



DHS Exhibit 300 Public Release BY08 (Form) / USCIS - Transformation (2008) (Item)

Form Report, printed by: Administrator, System, Feb 12, 2007

OVERVIEW

General Information

1. Date of Submission:	Dec 29, 2006
2. Agency:	Department of Homeland Security
3. Bureau:	Citizenship and Immigration Services (CIS)
4. Name of this Capital Asset:	USCIS - Transformation (2008)
Investment Portfolio:	CIS Home Portfolio 2008
5. Unique ID:	024-30-01-07-01-3015-00

(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 FY2008?

(Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)

Acquisition

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

FY2006

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.

USCIS is undergoing a broad restructuring of its business processes and related IT systems. The Transformation Program is a multi-year effort and represents philosophical and substantive changes from current processes. The new business model will mark the inception of an account-based, customer-centric, processing system and the gradual retirement of the traditional application-centric, or case-based processing systems in use today. The customer-centric system will allow all new immigration benefit applications/petitions to be filed electronically through a USCIS Internet web-based portal. Applicants will submit only information relevant to the new benefit being sought, as information specific to the applicant and/or beneficiary will be stored in the customer account. The case file will become an electronic file, and the file and portal will be accessible by all USCIS offices for streamlined processing. USCIS will have a more comprehensive view of the customer and any potentially fraudulent transactions; improved audit functionality and record management; better resource management; and increased sharing of information with our DHS and other agency partners such as Justice and State. The transformed business processes will address gaps in the security and integrity of the immigration system by effectively collecting, analyzing, and sharing information used to verify identity, eligibility, and status; will address gaps in customer service by providing timely and accurate information on line to customers 24 hours a day, 365 days a year; and will address gaps in efficiency by decreasing costs by replacing and consolidating legacy systems and by reducing mailing, storage, and data entry costs through electronic submission and storage. Currently, the program is in the planning phase.

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

Yes

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

May 30, 2006

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 describe how this asset directly supports the identified initiative(s)?

The Transformation Program supports Expanded e-Government by providing the capability for customers to create accounts and file applications for benefits through a web site available 24 x7. The web site will provide status information about applications to customers and will contain extensive on-line help. In addition, customers will have access to their applications and supporting documents through the electronic file and will be able to make changes to own accounts, such as address changes.

14. Does this investment support a program assessed using OMB's 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 PART rating did it 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)

(4) Project manager assigned but qualification status review has not yet started

18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?

No

19. Is this a financial management system?

No


19.a. If "yes," does this investment address a FFMIA compliance area?

19.a.1. If "yes," which compliance area:

19.a.2. If "no," what does it address?

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.

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Area	Percentage	
Hardware	10.00	
Software	20.00	
Services	70.00	
Other	0.00	
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

SUMMARY OF FUNDING

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
	-2005	2006	2007	2008
Planning:				
Budgetary Resources	0.000	34.650	0.000	0.000
Acquisition:				
Budgetary Resources	0.000	0.000	91.000	124.000
Subtotal:				
Budgetary Resources	0.000	34.650	91.000	124.000
Maintenance:				
Budgetary Resources	0.000	0.000	9.000	15.000
TOTAL, All Stages				
Budgetary Resources	0.000	34.650	100.000	139.000
Government FTE Cost	0.000	0.680	2.900	2.900
# of FTEs	0.00	5.00	20.00	20.00
Total, BR + FTE Cost	0.000	35.330	102.900	141.900

Note: For the cross-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?

Yes

2.a. If "yes," how many and in what year?

20 additional FTE will be hired during FY2006 and FY2007

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

The FY2007 submission for this UPI was for "USCIS - IT Transformation".- Since then the investment scope has been modified and the investment is now for "USCIS - Transformation".- As such the Summary of Spending has been modified to correspond with the investment scope changes.

This investment is currently in the Planning Phase. Approval to spend \$35M of appropriated funds in FY06 was received from DHS and OMB in May 2006. The Transformation Program Office is now in the process of awarding a contract for support to develop the business planning documents including the Acquisition Plan, Cost/Benefit Analysis, Alternatives Analysis, Performance Metrics, and detailed cost and schedule estimates, as well as initiating pilots to assist in evaluating the technical design, change management/ training aspects, cost estimates, metrics, and schedule. The Transformation Program Office planned to have these documents completed early enough in the fiscal year to prepare a robust Exhibit 300, but the delay in funding approval has pushed the development of these business documents to FY07. Therefore, much of the detailed planning documentation for the overall Transformation Program is not available at this time. For example, the Transformation Program has identified the appropriate metrics to measure success, but has not yet compiled the baseline or completed the schedule to target improvements by year. Similarly, the Transformation Program has identified alternatives and benefits but has not yet completed the detailed identification of current costs and cost avoidance for future years. Because the detailed planning documentation has not been completed, the summary of spending is based on estimates developed by the former IT Transformation Program, although adjusted for the change in scope. The spending estimate will be revised during FY07 as proofs of concepts are undertaken and when the alternatives analysis and detailed planning are completed.