DHS Exhibit 300 Public Release BY08 (Form) / USCIS - Naturalization - CLAIMS 4.0 (2008) (Item)

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

OVERVIEW

General Information

1. Date of Submission:	Feb 7, 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 (2008)
Investment Portfolio:	CIS Home Portfolio 2008
5. Unique ID:	024-30-01-07-01-3038-00
(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 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.)

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.

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?

Aug 4, 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	Yes
Budget Performance Integration	Yes
Financial Performance	
Expanded E-Government	Yes
Competitive Sourcing	Yes
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)?
CLAIMS 4 provides information and record decisions for adjudication of naturalization requests. This information allows the sharing and integration of Federal, state and local data to facilitate better performance of key government capabilities. CLAIMS 4 supports Government-to-Go¬vernment initiatives since naturalized applicants are often entitled to benefits from other government organizations.
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)
(2) Project manager qualification is under review for this investment
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?
Yes
19.a. If "yes," does this investment address a FFMIA compliance area?
No
19.a.1. If "yes," which compliance area:
19.a.2. If "no," what does it address?
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.
CLAIMS 4
20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Area	Percentage	
Hardware	15.00	
Software	20.00	
Services	45.00	
Other	20.00	
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 -2005	PY 2006	CY 2007	BY 2008
Planning:				
Budgetary Resources	1.058	0.000	0.000	0.000
Acquisition:				
Budgetary Resources	75.600	0.000	0.000	0.000
Subtotal:				
Budgetary Resources	76.658	0.000	0.000	0.000
Maintenance:				
Budgetary Resources	48.134	21.943	15.454	15.992
TOTAL, All Stages				
Budgetary Resources	124.792	21.943	15.454	15.992
Government FTE Cost	1.260	0.420	0.420	0.420
# of FTEs	0.00	0.00	0.00	0.00
Total, BR + FTE Cost	126.052	22.363	15.874	16.412

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?

3 FTE in FY2006

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