-tech answers.** This new framework provides high-tech ways for people to receive better service through remote service centers. As part of this restructuring effort, INS will re-examine the capabilities of the four service centers that handle the automated, bulk processing workload of the current district offices. These centers currently take applications, create electronic records of them, and conduct the pre-processing necessary before the examination is administered. Under the new structure, more work would be shifted to the service centers, thus allowing local offices to focus on core activities which require interaction with customers. In addition, the capabilities of the centralized phone centers which will provide information to applicants and the public will also be examined.

### **A Strengthened and Integrated Enforcement Operation**

- **Establishing a single, coordinated enforcement function.** The plan creates an operational chain of command dedicated solely to immigration enforcement, focuses comprehensively on illegal immigration problems at the border, and establishes better linkages with interior enforcement through a single point of accountability for performance. This approach would strengthen professionalism and improve results. This structure also would ensure priorities are shared and allow close coordination of day-to-day operations among each enforcement discipline.
- **Integrating enforcement and strengthening accountability.** The new enforcement operations areas would combine all functions related to the enforcement of immigration laws. Each enforcement area would be organized according to four functions, and led by a single director. The Area Enforcement Director would report directly to the Executive Associate Commissioner for Enforcement.
- **Organizing enforcement areas by function.** The enforcement areas would be organized around four functional goals: managing the border; inspections and management at ports of entry; investigations and removals; and detention.
  - 1) **Border Patrol.** The Border Patrol would perform its current border management functions of deterring illegal immigration, apprehending illegal aliens, and working to dismantle smuggling rings.
  - 2) **Inspectors.** The plan recognizes the critical role the ports of entry play in INS' border management strategy by putting inspectors in the enforcement chain of command. This would give the ports a stronger role in the enforcement side of the agency and inspectors a direct reporting relationship to the Area Enforcement Director in order to address the increasing number of attempts of illegal entries into the United States.

3) Investigations and Removals. This plan would also bring investigators, intelligence officers, and deportation officers into one multi-disciplinary component to focus on removals and pursuing cases of fraud, smuggling, and illegal employment at the workplace. Offices in the field would be located in areas with the greatest demand for those functions-- similar to the traditional Special or Resident Agent-in-Charge (SAC/RAC) law enforcement model used by the FBI.

4) Detention and Enforcement Support. This framework would improve the logistical coordination of transporting criminal and illegal aliens and detaining them in long-term facilities by centralizing the current district office detention and transportation operations. Under the new framework, this component would be better able to manage open bed space at INS and contract facilities and improve and monitor conditions at these facilities.

### **Shared Support**

- **Providing the right tools.** The “shared support” operation (e.g., records and data management, technological support, employee relations, and administrative support) would serve as the administrative and technological backbone upon which both enforcement and service operations depend under the new framework. Under this new structural framework each side of the agency has the appropriate administrative and technological tools to do its jobs in the most efficient and cost-effective way. These would range from new computer software systems that are “user-friendly” for enforcement agents and service officers, to appropriate training to strengthen professionalism.
- **Improving accountability.** Under this restructuring plan the shared support function will be held accountable for meeting the needs of the enforcement and service operations in a timely and effective manner.
- **Managing essential records.** An important cohesive function of the shared support operation is the management of all of INS’ files and electronic databases. INS’ records are the foundation of its work -- whether in law enforcement or the provision of services to its customers. For example, the information contained in those records tells an INS deportation officer that an individual has overstayed his visa and the last address at which he might be found. It also tells an adjudicator whether a person has ever entered without inspection, therefore jeopardizing the alien’s eligibility to become a legal permanent resident.

### **New "Strategy" Office**

- **Setting priorities and assessing results.** The Administration's proposed structure includes the creation of a small, new "strategy" unit that would focus on setting priorities, long-range strategic planning, and policy development, as well as analyzing the effectiveness of their implementation. The unit would draw heavily on staff from headquarters and the field, as well as create subject area task forces to draw on the expertise of individuals accountable for each program.

### **New Chief Financial Officer Role**

- **Enhancing accountability and efficiency.** The new structure establishes a Chief Financial Officer to ensure effective allocation, control, and monitoring of the agency's finances. This would enhance accountability for managing the agency's resources and ensure that immigrant services and enforcement have clearly separated and defined resource streams.

### **Other Management Improvements**

INS recognizes that a fundamental restructuring is only one aspect of improving its ability to build a more effective organization. As part of its reform efforts, the agency also is planning management initiatives such as fundamentally redesigning outdated business processes and the creation of new training opportunities for employees.

### **Conclusion**

Preserving our country's tradition as a Nation of laws and a Nation of immigrants requires one agency with clearly defined operational lines of authority and accountability. This new structure will allow our Nation to better control its borders and provide improved service and benefits to the immigrant community. The Administration's plan is a bold initiative to strengthen the INS' capacity to accomplish this critical mission.

***Restructure and Reform of the Immigration and Naturalization Service  
Comparison of the Administration and Commission on Immigration Reform (CIR) Proposals***

<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
1. Immigration enforcement at the border and in the interior of the U.S. in a new Bureau for Immigration Enforcement at the Department of Justice.	Establishes an Executive Associate Commissioner (EAC) for Enforcement Operations with line responsibilities for all enforcement functions (Border Patrol, inspections, investigations, detention and intelligence) reporting directly to the INS Deputy Commissioner/ Commissioner. This functional split between enforcement and service operations extends from the field right through headquarters.	Consolidates border and interior enforcement within one entity but preserves integration/synergy between enforcement and service functions. Establishes clear lines of authority and divisions of responsibility between these two missions. Maintains a single immigration focal point within the Department of Justice (DOJ).
1a. Bureau Director appointed for a set term (5-years).	INS Commissioner remains a Presidential appointee with no set term.	Ensures agency-head has the confidence of the Attorney General and President.
1b. Bureau personnel should be upgraded to receive law enforcement pay and benefits commensurate with those of other DOJ law enforcement components.	<u>Agree.</u> The Administration is reviewing pay comparability options to ensure law enforcement officers, with similar duties, receive comparable pay and benefits.	Pay comparability options are being studied. Changes in pay and benefits will require legislation that may affect pay and benefits for other law enforcement agencies.
1c. Establish a Uniformed Service Enforcement Branch that merges INS Inspectors, Border Patrol and detention offices into one uniform service. Investigations/intelligence would constitute a "white-collar" division with this new bureau.	Organizationally consolidates all enforcement functions under an enforcement executive, but does not merge Border Patrol, inspections and detention officers into one job series. The unique performance requirements, training and mission needs for each job series makes a consolidation problematic at this time.	The Administration is studying options for instituting common entry level training and career paths for enforcement officers. Union representatives and affected employees will be fully involved in the further development of these proposals. Any proposal to merge job categories will require legislation and a phased implementation process.
1d. All uniformed officers (Border Patrol, inspections and detention) within a particular geographic area would be under the authority of a single integrated enforcement manager.	<u>Agree.</u> All functional enforcement operations (Border Patrol, inspections, investigations, detention and intelligence) will be consolidated into enforcement units under a single chain of command and report to a Director of Enforcement Operations (DEO), and EAC for Enforcement Operations.	The Administration's plan consolidates all law enforcement components under DEOs at a sub-headquarters level. This approach is similar to a traditional law enforcement organizational model.

<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
1e. Establish a "Removal Officer" position that integrates the functions of investigations and deportation.	<u>Agree.</u> Investigations and deportation officers will be merged into the same investigation and removal units under the DEO. The merits of merging the two occupational series is still under consideration.	Under the DEO, an investigations and removal branch will coordinate these functions at the sub-headquarters level with staff physically located at the local area. Close coordination, oversight and management will ensure optimum use of this staff to expedite the removal of illegal aliens.
1f. Field offices structured to address comprehensively the immigration enforcement challenges within that locality	<u>Agree.</u> INS' current district structure will be eliminated. The proposed enforcement field structure will retain Border Patrol model between ports, inspectors at ports-of-entry with detention and investigation coordinated at the local level and through an operational DEO at a sub-headquarters level.	Border Patrol will report to Border Patrol chiefs. Inspectors will report to port-of-entry directors. These enforcement officers, along with investigation and removal personnel will report to a DEO who coordinates enforcement activities within a geographic area and who reports to the EAC for Enforcement Operations. The result is a unambiguous enforcement chain of command with clear reporting relationships and a manageable span of control.
1g. Regional offices would be retained for administrative and management oversight of field office operations.	Regional offices will be restructured as operational rather than administrative. The total number of regional enforcement areas will be expanded from three to between six and 12 and report directly to the EAC for Enforcement Operations.	The operational span for each DEO has not been designated. The optimum span of control for DEO will require the establishment of six to 12 regional offices reporting to the EAC for Enforcement Operations.
2. Adjudication of eligibility for immigration-related applications (immigrant, limited duration admissions, asylum, refugee, and naturalization) in the Department of State under the jurisdiction of a new Undersecretary for Citizenship, Immigration, and Refugee Admissions.	Establishes an Executive Associate Commissioner for Immigrant Services consisting of all immigrant benefit and service functions reporting directly to the INS Deputy Commissioner/ Commissioner. This functional split between immigrant service and enforcement operations extends from the field right through headquarters.	Establishes a singular immigration service organization but preserves integration/synergy between enforcement and service functions. Establishes clear lines of authority and divisions of responsibility between these two missions. Maintains a single immigration focal point within the DOJ.
2a. Establish a Bureau of Immigration Affairs to manage the immigration process including domestic adjudication/examination (work authorization/adjustment of status) and employment verification.	Included within a restructured EAC for Immigration Services.	Immigration enforcement responsibilities are integral to the benefit review and adjudication process. Neither mission can be conducted effectively if separated. Both enforcement and service operations enforce the same law (Immigration and Nationality Act) and consistent outcomes -- both in enforcement and services -- require common processes, data collection and employee cross-training.

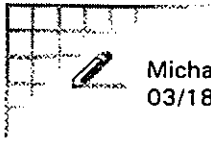
<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
2b. Establish a Bureau of Refugee Admissions and Asylum Affairs responsible for overseas refugee admissions and refugee and asylum functions conducted by the INS.	Included within a restructured EAC for Immigration Services.	Same as above. INS and State will initiate an operational review to minimize overlap and duplication within INS and State-run visa, refugee and asylum programs.
2c. Establish a Bureau of Citizenship and Passport Affairs responsible for naturalization and determinations of citizenship and passport issuance.	Included within a restructured EAC for Immigration Services.	The State Department is not equipped to conduct the service and enforcement processes required in the naturalization program. The naturalization redesign has addressed the concerns raised by the CIR while retaining this responsibility within the INS.
2d. Establish Quality Assurance Officers to oversee records management, procedure monitoring, fraud investigations and internal review.	<u>Agree.</u> INS has expanded its INSpect program to assist in internal review and audits. The EAC for Immigration Services will establish an office to monitor and ensure quality service, benefit processes, products and operations.	The naturalization redesign has established integrity quality assurance checks throughout the process. The redesign incorporates sweeping changes in processes, records management, data flow and retention, and customer service as measures of quality and integrity.
2e. Establish a field structure that uses existing INS Regional Service Centers and State's National Visa Center and create a local office structure that is separate from immigration enforcement offices.	<u>Agree.</u> The EAC for Immigration Services will rely heavily on direct mail to existing INS service centers. Local service offices will move from the current district office configuration to a community-based operation modeled on immigrant population density data. Service offices will no longer be collocated with enforcement operations.	The naturalization redesign study has recommended direct-mail to service centers for benefit processing and INS is implementing these recommendations. Beginning April 15 all naturalization processing will be direct-mail and phased implementation of direct mail processing for all other benefit applications in planned for completion over the next two years.
3. Enforcement of immigration-related employment standards be consolidated in the Department of Labor.	Enforcement of immigration-related labor and employment standards will be shared between the Department of Labor (DOL) and INS.	Both INS and DOL have enforcement responsibilities in this area. Under the auspices of the Domestic Policy Council (DPC), DOJ will delegate additional authorities to DOL. DOL and INS will develop an MOU that will ensure both agencies can meet their program mission requirements effectively.
3a. All worksite investigations to ascertain employers' compliance with employment eligibility verification requirements should be conducted by the Department of Labor.	The authority to verify compliance and sanction employers for violations of employment eligibility will be shared between INS and the DOL. The DOJ will delegate employer sanctions authority to the DOL to assist in employer compliance efforts.	The DPC-lead effort will ensure sufficient delegation of authority to DOL so employer verification and sanctions tools that support DOL's mission are available. INS will also strengthen its enforcement efforts in this area.



<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
<p>4. Administrative review of all immigration related decisions should be consolidated and considered by a newly-created independent agency, the Agency for Immigration Review.</p>	<p>Maintains the current review and appeals mechanism at this time.</p>	<p>The Administration is studying options to consolidate some review and appeals functions currently in the INS and DOL into the Executive Office of Immigration Review under the Attorney General.</p>
<p>4a. Organization headed by a Presidentially appointed Director with no say in the substantive decisions reached on cases considered by any division or component of the agency.</p>	<p>Maintains the existing Department-head appeal process/final decision as appropriate.</p>	<p>Placement of the adjudication process within a Department provide an additional administrative appeal mechanism which is lost if adjudication is conducted by a separate, independent agency.</p>
<p>5. The Commission urges the federal government to make needed reforms to improve management of the immigration system.</p>	<p><u>Agree.</u> Significant management improvements have been accomplished at INS over the past five years. This restructuring plan addresses a number of management and process weaknesses that remain within INS.</p>	<p>INS has accomplished major management, system and process improvements in the face of a highly visible and growing mandate, large increases in resources and staffing, and unceasing, historic demands for immigrant services.</p>
<p>5a. Set more manageable and fully-funded priorities (realistically-achievable short and long-term goals and greater numerical specificity on expected annual outcomes to which agencies should be accountable).</p>	<p><u>Agree.</u> The INS has developed strategic performance plans and measures in both enforcement and service operations. We believe that these plans and measures are manageable and will accurately capture agency performance. As measures are refined, annual outcomes can help judge performance and highlight strengths and weakness that require management attention.</p>	<p>INS' FY 1999 Budget justification provides measurable performance goals in enforcement and service operations. These goals are being refined and expanded as additional information and data becomes available. The goal is result-oriented performance measures that allow management to judge performance in the aggregate and provide line-managers with the data necessary to do their job effectively.</p>
<p>5b. More fully develop the capacity for policy development, planning, monitoring and evaluation. Domestic Policy Council responsible for overseeing federal immigration policy development.</p>	<p><u>Agree.</u> The Administration plan will consolidate long-term immigration planning within its strategic planning office reporting to the Commissioner. This group will coordinate agency-wide policy development.</p>	<p>The DPC has established a policy-level group that includes immigration-related agencies and Executive Office of the President staff. This group looks at short and long-term immigration policy issues and concerns and coordinates the development of the Administration's position on immigration matters.</p>

<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
5c. Improve systems of accountability and measures of performance.	<u>Agree.</u> The key feature of this restructuring plan is to build clear lines of responsibility and accountability within the INS. Much of the work INS performs requires close coordination between enforcement and services. Under this restructuring coordination is maintained while reporting relationship remain clear so that policy can be developed, coordinated and applied consistently.	The restructuring will ensure that line managers have the necessary tools to do the job effectively and performance can be measured. Current confusing and overlapping organizational relationships will be eliminated and replaced with clear lines of command in enforcement, services and within the administrative support functions -- vital to INS' operational effectiveness.
5d. Improve the recruiting and training of managers. Expand the ranks of skilled and properly trained supervisors and managers.	<u>Agree.</u> INS has consolidated its recruitment effort to ensure consistency and quality and has emphasized the importance of basic, advanced and management training. Training is a core element of the Commissioner's professionalism initiative and performance in meeting training goals is measured by INS and DOJ. INS has sought to infuse new skills and thinking by hiring from both public and private sectors.	Consolidated and consistent recruiting has been achieved by establishing a central operation in Minneapolis, MN. for hiring. Similarly, INS has established a management training facility in Dallas, TX., and equipped the Border Patrol training facility in Charleston, S.C. In concert with the establishment of these facilities is the creation of advanced and management training modules for enforcement, service and professional staff.
5e. Strengthen the customer service orientation. Establish a separate career track for benefit and service operation employees.	<u>Agree.</u> The CIR noted that the lack of a clear career path for enforcement and service personnel often means INS often losses its best employees. This restructuring will establish career paths for enforcement and service personnel.	INS has undertaken a number of steps to improve the information its shares with its customers as a way to improve quality. As example: port-of-entry inspectors have developed informational packets to facilitate border crossing, and the naturalization redesign makes timely and accurate information dissemination to the immigration population a top priority.
5f. Use fees for immigration services for effectively. Fees should reflect true costs, cover the costs of services provided, result in timely and courteous service and provide flexibility in their use to meet changing service requirements and demands.	<u>Agree.</u> The naturalization redesign, which will be broadened to all benefit processes, combined with this restructuring should address the concerns raised by the CIR. INS completed a activity-based-costing (ABC) review of its benefit fee structure which has resulted in a proposed fee increase that accurately estimates the cost of providing benefits.	INS will conduct a "base" funding examination of its fee structure in FY 1998 to ensure benefit and service fee receipts support service-related operations. This review and the ABC review should help assure the immigrant community that fees reflect true costs and that they support fee services. The establishment of a Chief Financial Officer within INS, combining budget and financial operations, will also strengthen its ability to manage appropriated and fee-receipt funds.

Immig - structural  
reform



Michael Deich  
03/18/98 04:08:16 PM

Record Type: Record

To: Elena Kagan/OPD/EOP

cc: Leanne A. Shimabukuro/OPD/EOP, Peter G. Jacoby/WHO/EOP, Steven M. Mertens/OMB/EOP, Julie A. Fernandes/OPD/EOP

Subject: Re: INS Reform Rollout

INS seems to think that they are respected by the public, and that a great wellspring of support for INS lies waiting to be tapped. Myself, I vote w/Peter -- we win the restructuring battle only if we stay low-key and provide an opportunity for the R's to take up our proposal and somehow make it their own (or at least accept our proposal as a nonpartisan, good = government management idea). If INS stirs up the media and promotes press stories that play up the 'us versus them' aspect of the restructuring debate (did CIR or the Administration win?), I think we will lose big time. Someone should ask the AG to talk w/Meissner and tell her to follow the lead of the WH on communications/legislative strategies.

**Questions & Answers on INS Reform  
March 19, 1998**

**Q: What is the Administration's plan for reforming the INS?**

A: The Administration's plan will make federal immigration activities more effective by separating enforcement and service operations within INS -- from headquarters to the field -- while preserving the necessary integrating functions for supporting and coordinating both operations. The key features of the Administration's plan are:

- **Effect an operational split between enforcement and services**, resulting in two distinct, clear lines of authority from the field to headquarters, with an INS Commissioner continuing to be responsible for overall agency operations;
- **Eliminate the current "district" field structure, and replace it with a functional and geography-based organization** that allows for the creation of service offices in areas convenient to their immigrant "customers" and the creation of enforcement offices focused at border areas, ports of entry and significant interior locations;
- **Restructure management operations to ensure an effective "shared support" operation** (e.g., records and data management, technological support, employee relations, and administrative support) that will serve both the enforcement and the service sides of the agency.

The result will be an INS organization with strengthened accountability and improved efficiency and effectiveness that allows each operation to focus on its own function.

**Q: Everyone agrees that the INS has substantial problems. Why, then, did the Administration reject the CIR recommendation to dismantle the agency?**

A: We believe that the CIR recommendation to disband the INS and reallocate its primary responsibilities to the Department of Justice (DOJ) and the Departments of State and Labor would only compound the current problems of the nation's immigration system.

First, such a substantial reallocation of authority could require a six- or seven-year transition, exacerbating existing concerns about long delays in immigration activities. Second and even more important, this reallocation would hinder the coordination and communication necessary to maintain the integrity and efficiency of both immigration enforcement and immigration service operations. To be most effective, all immigration policy and management should remain within one agency at the Justice Department.

**Q: How will this reorganization address the frequent complaints about inefficiency and delay at the INS?**

A: The Administration's reform plan will untangle the INS's overlapping and frequently confusing organizational structure and replace it with two clear organizational chains of command -- one to accomplish its enforcement mission and the other to provide immigration-related services.

This separation will result in an INS organization with better accountability and improved efficiency that allows each operation to focus on its own function, and develop the knowledge, skills, and tools necessary to do so. For example, Service Area Directors would have the flexibility to move case processing responsibilities among offices within their area to maximize efficiency. In addition, Service Area Directors would be held accountable for meeting a nationally-established standard for timely processing and courteous service at all of the locations throughout the area's jurisdiction.

**Q: How will your plan affect the Border Patrol?**

A: The Border Patrol will perform its current border management functions, including facilitating legal traffic across our Nation's borders and enforcing the laws against illegal entry. However, because the Administration's plan creates an operational chain of command dedicated to immigration enforcement, the Border Patrol will be able to better coordinate its activities with other enforcement offices, including inspections, detention, and removal officers. This will allow a comprehensive focus on illegal immigration problems and create a single point of accountability for performance.

**Q: Did the Administration consider Congressman Reyes's proposal to pull enforcement operations out of INS into Main Justice?**

A: Consistent with Congressman Reyes's recommendation, our plan consolidates all enforcement operations to create a single point of responsibility and accountability. However, because of the variety of ways in which service officials depend on data collected by enforcement officers, and vice versa -- as when, for example, a service officer discovers that a person has overstayed their visa and become an illegal alien -- we decided that both operations would work best when housed within a single entity. This approach will ensure the integrity and effectiveness of both functions.

**Q: Is this proposal any more than just another shuffling of the boxes on an organizational chart?**

A: The Administration's plan is a fundamental change in the way the INS conducts business: this restructuring involves a total overhaul of both enforcement and service operations. One of the most dramatic features of this plan is the replacement of the district field structure with separate Enforcement and Service Areas. This clear delineation of functions will address long-standing concerns about lines of authority and responsibility,

consistency of operations, and performance within the INS. It will result in improved enforcement coordination and measurable changes in the way INS provides services to the immigration community.

*Immigration -  
structural reform*

THE WHITE HOUSE  
WASHINGTON

March 30, 1998

The Honorable Harold Rogers  
Chairman  
Subcommittee on Commerce, Justice, State,  
and the Judiciary  
Committee on Appropriations  
U.S. House of Representatives  
Washington, D.C. 20515

cc: DO Official  
DO Chron  
Reed (DPC)  
Kagan (DPC)  
Fernandes (DPC)  
Damus  
Kieffer  
Deich  
Schwartz  
Haun  
Mertens  
GG/Official  
GG/Chron  
3/30/98

Dear Mr. Chairman:

For the last several years, the Administration and Congress have shared the goal of significantly strengthening the Nation's immigration system. While the Immigration and Naturalization Service (INS) has made important progress, the Administration recognizes that the recent changes in the breadth and scope of the agency's mission require a rethinking of its structure.

In its report accompanying P.L. 105-119, the House Appropriations Committee directed the Attorney General to review the recommendations of the Commission on Immigration Reform (CIR) and develop a plan that would result in greater effectiveness and efficiency in the performance of the core functions of the Federal immigration system. The President, also responding to the CIR report, asked the Domestic Policy Council (DPC) to "evaluate carefully the [CIR] proposal and other reform options designed to improve the executive branch's administration of the Nation's immigration laws." In conducting this review, the DPC, working closely with the Office of Management and Budget, consulted with the Departments of Justice, Labor, and State, the INS, staff of the CIR, immigration experts and advocacy groups, and other White House offices, including the National Security Council.

The Administration review concluded that the CIR report correctly diagnosed many of INS' longstanding problems -- insufficient accountability between field offices and headquarters, competing priorities within field offices, lack of consistency, a need for greater professionalism, overlapping organizational relationships, and significant management weaknesses. These problems have hampered the ability of the INS to more effectively pursue the principal tasks that Congress and the Administration expect the INS to perform: effective enforcement of our immigration laws both at our borders and in the interior and the efficient provision of immigration and citizenship services. Improving the ability of the INS to pursue these critical priorities must be the guiding principle of any reform plan.

After careful consideration and study, we have concluded that the most effective way to adhere to this guiding principle is to implement dramatic and fundamental reforms *within* the INS. The Administration's reform plan will untangle the INS' overlapping and confusing organizational structure and replace it with two clear organizational chains of command -- one to accomplish its enforcement mission and the other to provide immigration-related services. By retaining both of these functions within a single agency, the Administration's reform plan will ensure that both the enforcement and service operations are appropriately coordinated and supported by headquarters. The Administration's reform plan will strengthen accountability and improve efficiency and effectiveness by allowing each of the two chains of command to focus on its unique requirements.

The key features of the Administration's plan are to:

- Effect an operational split between enforcement and services, resulting in two distinct, clear lines of authority from the field to headquarters, with an INS Commissioner continuing to be responsible for overall agency operations.
- Eliminate the current field structure in which district offices serve both enforcement and service functions, and replace it with separate enforcement and service offices that bring the right mix of staff and skills to local service caseloads and enforcement needs.
- Improve the quality of the workforce by creating separate enforcement and service career paths for INS employees, so that the best employees can move up the ladder and be rewarded for high performance.
- Restructure management operations to ensure an effective "shared support" operation (e.g., records and data management, technological support, employee relations, and administrative support) that will serve both the enforcement and the service sides of the agency.
- Establish a Chief Financial Officer to improve financial, accounting, and budget execution systems.

In addition to implementing the restructuring plan noted above, the Administration will continue its efforts to identify and take appropriate remedial action to eliminate any remaining areas of duplication or inadequate coordination between the INS and the Departments of Labor and State.

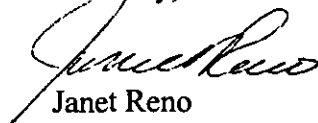


During its review, the Administration carefully evaluated the CIR recommendations. The CIR concluded that the INS' dual responsibility of welcoming legal immigrants and deterring illegal immigration has resulted in "mission overload." To address this issue, the CIR recommended disbanding the INS and reallocating its primary responsibilities to the Departments of Justice, State and Labor. We believe those recommendations would only compound the current problems with the Nation's immigration system.

First and most important, this reallocation would hinder the coordination and communication necessary to maintain the integrity and efficiency of both immigration enforcement and immigration service operations. To be most effective, all immigration policy and management should remain within one agency at the Justice Department. Second, such a substantial reallocation of authority could require a lengthy transition, exacerbating existing concerns about long delays in immigration activities.

The Administration's plan is a fundamental change in the way the INS conducts business. The restructuring -- from top to bottom -- will address long-standing concerns about lines of authority and responsibility, consistency of policies and procedures, and performance within the INS. It will result in improved enforcement coordination, career paths that support greater professionalism, and measurable changes in the way INS provides services to the immigration community. Most important, it will greatly improve the ability of the INS to effectively and efficiently perform its duties. We look forward to working with you and other members of Congress to implement this restructuring plan and to ensure successful, long-term improvements in the Nation's immigration system.

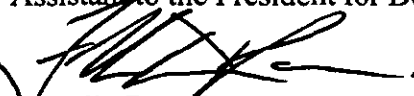
Sincerely,



Janet Reno  
Attorney General



Bruce N. Reed  
Assistant to the President for Domestic Policy



Franklin D. Raines  
Director  
Office of Management and Budget

Enclosures

**Identical Letters Sent To:**

**The Honorable Spencer Abraham  
The Honorable Judd Gregg  
The Honorable Ernest Hollings  
The Honorable Edward Kennedy  
The Honorable Alan Mollohan  
The Honorable Lamar Smith  
The Honorable Melvin Watt**

## **A FRAMEWORK FOR CHANGE: The Immigration and Naturalization Service**

### **Background**

America has always been a nation of immigrants, and this Administration is proud of the significant progress we have made toward improving this Nation's immigration system. Over the last five years, the INS has worked hard to curtail illegal immigration through tougher border control, reform of a badly abused asylum system, and removing record numbers of criminal and other illegal aliens. The agency has also worked to redesign and strengthen the naturalization process. While the INS has made important progress, the Administration recognizes that the recent changes in the breadth and scope of the agency's mission require a rethinking of its structure.

In its final report to Congress last fall, the Commission on Immigration Reform (CIR) called for significant reform to our Nation's immigration system. The major thrust of the CIR's proposed reform would move many immigration functions to the Department of State and Labor and would consolidate all immigration enforcement into a new Federal law enforcement agency within the Department of Justice.

In response to the CIR's recommendations, the President asked the Domestic Policy Council (DPC) to "evaluate carefully the [CIR] proposal and other reform options designed to improve the executive branch's administration of the Nation's immigration laws." In conducting this review, the DPC, working closely with the Office of Management and Budget, consulted with the Departments of Justice, Labor, and State, CIR staff, immigration experts and advocacy groups, and other White House offices, including the National Security Council. This review examined organizational and restructuring options including those formulated by the CIR and members of Congress. From this effort, the Administration established a new framework for reform, and the Justice Department contracted with a management consulting firm to provide an independent assessment of structural options and assist in making the Administration's framework "operational."

### **The Administration's Framework for Change**

The DPC review process concluded that the CIR report correctly diagnosed many of INS' longstanding problems -- insufficient accountability between field offices and headquarters, lack of consistency, need for greater professionalism, overlapping organizational relationships, and significant management weaknesses. These problems have hampered the INS' ability to effectively enforce our immigration laws both at our borders and in the interior, and efficiently provide immigration and citizenship services. Improving the ability of the INS to pursue these critical priorities must be the goal of any reform plan.

After careful consideration and study, the Administration concluded that the most effective way to achieve this goal is to implement dramatic and fundamental reforms *within* the INS. The Administration's reform plan untangles INS' overlapping and frequently confusing organizational structure and replaces it with two clear organizational chains of command -- one for accomplishing its enforcement mission and one for providing services. Each operation would be headed by an Executive Associate Commissioner (EAC) who would report directly to the Commissioner through the Deputy Commissioner.

The plan will eliminate the current field structure in which regional district offices serve both enforcement and service functions and will replace it with separate enforcement and service offices that bring the right mix of staff and skills to local service caseload and enforcement needs. The result will be an INS organization with strengthened accountability and improved efficiency and effectiveness. The plan will allow each operation to focus its unique knowledge, skills, and abilities, while also retaining the essential integration functions needed to coordinate these operations.

### **Improved Customer-Oriented Services**

- **Creates new local service offices.** The new immigration services operation would locate new service offices in immigrant communities around the country. These offices would focus on providing efficient and effective service, while maintaining the integrity of application processing. The offices would provide a range of services including: providing information to applicants, taking fingerprints and photographs, testing, and interviewing. Depending on community needs, some offices would be configured as full-service centers and others could serve as satellite locations to perform specific functions. These new service facilities would have a standard "look and feel" with clear signs, comfortable waiting rooms, evening and weekend hours, and other customer-friendly features.
- **Establishes accountability and clear lines of authority.** The heads of the local service offices would report to an Area Service Director. The Area Service Director would report directly to the Executive Associate Commissioner for Immigration Services. Area Service Directors would have the flexibility to move case processing responsibilities among offices within their area to maximize efficiency.
- **Establishes clear standards for customer service.** The Area Service Directors would be held accountable for meeting a nationally-established standard for timely processing and courteous service at all locations throughout the area.

- **Offers high-tech answers.** This new framework provides high-tech ways for people to receive better service through remote service centers. As part of this restructuring effort, INS will re-examine the capabilities of the four service centers that handle the automated, bulk processing workload of the current district offices. These centers currently take applications, create electronic records of them, and conduct the pre-processing necessary before an examination is administered. Under the new structure, more work would be shifted to the service centers, thus allowing local offices to focus on core activities which require interaction with customers. In addition, the capabilities of the centralized phone centers which will provide information to applicants and the public will also be examined.

### **A Strengthened and Integrated Enforcement Operation**

- **Establishing a single, coordinated enforcement function.** The plan creates an operational chain of command dedicated solely to immigration enforcement, focuses comprehensively on illegal immigration problems at the border, and establishes better linkages with interior enforcement through a single point of accountability for performance. This approach would strengthen professionalism and improve results. This structure also would ensure priorities are shared and allow close coordination of day-to-day operations among each enforcement discipline.
- **Integrating enforcement and strengthening accountability.** The new enforcement operations areas would combine all functions related to the enforcement of immigration laws. Each enforcement area would be organized according to four functions, and led by a single director. The Area Enforcement Director would report directly to the Executive Associate Commissioner for Enforcement.
- **Organizing enforcement areas by function.** The enforcement areas would be organized around four functional goals: managing the border; inspections and management at ports of entry; investigations and removals; and detention.
  - 1) **Border Patrol.** The Border Patrol would perform its current border management functions of deterring illegal immigration, apprehending illegal aliens, and working to dismantle smuggling rings.
  - 2) **Inspectors.** By putting inspectors in the enforcement chain of command, the plan recognizes the critical role that ports of entry play in INS' border management strategy. This would give the ports a stronger role in the enforcement side of the agency and inspectors a direct reporting relationship to the Area Enforcement Director.

3) Investigations and Removals. This plan would also bring investigators, intelligence officers, and deportation officers into one multi-disciplinary component to focus on removals and the pursuit of fraud, smuggling, and illegal employment at the workplace. Offices in the field would be located in areas with the greatest demand for those functions -- similar to the traditional Special or Resident Agent-in-Charge (SAC/RAC) law enforcement model used by the FBI.

4) Detention and Enforcement Support. This framework would improve the logistical coordination of transporting criminal and illegal aliens and detaining them in long-term facilities by centralizing the current district office detention and transportation operations. Under the new framework, this component would be better able to manage open bed space at INS and contract facilities and improve and monitor conditions at these facilities.

### Shared Support

- **Providing the right tools.** The “shared support” operation (e.g., records and data management, technological support, employee relations, and administrative support) would serve as the administrative and technological backbone upon which both enforcement and service operations depend under the new framework. Under this new structural framework each side of the agency has the appropriate administrative and technological tools to do its jobs in the most efficient and cost-effective way. These would range from new computer software systems that are “user-friendly” for enforcement agents and service officers, to appropriate training to strengthen professionalism.
- **Improving accountability.** Under this restructuring plan the shared support function will be held accountable for meeting the needs of the enforcement and service operations in a timely and effective manner.
- **Managing essential records.** An important cohesive function of the shared support operation is the management of all of INS' files and electronic databases. INS' records are the foundation of its work -- whether in law enforcement or the provision of services to its customers. For example, the information contained in those records tells an INS deportation officer that an individual has overstayed his visa and the last address at which he might be found. It also tells an adjudicator whether a person has ever entered without inspection, therefore jeopardizing the alien's eligibility to become a legal permanent resident.

### **New "Strategy" Office**

- **Setting priorities and assessing results.** The Administration's proposed structure includes the creation of a small, new "strategy" unit that would focus on setting priorities, long-range strategic planning, and policy development, as well as analyzing the effectiveness of their implementation. The unit would draw heavily on staff from headquarters and the field, as well as create subject area task forces to draw on the expertise of individuals accountable for each program.

### **New Chief Financial Officer Role**

- **Enhancing accountability and efficiency.** The new structure establishes a Chief Financial Officer to ensure effective allocation, control, and monitoring of the agency's finances. This would enhance accountability for managing the agency's resources and ensure that immigrant services and enforcement have clearly separated and defined resource streams.

### **Other Management Improvements**

INS recognizes that a fundamental restructuring is only one aspect of improving its ability to build a more effective organization. As part of its reform efforts, the agency also is planning management initiatives such as fundamentally redesigning outdated business processes and the creation of new training opportunities for employees.

### **Conclusion**

Preserving our country's tradition as a Nation of laws and a Nation of immigrants requires one agency with clearly defined operational lines of authority and accountability. This new structure will allow our Nation to better control its borders and provide improved service and benefits to the immigrant community. The Administration's plan is a bold initiative to strengthen the INS' capacity to accomplish this critical mission.

***Restructuring and Reform of the Immigration and Naturalization Service (INS)  
Comparison of the Administration and Commission on Immigration Reform (CIR) Proposals***

<b><i>CIR Recommendation</i></b>	<b><i>Administration Restructuring Proposal</i></b>	<b><i>Rationale</i></b>
<p><b><i>Immigration Enforcement:</i></b> Places responsibility for immigration enforcement at the border and in the interior of the U.S. in a new Bureau for Immigration Enforcement at the Department of Justice (DOJ).</p>	<p>Within the INS an Executive Associate Commissioner (EAC) for Enforcement Operations will be established with line responsibilities for all enforcement functions (Border Patrol, inspections, investigations, detention, and intelligence) reporting directly to the INS Deputy Commissioner/Commissioner. This functional split between enforcement and service operations extends from the field right to headquarters.</p>	<p>Consolidates border and interior enforcement into a single enforcement unit, while preserving integration/synergy between enforcement and service functions by keeping them within the INS. Establishes clear lines of authority and divisions of responsibility between these two operations. Maintains a single immigration focal point within the Department of Justice.</p>
<p>Bureau Director appointed for a set term (5-years).</p>	<p>INS Commissioner remains a Presidential appointee with no set term.</p>	<p>Ensures agency-head has the confidence of the Attorney General and President.</p>
<p>Bureau personnel should be upgraded to receive law enforcement pay and benefits commensurate with those of other DOJ law enforcement components.</p>	<p>The INS is reviewing pay options to ensure law enforcement officers, with similar duties, receive comparable pay and benefits.</p>	<p>The study will provide a clear assessment of pay disparities between enforcement agents performing similar tasks and provide guidance to promote increased professionalism and positive morale.</p>
<p>Establish a Uniformed Service Enforcement Branch that merges INS Inspectors, Border Patrol and detention offices into one uniformed service. Investigations/intelligence would constitute a "white-collar" division within this new bureau.</p>	<p>Consolidates all enforcement functions under area enforcement directors, but maintains distinct functions of Border Patrol agents, inspectors, investigators, and detention officers.</p>	<p>Union representatives and affected employees will be involved in the development of any pay reform proposal, which will require legislation and a phased implementation process. The Administration is also studying options for common entry level training and career paths for enforcement officers.</p>
<p>All uniformed officers (Border Patrol, inspections, and detention) within a particular geographic area would be under the authority of a single integrated enforcement manager.</p>	<p>All functional enforcement operations (Border Patrol, inspections, investigations, detention, and intelligence) will be consolidated into enforcement units under a single chain of command and report to an area enforcement director and EAC for Enforcement Operations.</p>	<p>Provides a single point of responsibility and accountability for enforcement operations and allows the agency to focus on integrated enforcement on a national or global scale. This approach is similar to a traditional law enforcement organizational model.</p>
<p>Establish a "Removal Officer" position that integrates the functions of investigations and deportation.</p>	<p>Investigations and deportation officers will be merged into an investigation and removal unit under an enforcement area director. The merits of merging the two occupational series are still under consideration.</p>	<p>Close coordination, oversight, and management will ensure the best use of this staff to expedite the removal of illegal aliens.</p>



<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
Field offices structured to address comprehensively the immigration enforcement challenges within that locality.	In place of the current district office structure, the plan consolidates all enforcement operations under an area enforcement director. The area enforcement director will report directly to the EAC for Enforcement Operations. Border Patrol agents will report to Border Patrol chiefs; inspectors will report to port-of-entry directors. These enforcement officers, along with investigation and removal personnel, will report to an area enforcement director who coordinates enforcement activities within a geographic area.	Creates an unambiguous enforcement chain of command with well-defined reporting relationships and a manageable span of control.
Regional offices would be retained for administrative and management oversight of field office operations.	Regional offices will be restructured to be operational rather than administrative. Instead of three regional offices, the plan creates geographic enforcement areas. Each area enforcement director will report directly to the EAC for Enforcement Operations.	Provides direct operational oversight of enforcement activities to better achieve coordination and execution of enforcement priorities.
<b><i>Immigration Services:</i></b> Adjudication of eligibility for immigration-related applications (immigrant, limited duration admissions, asylum, refugee, and naturalization) in the Department of State under the jurisdiction of a new Undersecretary for Citizenship, Immigration, and Refugee Admissions.	Within the INS an Executive Associate Commissioner (EAC) for Immigrant Services will be established consisting of all immigrant benefit and service functions reporting directly to the INS Deputy Commissioner/Commissioner. This functional split between immigrant service and enforcement operations extends from the field to headquarters.	Establishes a single immigration service organization but preserves integration/synergy between enforcement and service functions by keeping them within the INS. Establishes clear lines of authority and divisions of responsibility between these two operations. Maintains a single immigration focal point within the DOJ.
Establish a Bureau of Immigration Affairs at the Department of State to manage the immigration process including domestic adjudication/examination (work authorization/adjustment of status) and employment verification.	Naturalization functions included within a restructured EAC for Immigration Services.	Immigration enforcement responsibilities are integral to the benefit review and adjudication process. Neither mission can be conducted effectively if placed in separate agencies. Both enforcement and service operations enforce the same law (Immigration and Nationality Act) and consistent outcomes, require common processes, data collection, and employee cross-training.

<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
Establish a Bureau of Refugee Admissions and Asylum Affairs at the Department of State responsible for overseas refugee admissions and refugee and asylum functions conducted by the INS.	Functions included within a restructured EAC for Immigration Services.	Same as above. INS and State will initiate an operational review to minimize overlap and duplication within INS and State-run visa, refugee, and asylum programs.
Establish a Bureau of Citizenship and Passport Affairs at the Department of State responsible for naturalization and determinations of citizenship and passport issuance.	Functions included within a restructured EAC for Immigration Services.	The State Department is not equipped to conduct the service and enforcement processes required in the naturalization program. Moreover, this reallocation of functions to State may conflict with its foreign policy mission. The naturalization redesign addressed the concerns raised by the CIR while retaining this responsibility within the INS.
Establish Quality Assurance Officers to oversee records management, procedure monitoring, fraud investigations, and internal review.	INS has expanded its INSpect program to assist in internal review and audits. The EAC for Immigration Services will establish an office to monitor and ensure quality service, benefit processes, products, and operations.	The naturalization redesign has established quality assurance checks throughout the process. The redesign incorporates sweeping changes in processes, records management, data flow and retention, and customer service as measures of integrity.
Establish a field structure that uses existing INS Regional Service Centers and State's National Visa Center and create a local office structure that is separate from immigration enforcement offices.	Local service offices will move from the current district office configuration to a community-based operation modeled on immigrant population density data. Service offices will not necessarily be located in the same location as enforcement operations. The EAC for Immigration Services will also rely heavily on direct mail to existing INS service centers.	The naturalization redesign study has recommended direct-mail to service centers for benefit processing and INS is implementing these recommendations. Beginning April 15 all naturalization processing will be direct-mail and phased implementation of direct mail processing for all other benefit applications is planned for completion over the next two years.
<b><i>Immigration-related Functions:</i></b> Consolidate enforcement of immigration-related employment standards in the Department of Labor.	Enforcement of immigration-related labor and employment standards will be shared between the Department of Labor (DOL) and INS. DOL and INS will develop an MOU to improve coordination and promote more effective worksite enforcement and worker protection.	Will provide a mechanism for more effective enforcement of immigration-related labor laws.

<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
All worksite investigations to ascertain employers' compliance with employment eligibility verification requirements should be conducted by the Department of Labor.	The authority to verify compliance for violations of employment eligibility will be shared between INS and DOL. The Administration is studying options for more effective DOL involvement in worksite enforcement of immigration-related labor standards.	Will provide a mechanism for the more effective enforcement of employment verification requirements.
Upon the adoption of an expedited process for the admission of both immigrant and temporary workers, DOL should be given responsibility and resources for enhanced monitoring of employers' fulfillment of the attestation terms they filed to bring in workers.	DOJ and DOL will work together to develop reforms to the current immigration-related employment programs to streamline the certification process and strengthen employer monitoring.	DOL is evaluating its immigration structure in order to streamline the current processes while ensuring labor protections. With sufficient delegation of authority from DOJ, DOL will further streamline the certification process and increase its enforcement of employer obligations.
<b><i>Administrative Review:</i></b> Administrative review of all immigration-related decisions should be consolidated and considered by a newly-created independent agency, the Agency for Immigration Review.	Maintains the current review and appeals mechanism.	The Administration is studying options to consolidate some review and appeals functions currently in the INS and DOL into the Executive Office of Immigration Review under the Attorney General.
Organization headed by a Presidentially appointed Director with no say in the substantive decisions reached on cases considered by any division or component of the agency.	Maintains the existing Department-head appeal process/final decision.	Placement of the adjudication process within a Department ensures executive oversight of administrative appeals and uniform and consistent national immigration policy.
<b><i>Agency-wide Reforms:</i></b> The Commission urges the Federal Government to make needed reforms to improve management of the immigration system.	Significant management improvements have been accomplished at INS over the past five years. This restructuring plan addresses a number of management and process weaknesses that remain within INS.	INS has accomplished major management, system, and process improvements in the face of a highly visible and growing mandate, large increases in resources and staffing, and unceasing historic demands for immigrant services.

<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
<p>Set more manageable and fully-funded priorities (realistically-achievable short and long-term goals and greater numerical specificity on expected annual outcomes to which agencies should be accountable).</p>	<p>The INS has developed strategic performance plans and measures in both enforcement and service operations. We believe that these plans and measures are manageable and will accurately capture agency performance. As measures are refined, annual outcomes can help judge performance and highlight strengths and weaknesses that require management attention.</p>	<p>INS' FY 1999 Budget justification provides measurable performance goals in enforcement and service operations. The goal is result-oriented performance measures that allow management to judge performance in the aggregate and provide line-managers with the data necessary to do their job effectively.</p>
<p>More fully develop the capacity for policy development, planning, monitoring, and evaluation. Domestic Policy Council (DPC) responsible for overseeing Federal immigration policy development.</p>	<p>The Administration plan will consolidate long-term immigration planning within its strategic planning office reporting to the Commissioner. This group will coordinate agency-wide policy development. The DPC has established a policy-level group that includes immigration-related agencies and Executive Office of the President staff. This group looks at short and long-term immigration policy issues and concerns and coordinates the development of the Administration's position on immigration matters.</p>	<p>Will improve Government-wide immigration policy development and oversight.</p>
<p>Improve systems of accountability and measures of performance.</p>	<p>The key feature of this restructuring plan is to build clear lines of responsibility and accountability within the INS. The restructuring will ensure that line managers have the necessary tools to do the job effectively and performance can be measured. Current confusing and overlapping organizational relationships will be eliminated and replaced with clear lines of command in enforcement, services, and within the administrative support functions -- vital to INS' operational effectiveness.</p>	<p>Much of the work INS performs requires close coordination between enforcement and services. Under this restructuring coordination is maintained while reporting relationships remain clear so that policy can be developed, coordinated, and applied consistently.</p>

<i>CIR Recommendation</i>	<i>Administration Restructuring Proposal</i>	<i>Rationale</i>
<p>Improve the recruiting and training of managers. Expand the ranks of skilled and properly trained supervisors and managers.</p>	<p>INS has consolidated its recruitment effort to ensure consistency and quality and has emphasized the importance of basic, advanced, and management training. Training is a core element of the Commissioner's professionalism initiative. Performance in meeting training goals is measured by INS and DOJ. INS has sought to infuse new skills and thinking by hiring from both public and private sectors.</p>	<p>Consolidated and consistent recruiting has been achieved by establishing a central operation in Minneapolis, MN for hiring. Similarly, INS has established a management training facility in Dallas, TX, and equipped the Border Patrol training facility in Charleston, S.C. In concert with the establishment of these facilities is the creation of advanced and management training modules for enforcement, service, and professional staff.</p>
<p>Strengthen the customer service orientation. Establish a separate career track for benefit and service operation employees.</p>	<p>This restructure establishes separate career paths for enforcement and service personnel.</p>	<p>Lack of a clear career paths for enforcement and service personnel means INS often loses its best employees. By creating a separate career path for enforcement and service operations, this restructuring will increase retention and, therefore improve overall morale.</p>
<p>Use fees for immigration services more effectively. Fees should reflect true costs, cover the costs of services provided, result in timely and courteous service, and provide flexibility in their use to meet changing service requirements and demands.</p>	<p>This restructuring, combined with the naturalization redesign, should address this concern. INS completed an activity-based-costing (ABC) review of its benefit fee structure which has resulted in a proposed fee increase that accurately estimates the cost of providing benefits. INS will begin to conduct a "base" funding examination of its fee structure in FY 1998 to ensure benefit and service fee receipts support service-related operations. The establishment of a Chief Financial Officer within INS, combining budget and financial operations, will also strengthen its ability to manage appropriated and fee-receipt funds.</p>	<p>Fees should reflect true costs, cover the costs of services provided, result in timely and courteous service, and provide flexibility in their use to meet changing service requirements and demands. The base funding review of its fee structure and the ABC review should help assure all interested parties that fees reflect true costs and that they support fee services.</p>

**OFFICE OF MANAGEMENT AND BUDGET  
CORRESPONDENCE TRACKING SHEET**

**HANDLING**

<input checked="" type="checkbox"/> Urgent! (Hand-carry)	<input type="checkbox"/> Expedite (Time sensitive)	<input type="checkbox"/> Regular Handling
<input type="checkbox"/> Decision Memo	<input type="checkbox"/> Information Memo	Control #
<input type="checkbox"/> Correspondence		

**SHORT SUMMARY OF MATERIAL**

Attached are letters to Senators Gregg, Hollings, Abraham and Kennedy and Representatives Rogers, Smith, Mollohan and Watt transmitting the Administration's Immigration and Naturalization Service (INS) restructuring proposal.

These letters are to be signed by the Director; Bruce Reed, Assistant to the President for Domestic Policy; and Attorney General Janet Reno. The package contains a cover letter outlining the Administration's restructuring plan, executive summary, side-by-side comparison of the Administration's plan and the recommendations of the Commission on Immigration Reform, and a consultant report on INS restructuring by Booz-Allen & Hamilton.

INS Commissioner Meissner will officially transmit this plan to House Appropriations Subcommittee Chairman Roger in her testimony on Tuesday, March 31.

**THESE LETTERS MUST BE CLEARED BY COB MONDAY -- EXPEDITED CLEARANCE IS NEEDED !**

	PREPARE	CLEARED	CLEARED	CLEARED	CLEARED	CLEARED	CLEARED
Name/ Division	Mertens Justice	Haun DOJ/GSA	Schwartz TCJS	Deich PAD/GGF	Kerfer LA	Damus GC	Raines Director
Initials/ Date	<i>[Signature]</i> 3/28	<i>[Signature]</i> 3/28	<i>[Signature]</i> 3/28	<i>[Signature]</i> 3/28	<i>[Signature]</i> 3/28	<i>[Signature]</i> 3-30	

Name/ Division	Fernandes DPC	Kagan DPC	Reed DPC	Castello DOJ/DAG	Reno Attorney General		
Initials/ Date	<i>[Signature]</i> 3/20/98	<i>[Signature]</i> 3/30	<i>[Signature]</i> 3/30	<i>[Signature]</i> 3/30	<i>[Signature]</i> 3/30		