DHS Exhibit 300 Public Release BY09 (Form) / USCIS - Naturalization - CLAIMS 4.0 (2009) (Item)

Form Report, printed by: Administrator, System, **Feb 6, 2008**

OVERVIEW

General Information

1. Date of Submission:	Sep 9, 2007
2. Agency:	Department of Homeland Security
3. Bureau:	Citizenship and Immigration Services (CIS)
4. Name of this Capital Asset:	USCIS - Naturalization - CLAIMS 4.0 (2009)
5. Unique ID:	024-30-01-02-01-3038-00
(For IT investments only, see section 53. For all other, use agency ID system.)	

All investments

6. What kind of investment will this be in FY2009?

(Please NOTE: Investments moving to O&M ONLY in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.)

Operations and Maintenance

7. What was the first budget year this investment was submitted to OMB?

FY2001 or earlier

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap. [LIMIT: 2500 char]

The primary case processing system for the adjudication of applications for naturalization (N-400). Initially developed and deployed over a 5-year period (from October 1995 to December 2000), CLAIMS 4 is now operational at 92 locations nationwide (4 Service Centers and 88 District Offices) and offers a standardized automated process for adjudicating N-400 applications. In addition, the US Citizenship & Immigration Service (USCIS) adjudicators have the ability to travel to off-site locations, such as community-based organizations, and perform the examination process (interview and adjudication) for individuals who cannot travel to a CIS office without great difficulty. The CLAIMS 4 application has initially been divided into subsystems, which support the major functions that CLAIMS 4 is required to provide as specified by the CLAIMS 4 Functional Requirements Document (FRD). CLAIMS 4 system architecture comprises several major subsystems, which include the following: 1) Receipting, 2) Adjudication, 3) Batch Status Update (BSU), 4) Case Status, 5), Case Management (CM), 6) Scheduler/Batch Scheduler, 7) Notices, 8) Reports, 9) Oath Ceremony, 10) Management (formerly DocProd), 11) System Maintenance, 12) External Interface, and 13) Workflow Administration. CLAIMS 4 is a two-tier "fat" client/server workflow management system designed to: a) support high-volume processing of naturalization applications received by USCIS as part of the Direct Mail program at CIS Service Centers; b) capture fees and provide funds control for all monies received via the application process; c) support and record the results of the adjudication of each application; d) provide case status to applicants (customers) throughout the period of case processing; e) provide primary case processing for the adjudication of applications for naturalization (N-400); f) improve USCIS fee and fund accountability by automating the production of receipts and fee registers; and, g) provide automatic scheduling for fingerprints, interviews, and oath ceremonies. It is expected that CLAIMS 4 will remain in operation through FY12 at which time it would be phased out as newly developed case management systems come fully on line.

9. Did the Agency's Executive/Investment Committee approve this request?

Yes

9.a. If "yes," what was the date of this approval?

Jul 27, 2007

10. Did the Project Manager review this Exhibit?

Yes

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?

Yes

12.a. Will this investment include electronic assets (including computers)?

Yes

12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

No

12.b.1. If "yes," is an ESPC or UESC being used to help fund this investment?	
12.b.2. If "yes," will this investment meet sustainable design principles?	
12.b.3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment support one of the PMA initiatives?	
Yes	
If "yes," select the initiatives that apply:	

Human Capital	
Budget Performance Integration	
Financial Performance	
Expanded E-Government	Yes
Competitive Sourcing	
Faith Based and Community	
Real Property Asset Management	
Eliminating Improper Payments	
Privatization of Military Housing	
R and D Investment Criteria	
Housing and Urban Development Management and Performance	
Broadening Health Insurance Coverage through State Initiatives	
Right Sized Overseas Presence	
Coordination of VA and DoD Programs and Systems	

13.a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)
CLAIMS 4 provides information and record decisions for adjudication of naturalization requests. The information provided allows the sharing and integration of Federal, state and local data to maximize interoperability and facilitate better performance of key government capabilities. CLAIMS 4 supports Government-to-Government initiatives since naturalized applicants are often entitled to benefits from other government organizations and therefore minimizes redundancy.
14. Does this investment support a program assessed using Program Assessment Rating Tool (PART)?
Yes
14.a. If "yes," does this investment address a weakness found during the PART review?
Yes
14.b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?
USCIS - Immigration Services
14.c. If "yes," what rating did the PART receive?
Moderately Effective
15. Is this investment for information technology (See section 53 for definition)?
Yes

For information technology investments only:
16. What is the level of the IT Project (per CIO Council's PM Guidance)?
Level 1
17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)
(3) Project manager assigned to investment, but does not meet requirements
18. Is this investment identified as "high risk" on the Q4-FY 2007 agency high risk report (per OMB Memorandum M-05-23)
No
19. Is this a financial management system?
Yes
19.a. If "yes," does this investment address a FFMIA compliance area?
No
19.a.1. If "yes," which compliance area: [LIMIT: 250 char]
19.a.2. If "no," what does it address? [LIMIT: 500 char]
CLAIMS 4 primary functions are to process and manage applications for naturalization (N-400) benefits and to provide event-scheduling support to CLAIMS 3.
19.b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A–11 section 52. [LIMIT: 2500 char]
CLAIMS 4
20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Area	Percentage	
Hardware	0.00	
Software	0.00	
Services	97.70	
Other	2.30	
Total	100.00	⭐

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

Yes

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

Yes

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas?

No

SUMMARY OF SPENDING

SUMMARY OF SPENDING FOR PROJECT PHASES (In Millions)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

	PY-1 & Earlier	PY	CY	BY
	-2006	2007	2008	2009
Planning:				
Budgetary Resources	1.058	0.000	0.000	0.000
Acquisition:				
Budgetary Resources	75.600	0.000	0.000	0.000
TOTAL, sum of stages:				
Budgetary Resources	76.658	0.000	0.000	0.000
Maintenance:				
Budgetary Resources	70.077	15.454	17.292	17.851
TOTAL, All Stages				
Budgetary Resources	146.735	15.454	17.292	17.851
Government FTE Costs	1.680	0.420	0.420	0.420
# of FTEs	0.00	0.00	0.00	0.00
Total, BR + FTE Cost	148.415	15.874	17.712	18.271

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

No

2.a. If "yes," how many and in what year? [LIMIT: 500 char]

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes. [LIMIT: 2500 char]