

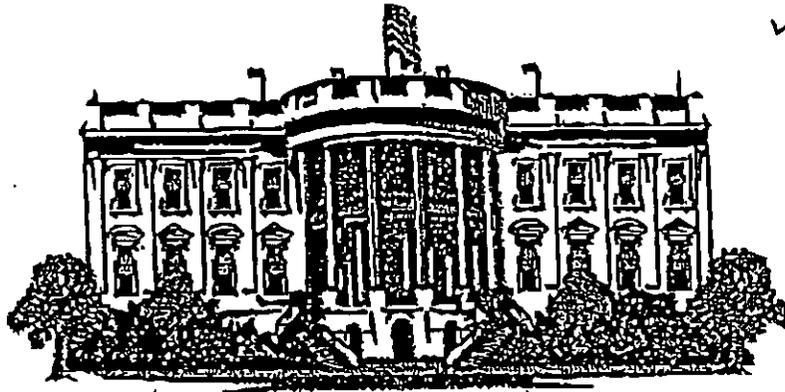
NLWJC - Kagan

DPC - Box 033 - Folder 014

Immigration - Naturalization

[1]

Immigration -
naturalization



THE WHITE HOUSE

Domestic Policy Council

DATE: 5/17/99

Elena Kagan 6.2878
Maria Echaveste 6.1907
Janet Murguia 6.6220

Michael Deich
5-6288

FACSIMILE FOR: _____

Mary Beth Cahill/Maitza Rivera

PHONE: () - FAX: () -

FACSIMILE FROM: IRENE BUEND

PHONE: () 6-6558 FAX: () 6-7028

NUMBER OF PAGES (INCLUDING COVER): 2

- FOR YOUR REVIEW
- PER MY E-MAIL OR VOICE-MAIL MESSAGE TO YOU
- PER YOUR REQUEST

COMMENTS: _____
 INS Naturalization Plan - Roll-out. Please
 let me know if you have any comments. Other
 naturalization materials are being delivered to you
 this morning.

May 14, 1999

Immigration and Naturalization Service

Proposed Roll Out for the INS Naturalization Program – FY 1999 Mid-year Update

Assuming White House clearance of the naturalization update materials is obtained on Monday, May 17, the Immigration and Naturalization Service proposes to do the following, in order, beginning on May 18 (exact day to be scheduled as soon materials and plan are approved):

1. Allen Erenbaum, Director, Congressional Relations, recommends that the Commissioner call the following Members of Congress directly on the naturalization update: Cong. Lucille Roybal-Allard, CA; Cong. Xavier Becerra, CA; Cong. Luis Gutierrez, IL.
2. The INS will schedule a staff-level briefing by representatives from INS, the Department of Justice, the White House Office of Legislative Affairs, and the Office of Management and Budget for the members of the Hispanic Caucus.
3. In addition to contacting these Members, the INS will provide copies of the background information to the members of the House and Senate Immigration Subcommittees, the House and Senate Appropriations Subcommittees, and the Congressional delegations from the five key states: California, Florida, Illinois, New York, and Texas.
4. The INS will provide copies of the background information to representatives from community based organizations (CBOs) such as the Hebrew Immigrant Aid Society, American Jewish Committee, and the U.S. Catholic Conference at the same time the information is provided to the Congressional groups listed in item three. In addition, individual meetings with CBOs will be arranged as soon as possible after the Congressional briefing.

MEMO

TO: All Employees, Friends and Families
FR: Jane Anderson
VACATION STATION, INC. Corporate Wholesale Division

SUBJECT: Underbooked Must Sell Vacation Packages!!!

Offer lasts till 8:00 PM May 18 or while supplies last!

Vacation Station, Inc. has been asked to forward this to you and your employees.

NEW DISNEY DAYTONA Adventure Getaway Package

ATTENTION STAFF: Please post this memo where all employees can view.

Your 7 Day 6 Night Orlando / Daytona Florida Vacation includes:

Your vacation begins with four days and three nights in the vacation capital of the world, Orlando Fla. You'll stay in luxury in the heart of the attraction area at the **RAMADA INN** outside the gates of Walt Disney World. Upon check in you will receive two FREE passes to Disney Pleasure Island along with our VIP coupon book valued at over \$500. Featuring 2 for 1 meals at the most popular restaurants, up to 50% shopping discounts and FREE green fees at area golf courses. You will also receive the best discount on Disney, Universal Studios, Sea World and water park attraction tickets. Since you are in the heart of all the attractions, don't forget the water slide park such as River Country, Water Mania and Wet 'n Wild. You are going to have a great time!

After the excitement of Orlando, you will relax for 4 days and 3 nights at world famous Daytona Beach. Not Only do you have beautiful beaches and sunsets; you can go deep-sea fishing go to the races or just sun bathe on the beach or pool side. You will be staying at the **RAMADA**. It has an Olympic size heated swimming pool, Jacuzzi, shuffleboard, game room, beach volleyball, pool side bar and children's activity programs. There's more... while in Daytona, you will board the SunCruz Casino for a day or evening cruise, where you will enjoy FREE cocktails, live entertainment and dancing. The ship sails from Ponce inlet just ten minutes South of Daytona Beach.

This vacation can be taken any time and the package is good for 18 months and is 100% transferable. This offer is only available during this corporate sellout. Only available to your employees, families and associates. this corporate rate is only \$199. per person. Base upon double occupancy up to four can travel at no extra cost. This price includes vacation listed above **WITH NO HIDDEN COSTS**. A hot line has been established for your immediate response. These vacations will not last long. If lines are busy - keep trying and remain patient * that's right \$398.00 for 2 or 4 people !!!!!

For a limited time; with your reservation we will include **2 FREE ROUND - TRIP AIRLINE TICKETS**, (additional restrictions may apply), to over **40 Destinations** around the country including **CANCUN MEXICO and HAWAII**. You pick where you want to go. Quantity is limited so ask your reservationist on availability! Airline tickets can not be taken in conjunction with Disney / Daytona Package.

**CALL NOW
407- 830- 1370**

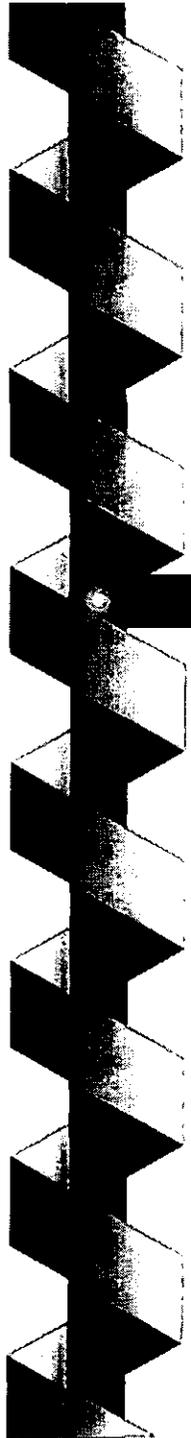
We are look forward to serving you. Vacation Station, Inc.

PS - This is not a discount package. We just bought too many and will sell out early. If you reach a sold out message, stop calling to hot line - there will be no more added. Regular price is \$879. per person.

Vacation Station, Inc. is a full service travel agency. (PAM)

If you would like not to receive our special announcements please fax you request to 407-339-0962

Immigration - Naturalization



Immigration Services Division

Naturalization Status Report
DOJ/OMB Briefing
April 28, 1999

Naturalization Report

☉ Accomplishments

- Increased completions by 91% over FY 1998

	October - March Completions*	% increase
FY 1998	241,766	
FY 1999	461,553	91%

Mid-year Overview (Completions)

FY 1999

Region	Goal	YTD (6 Months)*	% of Goal
Central	205,018	84,008	41%
Eastern	494,764	168,426	34%
Western	448,949	207,725	46%
Service Centers	51,340	1,394	3%
TOTAL	1,200,071	461,553	38%

*PAS data through March (preliminary) as of 4/26/99.

Backlog Reduction Status

Oct - Mar Goal	530,071	Apr - Sep Goal	670,000
Oct - Mar Actual	461,553 *	1st & 2nd Qtr Shortfall	(68,518)
Variance	(68,518)	Revised Goal	738,518

What we would need to do to meet the 1.2 million goal (Apr - Sep FY 1999)

	<u>Apr-99</u>	<u>May-99</u>	<u>Jun-99</u>	<u>Jul-99</u>	<u>Aug-99</u>	<u>Sep-99</u>	<u>Total</u>
Original	105,000	105,000	105,000	115,000	120,000	120,000	670,000
Revised	105,000	105,000	115,000	133,000	140,000	140,518	738,518

*PAS data through March (preliminary) as of 4/26/99.



NQP 4 Reviews

- ⊗ KPMG 3rd Audit

- 15 offices scheduled between April 26 and June 18, 1999

- ⊗ Preparation for Audit

- CENCOR (INS Contractor)
 - No notice reviews at majority of INS offices
- Office of Internal Audit
 - Announced reviews at 28 offices

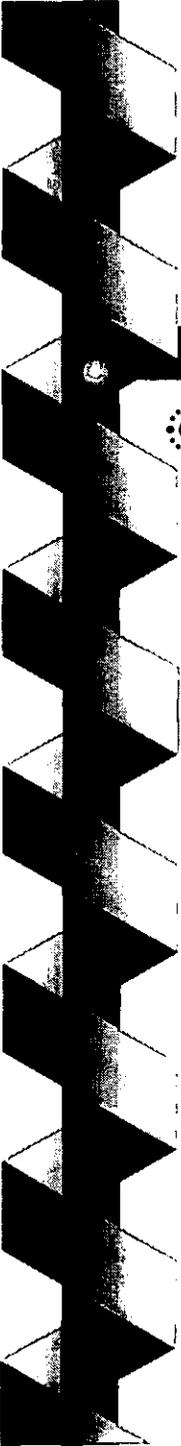
- ⊗ Quality Assurance Program

- Added 54 permanent positions Servicewide
 - Majority of positions filled
 - Staff have received initial training



Actions Underway

- ⊗ Focus on production management
- ⊗ Site managers
- ⊗ Goals and accountability
- ⊗ System analysis and support
- ⊗ Flexible approaches to completing work
- ⊗ Guidelines for adjudication
- ⊗ Staffing and conversion of terms



Issues impacting productivity

• Why isn't production higher?

- The Service Centers are not delivering sufficient cases to field offices to attain production goals
 - Field Office orders exceed delivery of interview-ready applications
 - System bottlenecks prevent automatic file movement
 - Increased demands on Service Centers to ship large volumes of cases to field offices
 - Old cases which dropped out of pipeline require manual review and system updating

Naturalization Process

Service Center

District Office

Direct Mail Processing

Application

Fee

A-File

FBI Results

Schedule Interview

Interview

- Review Case
- Test

Decide

Complete

Grant & Oath

Deny

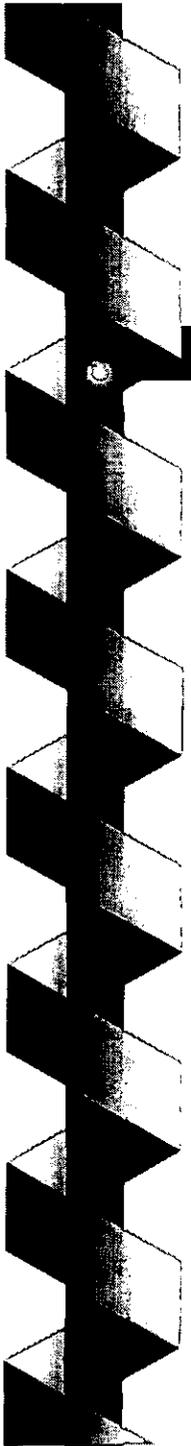
Goal: Convert receipts into accurate and timely completions



Backlog Reduction Plan

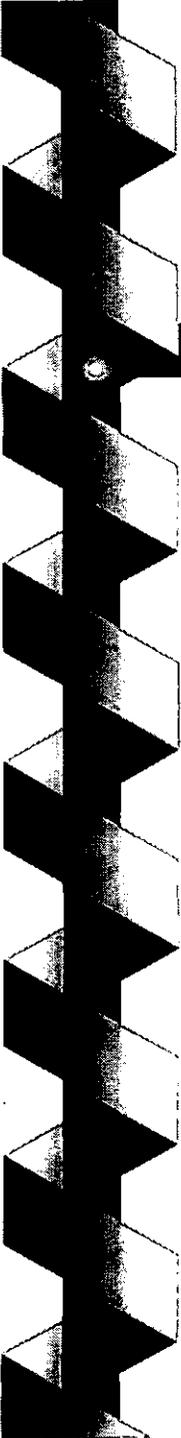
⊙ Immediate Action

- Curtail deployment of CLAIMS 4
- Use funds for backlog reduction
- Adjudicate in RNACS, CLAIMS 4, or manually
- Focus on moving casework from Service Centers to field offices
- Increase system support (RNACS and CLAIMS)
- Continue production management efforts
- Standardize processing



Backlog Reduction Plan

- Long-term actions (FY 1999 - FY 2000)
 - Drain old cases from RNACS/CLAIMS 3
 - Stabilize CLAIMS 4
 - Centralize records
 - Eliminate fingerprint mismatches
 - Convert 300 term positions to permanent status
 - Improve CLAIMS 4 response time
 - Standardize adjudicative processes



Systems-related Obstacles

What are the systems-related obstacles?

- Systems integration (CLAIMS 3, RNACS, CLAIMS 4, Central Index, Fingerprint System, RAFACS)
- CLAIMS 4 processing is slow; cases cannot advance until updated
- Fingerprint results are not automatically posting to CLAIMS 4 and RNACS 100%
- CLAIMS 4 interface for automatic A-file handling not working
- District offices cannot post fingerprint evidence results found in FD-258 tracking

What are we doing to overcome them?

- Providing District Offices with flexibility in adjudicating cases
- Migrating the CLAIMS 4 national database to a larger server on May 7, 1999
- Scraping FD-258 tracking for results every week for CLAIMS 4 and RNACS; moving to expanded matching criteria (A#/DOB)
- Testing interface at Nebraska Service Center week of April 26; full deployment to all Centers expected May 14
- CLAIMS 4 version 5.0 provides local fingerprint evidence posting capability; deploying on May 15

Impact on the 12 month goal

Completions <i>FY 1999 Total</i>	Pending <i>(March)</i>	Receipts <i>(6 months)</i>	Completions <i>(6 months)</i>	Pending <i>(September)</i>	Completions <i>(3 month avg.)</i>	Average PPT <i>(October)</i>
1,000,000	1,919,819	184,000	540,000	1,563,819	90,000	17
1,047,000	1,919,819	184,000	585,000	1,518,819	108,000	14
1,131,000	1,919,819	184,000	670,000	1,433,819	118,000	12
1,200,000	1,919,819	184,000	738,000	1,365,819	137,840	10

Completions <i>FY 1999 Total</i>	Pending <i>(March)</i>	Receipts <i>(6 months)</i>	Completions <i>(6 months)</i>	Pending <i>(September)</i>	Completions <i>(3 month avg.)</i>	Average PPT <i>(October)</i>
1,000,000	1,919,819	184,000	540,000	1,563,819	110,000	14
1,047,000	1,919,819	184,000	585,000	1,518,819	110,000	14
1,131,000	1,919,819	184,000	670,000	1,433,819	110,000	13
1,200,000	1,919,819	184,000	738,000	1,365,819	110,000	12

Talking Points

The following corrective actions are intended to get the INS back on track towards meeting its naturalization completion goals. We do not believe the problem is one of adequate resources, rather it is management of the resources available. To date, INS has not fully implemented the recommendations we made last August. The corrective action plan should help DOJ and INS management focus on the items recommended last August that have yet to be implemented and on new actions that we believe need to be implemented immediately. While this will not guarantee that INS achieves its goal of 1.2 million completions in FY 1999, it will improve the management of INS' resources to address the backlog.

CORRECTIVE ACTIONS FOR NATURALIZATION INITIATIVE

Leadership:

- Continuity of Leadership – Keep William Yates, Acting Director of the Immigration Services Division, through FY 99 to ensure continued, stable leadership and expertise and to help accomplish naturalization completion goals. **In August, INS agreed to appoint an experienced, service-oriented leader to run all immigrant service operations. Instead, they put Yates in as an interim Director while they sought a permanent Director. At this stage, we would recommend keeping Yates as Director through the end of the year. Yates is a proven leader, respected in the organization, knows the program, and is a former INS Regional Director. Bringing in someone new to INS from outside at this time would likely slow the process of addressing the backlog.**
- Delegate Authority – Give Director Yates sole authority to run the naturalization and immigration benefits program. Eliminate or minimize front office involvement in or decision-making over naturalization program operations and naturalization initiatives. **While this issue was not addressed in August, it now appears that the decision making process is too top heavy and slow to respond to problems. Delegating responsibility to Yates would streamline decision making and hopefully speed response to problems and improve accountability.**

Management:

- SWAT Teams – Establish teams of highly trained adjudicators targeted at naturalization backlog reduction in selected key cities. These teams would be able to move to address naturalization backlogs and assist local efforts. **While OMB recommended in August that INS establish SWAT teams, INS agreed to dedicate staff to the naturalization program in the five key cities representing 65 percent of the backlog caseload. We are recommending again that INS establish mobile SWAT teams that can move into a cities, armed with best practices, and address problems in reducing the backlog.**

- Redeploy/Maximize Use of Existing Employees – Transfer adjustment of status and other benefit adjudicators to support the naturalization initiative and achieve monthly completion goals NOW -- gradually backfill these adjudicators with the 200 new adjudicators authorized to be hired in FY 99. **In August, we proposed additional funding to hire 200 new adjudicators. The process of hiring these additional staff is simply taking too long. Redeploying existing staff to support naturalization and using the new hires to backfill the transferred staff will put more resources on the naturalization problem immediately.**
- Contract for Quality Assurance – Use contract support, rather than adjudication personnel, to conduct quality assessments of naturalization application completions. This will ensure adjudicators are concentrating on inherently governmental functions like naturalization interview and approval processes while contract employees are conducting quality reviews to ensure application files have been completed correctly. **This issue was not raised in August, however, it appears that INS is not using adjudicators efficiently. By maximizing the use of contractor support to focus on the non-inherently governmental tasks, adjudicators should be able to complete the review of more naturalization applications.**
- Prioritize Information Resource Management (IRM) Support – Redirect IRM resources to address and solve naturalization data interface problems between existing immigration benefit processing systems and CLAIMS4. Permit dual IRM system use in the interim to minimize the impact on naturalization processing productivity. **In August, INS proposed that it would implement the CLAIMS4 system in order to improve productivity. Problems in the interface between the new and old systems, however, have worsened productivity and are slowing the process in some Districts. Until the interface problems are corrected, INS should run dual systems in order to get the improved productivity of the new system for all new applications, and avoid interface problems encountered with processing old applications.**

Hiring, Retention, Training and Pay:

In order to accelerate the hiring of 200 additional adjudicators proposed in August, we are recommending the following actions be taken:

- Convert to Permanent Employment – Convert current temporary adjudication employees to permanent positions to improve retention, slow attrition, and improve productivity and morale. **In order to speed hiring and reduce attrition, INS needs to convert temporary employees to permanent, where appropriate.**
- Accelerate Hiring – Delegate adjudicator hiring to district offices (from central hiring) to speed process. **Centrally processing all hiring is taking too long. Delegating hiring should help speed the process.**

- Salary Incentives – Permit district offices to adjust salary/incentives (by city location) to meet hiring targets and attract higher quality applicants and improve applicant screening procedures to reduce attrition during training. **Allowing Districts in high cost areas to adjust starting salaries should help speed hiring and improve retention.**
- Streamline Training – Consider streamlining the 11-week naturalization training course (we understand that a 5-week training module has been developed). **INS needs to consider streamlining the training program, while still ensuring the integrity of the training process, in order to get new hires on the line sooner.**

NATURALIZATION INITIATIVE CORRECTIVE ACTION STEPS

Leadership:

- Continuity of Leadership – Keep William Yates, Acting Director of the Immigration Services Division, through FY 99 to ensure continued, stable leadership and expertise and to help accomplish naturalization completion goals.
- Delegate Authority – Give Director Yates sole authority to run the naturalization and immigration benefits program. Eliminate or minimize front office involvement in or decision-making over naturalization program operations and naturalization initiatives.

Management:

- SWAT Teams – Establish teams of highly trained adjudicators targeted at naturalization backlog reduction in selected key cities. These teams would be able to move to address naturalization backlogs and assist local efforts.
- Redeploy/Maximize Use of Existing Employees – Transfer adjustment of status and other benefit adjudicators to support the naturalization initiative and achieve monthly completion goals NOW -- gradually backfill these adjudicators with the 200 new adjudicators authorized to be hired in FY 99.
- Contract for Quality Assurance – Use contract support, rather than adjudication personnel, to conduct quality assessments of naturalization application completions. This will ensure adjudicators are concentrating on inherently governmental functions like naturalization interview and approval processes while contract employees are conducting quality reviews to ensure application files have been completed correctly.
- Prioritize Information Resource Management (IRM) Support – Redirect IRM resources to address and solve naturalization data interface problems between existing immigration benefit processing systems and CLAIMS4. Permit dual IRM system use in the interim to minimize the impact on naturalization processing productivity.

Hiring, Retention, Training and Pay:

- Convert to Permanent Employment – Convert current temporary adjudication employees to permanent positions to improve retention, slow attrition, and improve productivity and morale.
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- Streamline Training – Consider streamlining the 11-week naturalization training course (we understand that a 5-week training module has been developed).

immig - naturalization

Irene Bueno



05/18/99 08:21:50 PM

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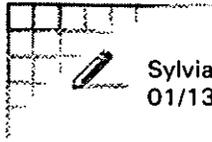
To: Elena Kagan/OPD/EOP, Michael Deich/OMB/EOP, Janet Murguia/WHO/EOP, Maria Echaveste/WHO/EOP
cc: Laura Emmett/WHO/EOP, Steven M. Mertens/OMB/EOP, Caroline R. Fredrickson/WHO/EOP, Leslie Bernstein/WHO/EOP
Subject: INS Naturalization Roll-out Plan and Documents

Just a reminder - please send me your comments on the INS naturalization roll-out documents Wednesday morning, 5/19.

As I mentioned in my previous e-mail, INS plans to brief the Hispanic Caucus on the INS naturalization plan on Friday, 5/21 and has tentatively scheduled a briefing unless of course, there are major problems with the INS naturalization plan.

Thanks.

Immig- naturalization



Sylvia M. Mathews
01/13/99 12:53:35 PM

Record Type: Record

To: Janet Murguia/WHO/EOP
cc: maria echaveste/who/eop, elena kagan/opd/eop, julie a. fernandes/opd/eop
bcc:
Subject: Re: Naturalization 

I am strongly in the let's see the progress report before we brief camp.
JANET MURGUIA

JANET MURGUIA

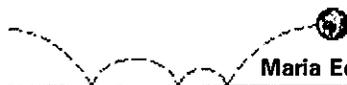
01/12/99 08:34:18 PM

Record Type: Record

To: Maria Echaveste/WHO/EOP@EOP, Elena Kagan/OPD/EOP@EOP, Sylvia M. Mathews/OMB/EOP@EOP,
Julie A. Fernandes/OPD/EOP@EOP
cc:
Subject: Re: Naturalization

I'm not entirely up to speed on where we are but I'm inclined to agree with Deich. I'm worried that we may not have all our numbers nailed down and feel that OMB should be comfortable because Jack will take the heat otherwise and he's got other issues pending with the Hispanic Caucus.

----- Forwarded by Janet Murguia/WHO/EOP on 01/12/99 07:31 PM -----



Maria Echaveste

01/12/99 08:27:07 PM

Record Type: Record

To: Julie A. Fernandes/OPD/EOP, Elena Kagan/OPD/EOP
cc: Janet Murguia/WHO/EOP, Sylvia M. Mathews/OMB/EOP
bcc:
Subject: Re: Naturalization 

Folks--she called me yesterday and made her arguments that she really felt it necessary to brief the congress because she's on the line re the numbers and I am sympathetic, but if deich and mertens feel that ins does not have its story together, that is pretty compelling. I'd like Janet to weigh in here --remember jack also put his credibility on the line about the management changes that would ensure real progress on the delays in naturalization

Julie A. Fernandes

▶ Julie A. Fernandes
01/12/99 04:24:04 PM
.....

Record Type: Record

To: Elena Kagan/OPD/EOP, Maria Echaveste/WHO/EOP
cc: Laura Emmett/WHO/EOP, Leslie Bernstein/WHO/EOP, Marjorie Tarmey/WHO/EOP
Subject: Naturalization

FYI. As you know, OMB has been in discussions with INS and DOJ re: whether INS is going to meet their naturalization productivity projections for the first quarter of FY 1999. As of today, INS has yet to produce a briefing for OMB that describes, in detail, where they are and how they intend to meet their goals. However, because the new naturalization fee takes effect at the end of this week (Friday), Doris wants to brief the Hill asap on the status of their naturalization effort. OMB (Deich) and DOJ (Colgate) are very opposed to her doing any kind of briefing on the Hill before we have a better sense of the numbers and before we are all comfortable with how they are telling this story.

I just wanted to give you a heads up on this in case Doris contacts you re: this issue.

julie

▶ **Julie A. Fernandes**
09/02/98 06:21:14 PM
.....

Record Type: Record

To: Elena Kagan/OPD/EOP, Maria Echaveste/WHO/EOP
cc: Laura Emmett/WHO/EOP, Leslie Bernstein/WHO/EOP, Marjorie Tarmey/WHO/EOP
Subject: FYI -- Naturalization Accomplishments/Briefing Format

FYI.

----- Forwarded by Julie A. Fernandes/OPD/EOP on 09/02/98 06:39 PM -----

Steven M. Mertens

09/02/98 06:18:34 PM

Record Type: Record

To: See the distribution list at the bottom of this message
cc:
Subject: FYI -- Naturalization Accomplishments/Briefing Format

I met with INS and Justice staff to review progress in achieving the naturalization milestones announced as part of the naturalization improvement/reprogramming rollout and to develop a monthly naturalization reporting format to track naturalization accomplishments. I emphasized the importance OMB placed on achieving these milestones and our intention to closely monitoring progress.

In general, INS has moved forward with the incremental improvements they agreed to accomplish by October 1.

- They have restructured the naturalization operation and merged the naturalization policy shop into INS' organizational/operational structure. A respected interim Deputy Executive Associate Commissioner for Immigration Services has been announced and INS' Deputy Commissioner is expected to select division heads for customer service, backlog reduction, reengineering and operations next week. We expressed concern that these division heads be permanent not interim selections so they can take charge/responsibility upon their appointment.
- Backlog reduction "managers" have been selected for the top six cities. INS does not agree with our concept of backlog reduction or SWAT teams that are mobile, dedicated to backlog reduction, and report to headquarters, preferring to designate "teams" at the district level that report to the district director. To date no "teams" have been established using existing resources -- however, their activation under the INS definition may await the approval of the reprogramming.
- Most of the minor restructuring/reengineering accomplishments INS agreed to complete by October 1 should be implemented -- probably late, but within the month of October.

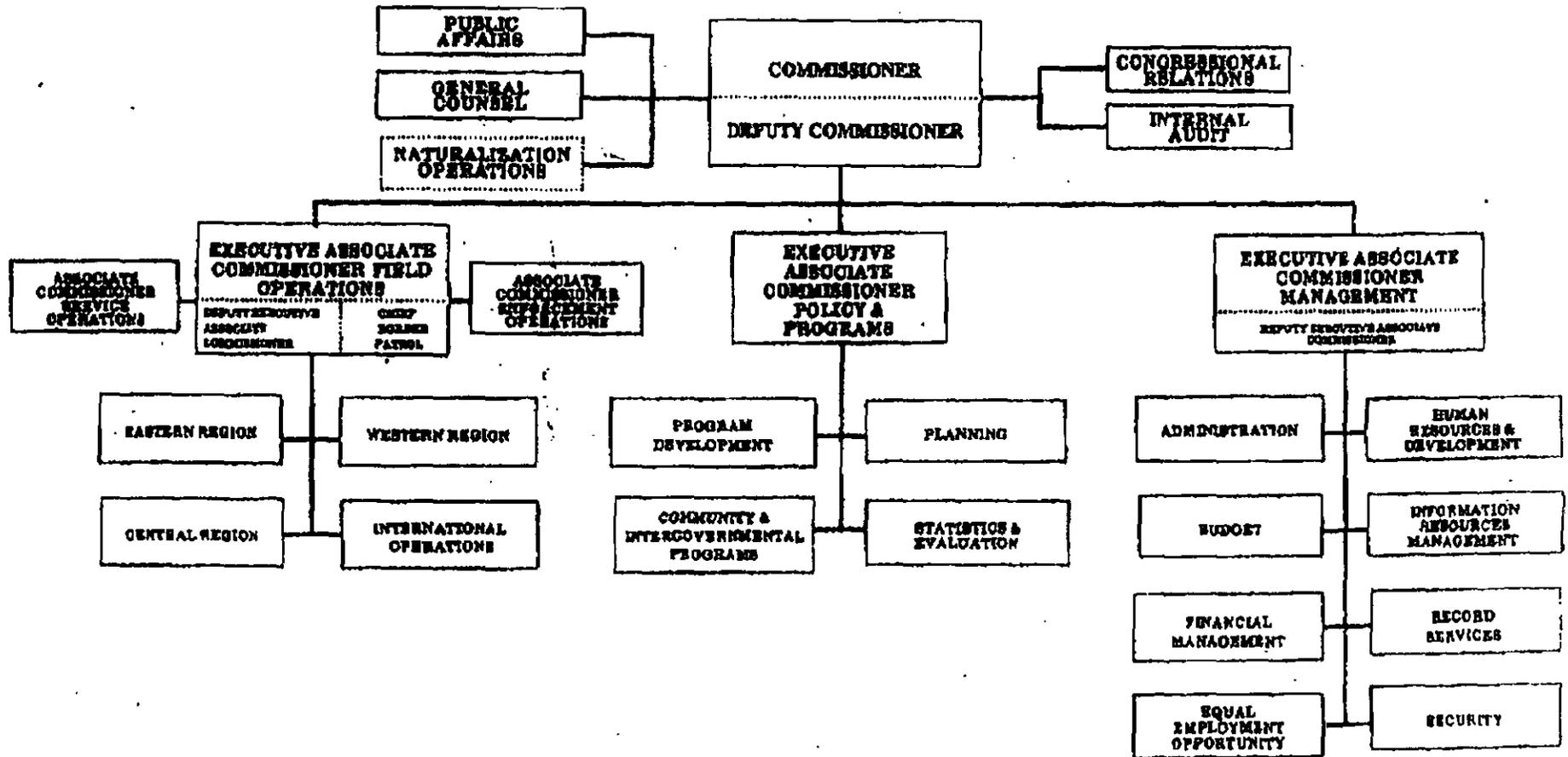
Report Format: With INS and Justice, we worked through a draft reporting format that INS will begin submitting to OMB on October 15 and on the 15th of each month through FY 1999. They agreed to all the data elements we requested and will establish milestones and deliverables by month so we can track progress. This reporting format will be used to brief the AG and CJS Appropriations Committee staff, which have sought similar information. A draft reporting format will be developed and submitted to OMB by September 18th.

If you have any questions regarding the above, please let me know. Thanks.

Message Sent To:

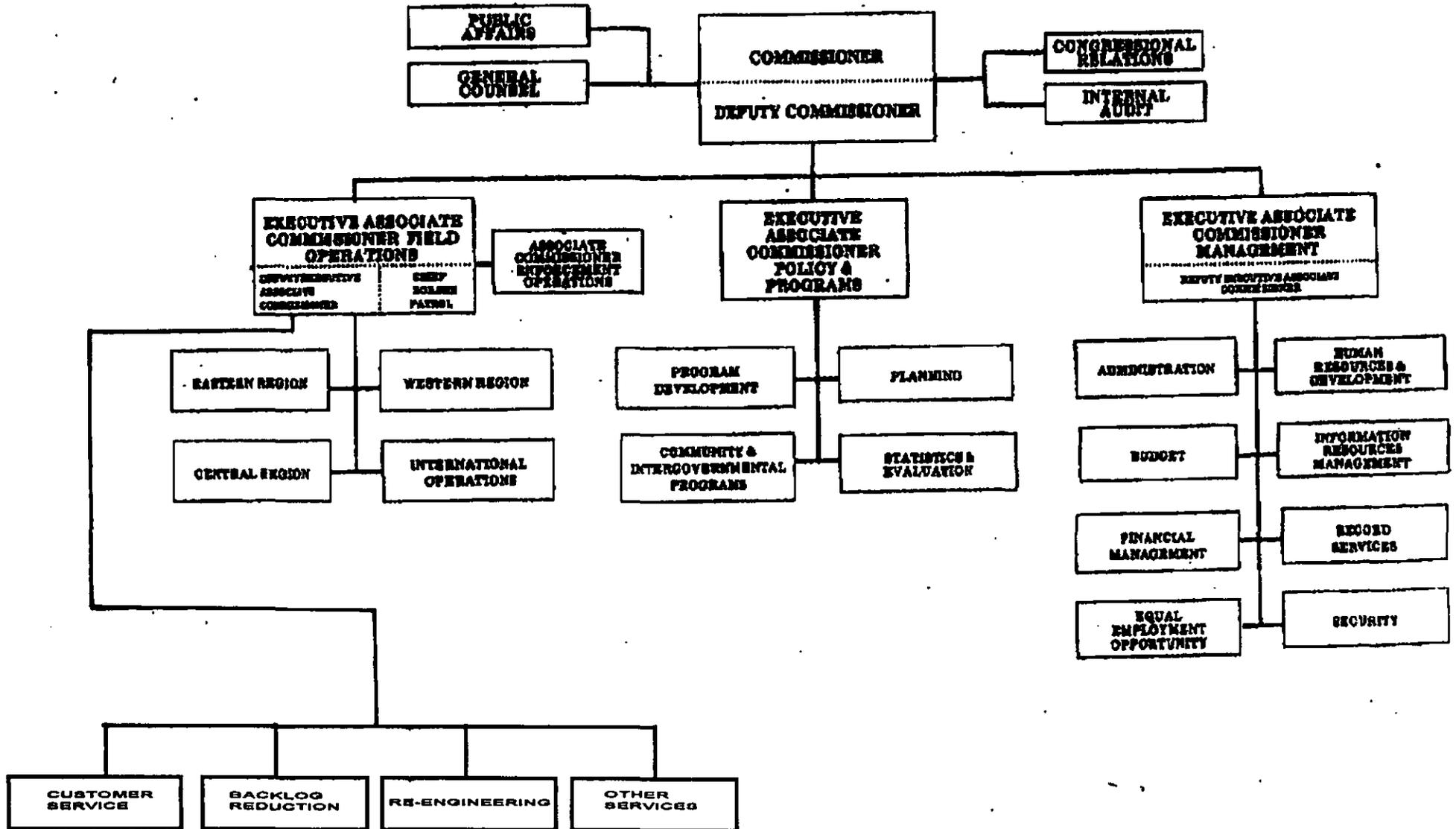
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Michael Deich/OMB/EOP
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Kenneth L. Schwartz/OMB/EOP
David J. Haun/OMB/EOP
Adrienne C. Erbach/OMB/EOP
Robert L. Nabors/OMB/EOP
Theodore Wartell/OMB/EOP
Patricia E. Romani/OMB/EOP

IMMIGRATION AND NATURALIZATION SERVICE



Immig - Naturalization

IMMIGRATION AND NATURALIZATION SERVICE



Strategy to Reduce Naturalization Backlog and Improve Customer Service

Implement Organizational Improvements

- Consolidate responsibilities for service delivery in the field under the Deputy Executive Associate Commissioner Field Operations (hereinafter referred to as the Deputy), who will focus on service delivery exclusively. The functions and resources of the Executive Office of Naturalization will be transferred to the Deputy.
- The Deputy will appoint a Director in charge of naturalization backlog reduction. This Director will establish backlog reduction "SWAT" teams comprised of adjudicators dedicated to naturalization application processing. The teams will be located in the top five cities which represent 65 percent of the backlog, beginning with Los Angeles and the service centers.
- The Deputy will appoint a Director who is a "Customer Service Advocate" to oversee and implement customer service standards. This Director will conduct an audit and implement key customer service improvements in consultation with private sector service experts.
- The Deputy will appoint a Director in charge of reengineering. This Director will continue the work of the Executive Office of Naturalization to reengineer INS services focusing initially on the naturalization application processing and backlog reduction.
- The Deputy will appoint a Director in charge of other services. This Director will monitor service delivery of all other services in the field.
- Establish a new Office for Restructuring to report directly to the Commissioner. INS will announce its Director and the selection of a new restructuring contractor by August 15th. This office will design the detailed infrastructure for two separate chains of command, one for Immigration Services and one for Enforcement Operations.

Implement Reengineering Improvements (Pricewaterhouse Coopers) with Specific Timelines to Increase Productivity

Elements of Reengineering INS Will Implement by October 1, 1998

- Distribute new *Guide to Naturalization* and Eligibility Worksheet
- Convene English and civics testing advisory group
- Pilot "complete file review" at Service Centers
- Pilot "use of Public Health Service assistance in processing disability waivers

- Add information to Internet site, including frequently asked questions, an interactive eligibility worksheet, and the *Guide to Naturalization*
- Deploy CLAIMS 4 at 4 service centers and 7 districts (Chicago, New York City, Newark, Miami, Los Angeles, San Francisco, and Houston)
- Develop standard operating procedures at Service Centers for N-400 processing

Elements of Reengineering INS Has Already Implemented

- Implemented in-house fingerprinting program
- Piloted live-scan fingerprint transmission directly to FBI (Spokane)
- Transitioned the filing of all new N-400s to 4 service centers under Direct Mail
- Implemented Internet access and dissemination of naturalization information -- current N-400 form, information on eligibility, NatzNews, sample citizenship test
- Increased distribution of free PC-based software for N-400 application

Elements To Be Completed During FY 1999

- Disseminate new N-400 Application for Naturalization
- Implement comprehensive National Phone Center
- Consolidate medical waiver processing and implement complete file review at service centers

Funding

- Implement immigration services fee increase, with mean-tested waiver, by October 1, 1998.
- Propose an additional \$148 million in funding for naturalization to be derived from \$25 million in carryover, \$25 million from Breached Bond Detention Account/245(I), and \$98 million from unobligated balances in 1998 in INS and the Department of Justice. This will allow INS to process 1.5 million applications in FY 1999 and reduce the waiting time to 10 to 12 months.

Revised: July 28, 1998

Naturalization Service Initiative (Dollars in Thousands)

Note: Assumes October 1, 1998 Fee Implementation

Rank	Item	Pos	Amount
1	Base Restoration		
	Base Restoration (Staffing; Record Centralization; Backlog Reduction; and IRM Projects)	...	\$65,000
	Total, Base Restoration	...	65,000
2	Staffing Backlog		
	Adjudication and Naturalization		
	Naturalization	200	11,659
	Clerical Support (Natz)		3,750
	Overtime		3,425
	Oaths		2,401
	Clean-up and Address Correction		3,200
	Reprint expired fingerprint		2,225
IRM		790	
	Subtotal	200	27,450
3	Service Centers		
	Service Centers	...	4,200
	IRM	...	145
	Subtotal	...	4,345
4	Field Office ADP Support		
	ADP Support (Program stated either S&E or Exams)	...	6,000
5	Comprehensive Telephone Center		
	Telephone Center	204	25,190
6	Re-engineering		
	N-400 Guide and Production	...	2,700
	Continue C&L Contract Re-engineering	...	3,000
	Consolidate Medical Waivers at Service Centers	...	1,250
	100% File Review at Service Centers	100	5,565
	Subtotal	100	12,515
7	Improve Records Program		
	Records Program	...	6,500
8	2 Print Verification		
	Pilots in two Districts	...	1,000
	Total	504	\$148,000

DOJ Offsets:		
Estimated Exams Fee Carryforward	...	\$25,000
Breached Bond Detention Account/245(i) Resources /1	...	25,000
DOJ Unobligated Balances	...	83,000
INS Unobligated Balances	...	15,000
Total, DOJ & INS Offsets	...	\$148,000

/1 Legislative language to allow use up to \$25 million towards Naturalization

Naturalization Backlog Issue -- Status

Funding

The Department of Justice and INS have identified \$148 million in additional spending and offsets in FY 1999 for naturalization activities. The INS claims that the additional funding is needed to make up for reduced receipts. It will allow them to complete 1.5 million applications in 1999 and reduce the waiting time to 10-12 months.

The attached chart outlines the specific funding items as well as the proposed offsets. The offsets include \$25 million from expected carryover balances in the fee accounts, \$25 million from increased receipts collected in 1998 in the Breached Bond Detention and 245(I) accounts, and \$98 million in unobligated balances from all accounts in DOJ, including INS, that are expected to roll over into the working capital fund at the end of 1998. (These unobligated balances are in addition to \$45 million in working capital funds rescinded by the House CJS bill.)

Use of the \$25 million in Breached Bond Detention and 245(I) receipts for naturalization purposes must be authorized by law, and therefore, would require appropriations language. Use of the \$98 million in unobligated balances in the working capital fund is limited to capital and systems investments and requires a reprogramming notification be sent to the CJS Appropriations Subcommittees. There is no approval or notification of Congress requirement to use the \$25 million carryover balances.

Fee Increase

The funding proposal assumes that the fee increases for INS services go into effect October 1, 1998. The Commissioner of INS is proposing that all the fee increases, except the naturalization application fee, go into effect on October 1 and that the naturalization application fee increase be effective December 1, 1998. This delay will cost INS \$7.6 million per month or \$15.2 million in lost receipts. Delaying all the proposed fee increases will cost INS \$17.1 million per month.

Management Reforms

In addition to more resources, a package of management reforms is proposed to help INS reduce the naturalization backlog. The attached Strategy outlines organization changes and reengineering initiatives that are intended to improve productivity and strengthen the management of the naturalization application process. These reforms are still being discussed with INS.

▶ Julie A. Fernandes
08/06/98 09:03:26 AM
.....

Record Type: Record

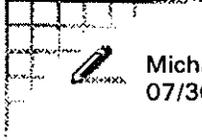
To: Elena Kagan/OPD/EOP
cc: Laura Emmett/WHO/EOP
Subject: Nats roll-out

NSB

I just got word from OMB about the roll-out of the Nats plan. First, INS (maybe including Doris) is going to meet with House and Senate staff tomorrow (Friday) morning. Doris is then doing an event in Alexandria in the afternoon. Also Friday afternoon, the President will issue a statement that outlines the plan. Finally, Jack Lew will call Rogers and ask for his assistance in getting the reprogramming money (\$171 million). OMB is taking the lead on drafting the President's statement, q&a, and Jack's talking points, but they want to work with us.

Also, FYI. CJS passed without an INS reform amendment.

julie



Michael Deich
07/30/98 07:01:57 PM

Record Type: Record

To: See the distribution list at the bottom of this message

cc: Joshua Gotbaum/OMB/EOP, Robert L. Nabors/OMB/EOP, Adrienne C. Erbach/OMB/EOP

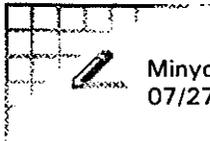
Subject: Agreement on INS reorganization

Doris called. She thought through our proposal and decided not only to embrace it, but to strengthen it in ways I think you'll all like. She sent over a draft organizational chart and talking points that looked good. She will rework them tonight; I'll forward them in the morning. We will have a complete package as soon as we resolve the issue of when the fees should go into effect.

Message Sent To:

Maria Echaveste/WHO/EOP
Minyon Moore/WHO/EOP
Jacob J. Lew/OMB/EOP
Sylvia M. Mathews/OMB/EOP
Elena Kagan/OPD/EOP
Julie A. Fernandes/OPD/EOP
David J. Haun/OMB/EOP

immig - naturalization



Minyon Moore
07/27/98 08:02:01 PM

Record Type: Record

To: Donald R. Arbuckle/OMB/EOP
cc: See the distribution list at the bottom of this message
Subject: User Fees for Immigration Services

I just hope that we will roll this out in a way that will avoid a big backlash. We need validators. We should consider all the various communities that will be impacted by this fee. We will definitely need to address the question of why people are paying for what is perceived to be a broke system.. That is quite a statement in itself. Further, I believe the POTUS is scheduled to meet with the Hispanic Caucus on August 4th. This no doubt will be a topic. Just some thoughts....

Message Copied To:

Maria Echaveste/WHO/EOP
Mickey Ibarra/WHO/EOP
Jacob J. Lew/OMB/EOP
Elena Kagan/OPD/EOP
Bruce N. Reed/OPD/EOP
Gene B. Sperling/OPD/EOP
Ron Klain/OVP @ OVP
Ann F. Lewis/WHO/EOP
Sally Katzen/OPD/EOP
Janet L. Yellen/CEA/EOP
Maritza Rivera/WHO/EOP
Janet Murguia/WHO/EOP
Sylvia M. Mathews/OMB/EOP

Strategy to Reduce Naturalization Backlog and Improve Customer Service

By October 1, 1998, INS is committed to implementing the following improvements:

Implement Organizational Improvements

- Merge Executive Office of Naturalization into management structure, establishing an Office of Immigration Services reporting to the Field Operations and the Commissioner.
- Appoint a respected senior manager for the Office of Immigration Services. All district directors will report to and be accountable to the head of the Office of Immigration Services who will be responsible for identifying and appointing district directors committed to backlog reduction.
- Appoint a "Customer Service Advocate" to oversee and implement customer service standards who will conduct an audit and implement key customer service improvements after consultation with private sector customer service experts.

Implement Backlog Reduction "SWAT" Teams Dedicated to Naturalization

- Establish Backlog Reduction "SWAT" Teams comprised of adjudicators dedicated to naturalization application processing.
- Target these teams to the top five cities which represent 65% of the backlog, beginning with LA and the Service Centers. These teams will report directly to the Director of the Office of Immigration Services.

Implement Selected Coopers and Lybrand Reengineering with Specific Timelines to Increase Productivity

- Expand contractor telephone service center to reduce wait times and improve customer service.
- Consolidate quality assurance and medical waivers in the service centers.
- Move English and civics testing to the beginning of the naturalization process.
- Implement the "Guide to Naturalization" ensuring standard procedures across the agency.

Funding

- Increase the percentage of Examination Fee Account funds dedicated to naturalization processing (current estimate is 39%).
- Implement immigration services fee increase, with mean-tested waiver, by October 1, 1998.
- Reevaluate and prioritize FY 1998 resources allocations and develop potential budget language (amendment or reprogramming) to permit these resources to be made available for naturalization processing in FY 1999.

INS BACKLOG REDUCTION PLAN
FY 1997-1999 Revenue, Expenditure and Completion Rates -- Actual and Planned
(Dollars in Millions/Applications in Thousands)

	FY 1997					FY 1998					FY 1999				
	1Q	2Q	3Q	4Q	TOTAL	1Q	2Q	3Q	4Q	TOTAL	1Q	2Q	3Q	4Q	TOTAL
Revenue	220	220	220	221	881	205	168	144	294	811	237	236	236	236	945
Receipts	157	157	157	158	629	142	105	81	231	559	232	231	231	231	925
Carryover	63	63	63	63	252	63	63	62	62	250	5	5	4	5	19
Expenditures															
Planned	158	158	158	158	632	111	172	140	368	791	220	220	220	220	880
Nats Spending	27	27	27	27	108 (178)	43	67	55	144	309 (312)	86	86	86	86	344 (312)
Applications															
Receipts	354	440	468	317	1579	214	177	222	987	1600	232	456	456	456	1600
Planned Completions	212	156	206	140	714	121	121	158	1225	1625	315	351	429	561	1656
+/- to Backlog	142	284	259	177	862	93	56	64	0	213	-83	-105	27	105	-56
\$ Cost/Nats Completion	127	173	131	193	151	355	554	348	118	190	273	245	200	153	208

lump - naturalization

(average cost per completion)

(1)

JUL 20 30 3 54 PM '78

Look INS tenured plan, but for 4th Q 1999, assume an \$80 million carryover

ADMINISTRATION BACKLOG REDUCTION PLAN
FY 1997-1999 Revenue, Expenditure and Completion Rates – Actual and Estimated
 (Dollars in Millions/Applications in Thousands)

	FY 1997					FY 1998					FY 1999				
	1Q	2Q	3Q	4Q	TOTAL	1Q	2Q	3Q	4Q	TOTAL	1Q	2Q	3Q	4Q	TOTAL
Revenue	220	220	220	221	881	205	168	144	195	711	181	181	181	180	723
Receipts	157	157	157	158	629	142	105	81	132	460	156	156	156	155	623
Carryover	63	63	63	63	252	63	63	62	62	250	25	25	25	25	100
Expenditures															
Planned	158	158	158	158	632	111	172	140	188	611	181	181	181	180	723
Nats Spending	27	27	27	27	108	43	67	55	73	238	71	71	71	70	283
Applications															
Receipts	354	440	468	317	1579	214	177	222	238	851	142	186	186	186	700
Completions	212	156	206	140	714	121	121	158	238	638	300	351	362	362	1375
+/- to Backlog	142	284	259	177	862	93	56	64	0	213	-158	-165	-176	-176	-675
S Cost/Nats Completion	127	175	151	193	151	355	554	348	306	373	237	202	196	193	206

Spend the carryover over 4 Qs (80M)

= \$521

(\$53 million less than INS plan)

① \$188 in 4th Q 1998 will get us a ^{additional} \$80 million carry over (from \$269 in INS chart)

② This plan we add \$81 + \$19 = \$100 million and spread over 4 Qs of 1999.
 carryover

③ We want to achieve the same production as in President's budget.

== We must improve productivity to make this work.

7% more efficient than INS plan. (11 completions per adj. average)

▶ Julie A. Fernandes
07/23/98 10:29:07 AM
.....

Record Type: Record

To: Bruce N. Reed/OPD/EOP, Elena Kagan/OPD/EOP
cc: Laura Emmett/WHO/EOP, Cathy R. Mays/OPD/EOP
Subject: INS naturalization backlog

Bruce/Elena,

FYI. Michael Deich, Steve M. and David H. have been working on revised projections in light of the INS's recent determination (as of the end of last week) that their FY 1998 and FY 1999 naturalization application receipts are down 46%. That translates into a 46% reduction in revenues for those two years. The Hispanic Caucus and the immigration advocacy groups have been pressing for an additional appropriation of money for naturalization. They are particularly upset in light of the expected fee increase for naturalization (from \$95 to \$225) that INS will announce on August 1st (to take effect October 1st).

Steve M. is faxing me charts that explain (1) the current projections for nats. backlog reduction (that were part of our FY 1999 budget); (2) INS's projections with the old estimates; and (3) a revised plan (based on the current application estimates) that includes the fee increase + shifting some detention money (\$60 million) to naturalization backlog reduction (targeted to specific areas, consistent with the Coopers & Lybrand audit). This \$60 million is left over from FY 1998 and would otherwise lapse into the FY1999 detention budget.

According to Steve M., Jack Lew wants to find some additional money (like this \$60 million) for naturalization backlog reduction. Lew wants to call Cong. Becerra this afternoon to discuss this issue. Becerra has stated that he will support the fee increase (which he has opposed up until now) if the Administration supports some kind of additional appropriation. This \$60 million may do the trick. Doris is also scheduled to meet with Becerra today or tomorrow.

julie



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

Immig - naturalization

July 24, 1998

MEMORANDUM FOR ERSKINE BOWLES

THROUGH: Jack Lew
FROM: *Donald R. Abucke*
SUBJECT: Increase in User Fees for Immigration Services

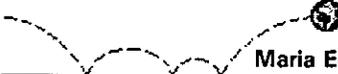
We are about to complete review of a final rule from the Immigration and Naturalization Service (INS) that would raise user fees for nearly two dozen INS services. Such services include naturalization applications, work authorization requests, and adoption of overseas children. The final rule is based on a 1995 analysis of costs for these services and is intended to fully fund the costs providing these services. The overall cost effect of this change could add as much as \$272 million per year to INS' Immigration Examinations Fee Account. The budget effects of this policy are reflected in the FY 99 Budget, and senior Administration officials have told Congress that we need to publish this rule to ensure solvency at the INS and to reduce the backlog of naturalization applications.

The proposed rule received over 2,000 comments, most of which opposed the increase in fees. Immigrant advocates are upset that INS continues to provide poor service and that the naturalization backlog continues to grow -- yet applicants will have to pay more under the new INS fee schedule. Most immigrant groups believe that the fee increase should take effect only after the INS significantly reduces the naturalization backlog. Groups are seeking a one-time appropriation of funds to increase INS's backlog reduction efforts. Jack Lew recently spoke with Congressman Becerra, Chairman of the Hispanic Caucus, who accepts the need for an immediate fee increase but believes strongly that the higher fee should be used only to process new applicants, while the backlog should be financed by some other means. Congressman Becerra agreed to work with us on an appropriate strategy to resolve these issues.

We believe that the benefits from this rule -- including program solvency and, ultimately, faster processing of applications -- justify the increase in fees. We would like to clear this rule by COB Monday. If you have any questions or concerns, please let me know immediately.

cc: Maria Echaveste
Rahm Emanuel
Larry Stein
Ron Klain
Thurgood Marshall, Jr.
Ann Lewis
Sally Katzen
Minyon Moore
John Podesta
Bruce Reed
Gene Sperling

immig - naturalization

 Maria Echaveste

07/15/98 09:42:39 AM

Record Type: Record

To: Julie A. Fernandes/OPD/EOP, Michael Deich/OMB/EOP

cc: Elena Kagan/OPD/EOP, Sylvia M. Mathews/OMB/EOP

Subject: INS-Naturalization

Julie, Michael --I ran into Doris M. at a meeting earlier this week---where are you guys in your efforts to get INS to have a clear workplan? She's feeling pressure from advocates to request additional monies. Should we regroup--only if you think advisable or necessary?

NATURALIZATION PROCESS ENHANCEMENT AND BACKLOG REDUCTION INITIATIVE

I. INTRODUCTION

Increases in the number of applications filed, in combination with manual naturalization process integrity improvements, have caused pending applications to rise. As a result, waiting periods are now at an unacceptable level. To facilitate a reduction in our pending applications and our waiting periods, the Service has embarked on a major backlog reduction effort. The following is a brief discussion regarding the improved processes we have implemented to date in the areas of integrity, standardization, backlog reduction, production projections, and performance measurements.

II. INTEGRITY

Quality Assurance

- **Naturalization Quality Procedures (NQP).** Quality assurance controls to ensure that naturalized individuals meet all requirements of U.S. citizenship, and that determinations of citizenship are made only on the basis of all required applicant information, including FBI Criminal Justice Information System records. The first NQP improvements were adopted on November 29, 1996.

Training: As these new procedures were implemented, INS began mandatory Servicewide training for all personnel involved in the naturalization process. As we refine these procedures to incorporate new technology and procedural developments, we continue to provide on-going mandatory training.

NQP3: On June 30, 1997, revisions to NQP were implemented to instill operational controls and ensure uniform application throughout the naturalization process.

NQP4: On June 5, 1998, development of NQP4 was completed to refine and strengthen the process to reflect recent enhancements in automation, fingerprint procedures, and Direct Mail processing for all naturalization applications. Implementation of NQP4 will be completed by November 1, 1998.

- **Independent Review.** A system of independent office reviews (both contractor and INS Office of Internal Audit) has been established to ensure thorough distribution, training, implementation, and compliance with NQP requirements.

KPMG: On December 16, 1997, KPMG validated INS implementation and adherence to the principals of NQP. We anticipate that the next KPMG audit will occur before the end of this fiscal year.

Fingerprint Processing

- Implementation of machine readable technology to expedite fingerprint processing was completed in April 1998. INS began using and testing two dimensional bar code technology to provide masthead information. Bar code identifiers are being phased in, and will be in use for all new applications by September. INS began to pilot the use of an automated fingerprint capture system in 1998.
- INS has opened 68 freestanding Application Support Centers (ACS) and 53 ACSs collocated within existing INS offices. Additionally, mobile routes are scheduled to be fully operational by the end of FY 1998, and 41 Designated Law Enforcement Agencies (DLEAs) have signed and returned agreements to fingerprint applicants for the INS. With the exception of fingerprints taken overseas, these offices, mobile units and DLEAs, operating under sole source agreements with INS, will take fingerprints for all immigration benefits applications requiring an FBI background check.

Data Integrity

- **Data Validation.** Comprehensive reliable data reporting is essential for a coordinated and focused approach to backlog identification and workload monitoring. It also permits greater effectiveness in the allocation of resources devoted to backlog reduction. Problems with underlying data systems for reporting naturalization have been improved. In addition, validated data reflecting receipts, completions, and pending for October 1997 through May 1998 will be available June 30, 1998.
- **Records Support.** The Records Program will support the backlog reduction initiative by developing enhanced procedures to capture record movements that can be used to obtain naturalization workload data.

III. STANDARDIZATION

- **Direct Mail.** Implementation of automation, facilities, records, personnel, and budget requirements was completed April 15, 1998. This permitted the nationwide transition to a centralized process whereby naturalization customers mail their applications directly to one of four INS Service Centers.
- **CLAIMS 4.** Implementation of a single nationwide automated system for processing all naturalization applications has begun and will be completed by the end of FY 99. The system improves the quality of INS data collection, enhances operational efficiency, and ensures uniformity of application processing.

- **Naturalization Application SOPs.** New standard operating procedures (SOPs) are being developed for naturalization applications at service centers to ensure the uniform application of objective performance requirements and compliance monitoring in service center operations.

IV. BACKLOG REDUCTION

- **Backlog Reduction Plan (BRP).** Designed to address long term fixes in all service offices. The BRP process is on-going and the Service anticipates developing plans for all offices by August 31. Many of the offices involved in this process have already realized significant increases in productivity. Plans will be drafted and implementation responsibility will be vested in the District Directors.
- **Funding.** Allocated approximately \$4.9 million in current year facilities, staffing, and overtime funding in support of backlog reduction. Will distribute \$7.4 million during the fourth quarter of the fiscal year to enhance backlog reduction efforts. In FY 99, we expect \$14 million in base funding for backlog reduction support.

V. PRODUCTION PROJECTIONS AND PERFORMANCE MEASUREMENTS

Production Projections

- The Office of Naturalization Operations (HQONO) and Field Operations (HQOPS) have been working with the regions and field offices to develop a 120 day plan to establish realistic naturalization production projections for June and September. The final projections, which were established on June 9, 1998, were based on each office achieving standard interview and completion levels for each adjudications officer involved in the naturalization program.

June: The June projected Servicewide total of 58,453 is indicative of the increased productivity seen by the Service over the last six months. After a low point in January when completion figures were 32,133, we have and will continue to see increases through June which will result in an 82% gain over the January figure. The process improvements and increased resources in some offices account for these increases. This June commitment, annualized, would result in a total of approximately 700,000 completions.

September: The September production total of 99,044 is 69% greater than the total projected for June, and 98% greater than the September 1997 total. To give a little more perspective, it is also 67% greater than the average monthly completions for FY 1997. The September completion totals will be the result of additional process improvements and increases in the levels of resources. This September commitment, annualized, would result in a total of approximately 1,200,000 completions.

FY99: All offices will submit quarterly production commitments beginning in FY99.

Performance Measurements

- **Performance Monitoring.** INS will measure its accomplishments in comparison with the projections noted above and report on its performance each month. This systematic quarterly process will be on-going.
- **Data Reporting.** Performance Analysis System data reflecting applications received, completed, and pending will be available monthly and compiled quarterly for purposes of performance monitoring. The number of interviews conducted will be obtained through separate office reports and will be reported on the same schedule.