



DHS Exhibit 300 Public Release BY09 (Form) / USCIS - Immigration - CLAIMS 3.0 (2009) (Item)

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

OVERVIEW

General Information

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|--------------------------------|--|
| 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 - Immigration - CLAIMS 3.0 (2009) |
| 5. Unique ID: | 024-30-01-02-01-3036-00 |

(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?

FY2005

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]

CLAIMS 3 is a legacy case application tracking and processing system used for the adjudication of applications and petitions for immigration benefits and services except asylum and naturalization. CLAIMS 3 is the primary source of applicant/petitioner information that is used to perform background checks, conduct the examination (review of the information that is being provided by petitioners), and adjudication (decision process to grant or decline the petitioners application). The information within CLAIMS 3 is used to assist the examiner in verifying and corroborating applicant petitions through the use of business rules to ensure that the process is consistent with all applicable laws and regulations. CLAIMS 3 is a critical system to USCIS and is essential for case management. CLAIMS 3 resides in four service centers and the National Benefits Center and the Administrative Appeals Office Baltimore, Maryland, and channels information to over 90 district offices through the Integrated Case Management System (ICMS) Web Interface for the Family Based 485 Forms. CLAIMS 3 is used by approximately 5,000 USCIS Staff and is a source for accessing information for USCIS Performance Measurements and Production Numbers. Source of statistical information about the USCIS Mission and workload balancing, resource allocation, management evaluation, and information from CLAIMS 3 is assembled into the official administrative reports (G22) and the Performance Analysis System (PAS). Information from these reports are then submitted to Congress and other stakeholders. Deployed releases required to allow the system to support and process 9 digit A Numbers - Provided a table driven approach to adding Premium Processing to USCIS Benefits Applications. Improved data handling and repaired data integrity issues with some interfaces'- Completed extensive, detailed analysis to document and validate requirements of the CLAIMS 3 LAN system to create a baseline in preparation for technology improvements that will allow required security upgrades. Completed hardware refresh of all CLAIMS 3 LAN sites including server upgrades to Windows 2003 server and workstation upgrades to Windows XP. Implemented fee changes effective October 26, 2005. Implemented processes to provide LPR cards to aliens granted status as a result of EOIR processing. It is expected that CLAIMS 3 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 3 provides information and record decisions for adjudication of immigration requests and currently supports electronic processing of over 60 applications and petition types. This information allows the sharing and integration for Federal, state and local data to facilitate better performance of key government capabilities. CLAIMS 3 supports Government-to-Government initiatives since naturalized applicants are often entitled to benefits from other government organizations.

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)

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

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 FFIA 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 3 provides status on immigration applications for benefits and hands off the fee processing to Debt Management (3rd party external to USCIS).

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 3

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 | 97.49 | |
| Other | 2.51 | |
| 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?

N/A

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 | 2.758 | 0.000 | 0.000 | 0.000 |
| Acquisition: | | | | |
| Budgetary Resources | 81.900 | 0.000 | 0.000 | 0.000 |
| TOTAL, sum of stages: | | | | |
| Budgetary Resources | 84.658 | 0.000 | 0.000 | 0.000 |
| Maintenance: | | | | |
| Budgetary Resources | 24.263 | 9.384 | 10.590 | 10.896 |
| TOTAL, All Stages | | | | |
| Budgetary Resources | 108.921 | 9.384 | 10.590 | 10.896 |
| Government FTE Costs | 0.910 | 0.260 | 0.270 | 0.280 |
| # of FTEs | 0.00 | 0.00 | 0.00 | 0.00 |
| Total, BR + FTE Cost | 109.831 | 9.644 | 10.860 | 11.176 |

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]