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U.S. Immigration & Naturalization Service



Functional Requirements Document

Functional Requirements Document for CLAIMS 4

Project No. K00PP014S00 (G518): CLAIMS 4 Operations and
Maintenance Support

Subtask 14: Documentation Support

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INTRODUCTION

The Computer-Linked Application Information Management System Version 4.0 (CLAIMS 4) was developed by the Immigration and Naturalization Service (INS) to assist in the processing of applications related to naturalization or attaining U. S. citizenship. Because of the increase in naturalization applications in recent years, an effort has been made to reengineer previous computerized naturalization systems to provide a more efficient and effective process.

CLAIMS 4 uses newer and more efficient technology based on a graphical user interface (GUI) that will enable the INS to process cases more efficiently by tracking each case through all aspects of the naturalization and citizenship process, from application submission to close out. The purpose of CLAIMS 4 is to make use of more efficient technology, such as local area network (LAN)-based, client/server systems, that are better equipped to meet the current and future needs of the INS. The new system will take advantage of improvements in computer technology and will include the following new features:

- Rule-based adjudication to capture laws and regulations associated with adjudication decision-making and to support the adjudicator in making decisions in accordance with current policy
- Workflow management and workload simulation to help forecast demand and leverage the workload nationwide
- System profiling to identify cases in high- or low-risk groups
- Relational database to provide better reporting capabilities of statistical information and more flexibility in tracking applications and cases
- Electronic capture digitization to include photographs, signatures, and fingerprints

All basic naturalization functions such as receipting, case management, scheduling, and future releases are included. The goal is to provide an automated methodology that will evolve into a single system supporting all immigration benefits processing.

Project Description

CLAIMS 4 is the result of the infusion of new technologies with the first iteration of the reengineering of the naturalization business process. This high volume, transaction system requires a tremendous level of effort involving several hundred interrelated tasks based on ever-changing immigration laws, statutes, and policies. INS Headquarters and field personnel, along with EDS Information Technology Partnership (ITP) and subcontractors, spent over two years gathering requirements and developing and testing code to create a system that would fully support the naturalization function. The subsequent sections provide a detailed description of the system functions that constitute CLAIMS 4.

Background

The Reengineered Naturalization Automated Casework System (RNACS) became operational in 1986. Currently, RNACS, a mainframe application, supports 31 offices with more than 500

users and processes approximately 85 percent of all naturalizations. The recent increase in naturalization applications has caused application processing time to rise to unacceptable levels. In response, the INS is pursuing new methods of conducting naturalizations and automating support for these new processes.

In response to INS initiatives, a NACS user group was formed to help the ITP team gather the requirements for the new naturalization system. The ITP team was offered the opportunity to tour District Offices (DOs) and a Service Center (SC) to better understand the naturalization environment. The ongoing dialogue with INS Headquarters Adjudication and Headquarters, Office of Information Resources Management (HQ OIRM) created this functional requirements document (FRD).

Objectives

CLAIMS 4 reengineering is intended to provide an automated system that will effectively support the reengineered naturalization business processes. The achievement of this global objective will be accomplished through the following two key principles:

- Apply an iterative methodology in a controlled and manageable environment to demonstrate how the reengineered CLAIMS 4 system supports the new naturalization processes
- Evolve CLAIMS 4 from processing naturalization benefits only to processing all types of immigration benefits and thereby form the core for a reengineered CLAIMS

The purpose of conducting this effort in a pilot environment offered the INS an opportunity to validate that the following technologies were integrated to support overall objectives:

- Relational databases
- GUIs
- Client/server architecture
- LAN/wide area network (WAN) communications

In addition, the pilot validated the application of the following concepts for both CLAIMS 4 and the CLAIMS reengineering efforts:

- Enterprise Data Model
- Central data repository
- Electronic capture of photographs
- Image storage and retrieval
- Workflow management
- Statistical analysis support

Additionally, the pilot used a database that was designed in conjunction with the INS Enterprise Model and the corporate database team, for the integration into a single master database that can be shared Service-wide. These concepts included the use of a person entity that was established independently and referenced by whatever information the INS has about that person, such as an alien number (A-Number), social security number (SSN), name, or date of birth. The database was designed and maintained in such a way that the person was uniquely identified and all

changes made to that person's data traced and linked to the numerous applications that the person submits to the INS.

The value of this approach highlighted the capability of the INS to gather consistent information about its client base for protecting the INS against fraudulent applications. This effort serves as the baseline for future enhancements.

Assumptions and Constraints

The following assumptions are related to the CLAIMS 4 functionality that will be available in the requirements traceability matrix:

- **Data Entry**—Phase I supported the data entry requirements of the N-400 application. Future releases will provide data entry functions for all naturalization processes and other benefit applications.
- **Scheduling**—Limited to a transfer of CLAIMS scheduling functionality with enhancements to support the scheduling of the Oath Ceremony
- **Adjudication**—Supported limited application profiling
- **Interface**—Supported fully automated interfaces to mainframe NACS, Central Index System (CIS), and the Receipt and Alien-File Accountability and Control System (RAFACS). In addition, a semi-automated interface to the Federal Bureau of Investigation (FBI) was supported.
- **Workflow**—Supported application capabilities and full N-400 productivity statistics. The Workflow management function used standards defined by the Workflow Coalition. This function was designed as a modular unit of the CLAIMS 4 application, to be replaced by a commercial off-the-shelf (COTS) Workflow function in future releases.

The following constraints were applied during the CLAIMS 4 reengineering pilot project:

- **Reengineered Pilot Processes**—Support provided for the reengineered pilot processes only, to adequately measure the potential of the reengineered system
- **Pilot Capacity**—Pilot volume limited to 350 to 1,000 naturalization applications per day; this rate ensured an adequate pilot while providing the basis for expansion to accommodate the maximum number of users.
- **Technical Architecture**—Selected pilot locations were equipped with the most recent version of the Technology Infrastructure Project (TIP) standard workstation and LAN configuration. This ensured the availability of the architecture required to support the reengineered pilot system.

Equipment Environment

CLAIMS 4 was implemented in part of a selected SC and part or all of a selected DO. This site was capable of generating 350 to 1,000 naturalization applications per day and was equipped with the latest TIP-standard workstation and LAN equipment.

CLAIMS 4 used INS' Pyramid central database server for its central data repository. Additional information about the specific hardware and software configuration for the reengineered CLAIMS 4 shall be provided in the hardware/software configuration and estimate document.

Support Software Environment

The following tools were used to assist in the development of the CLAIMS 4 reengineered technical design:

- **KEY CASE**—A computer-aided software engineering tool used to develop the logical database design
- **Rational Rose/Visual Basic**—An object-oriented design tool used to develop object model diagrams and document the application architecture
- **PowerDocs**—A documentation tool used to generate detailed module design descriptions of the software

The reengineered CLAIMS 4 used the following software products:

- **Oracle**—A relational database management tool used for managing the central database server
- **Visual Basic 4.0**—A GUI tool used to develop the user interface with the reengineered CLAIMS 4
- **Integrated Data Management System (IDMS) 12.0**—A relational database management tool used to manage legacy mainframe systems and interfaced with the reengineered CLAIMS 4

This list represents the initial software product set and is not all inclusive. Upon completion of the physical design, the final configuration will be provided in an updated hardware/software configuration and estimate document.

Interfaces to External Systems

CLAIMS 4 interfaced with the mainframe RNACS, CIS, RAFACS, and the FBI, as follows:

- **Mainframe RNACS**—An IDMS on the DOJ mainframe. A batch interface was provided to support the following:
 - Queries to determine if a given applicant has submitted prior naturalization benefits applications
 - Transferring non-N-400 cases to the mainframe for post-data entry processing
 - Passing N-400 case data
 - Facilitating case transfers to other offices

- **CIS**—An IDMS on the DOJ mainframe. CIS was accessed through an IDMS 12.0 central version to support an online interface for queries. Updates were performed using a batch procedure. This interface was used for the following purposes:
 - Determining/verifying the applicant's A-Number
 - Requesting the transfer of an alien file (A-File) not located in the local office
 - Updating the CIS for name changes and corrections of personal data
 - Updating the CIS with the final status of the naturalization case
- **RAFACS**—A PC/LAN-based file tracking system. RAFACS also provides access to files archived in the Federal Records Centers through its interface to the Central Information Processing System (CIPS). Some of its functionality was duplicated by the Workflow function. An interface kept the systems synchronized.
- **FBI**—A regularly scheduled batch interface with a SC tracking facility for FBI fingerprint checks was provided during this phase. This will be replaced in later releases by an interface to IDENT.

Interfaces to many other systems will be required to support a fully integrated benefits case management system. All currently identified interfaces are described in Section 2.1.10, External Interface Description.

Points of Contact

The project manager for CLAIMS 4 is responsible for overseeing the project management activities in support of this system on a daily basis. The task leader for CLAIMS 4 is assigned to oversee the completion of the application development components for this task. Consulting services are being provided by the EDS Government Consulting Services group. Specific names, telephone numbers, and addresses are provided in the CLAIMS 4 proposal for technical support services provided to the INS.

Project References

The following documents were used or referenced in the development of this FRD:

- Naturalization Adjustment Casework System Reengineering Logical Data Model, December 1, 1995 (NCY00.20000-00.D*0)
- Response to Task Order Proposal, Revision 2, 95-BSB-0006.1, May 31, 1996
- CLAIMS 4 Reengineering Functional Requirements Document, June 11, 1996 (NCY00.10000-00.W*0)
- NACS Phase 1 Functional Requirements Document, July 21, 1995 (CMY00.10000-00.F*0)
- Naturalization Automated Casework System, July 25, 1995 (CMY00.20000-00.F*0)
- Naturalization Subsystem Hardware Software Configuration Estimate, April 23, 1996 (NCY00.30001-00.D*0)

- CLAIMS Functional Requirements for Service Centers Draft, June 22, 1998
- CLAIMS Functional Requirements for District Offices Draft, February 11, 1998 (NCY00.10002-00.D*0)

Project Documentation

The following deliverables, as identified in the Systems Development Life Cycle (SDLC) documentation, both core and supplemental, will be produced and submitted to the INS for review and approval:

- Operations and Administration Guide
- User Reference Manual
- System Test Plan
- System Test Results
- Acceptance Test Plan
- Acceptance Test Results
- Naturalization Business Processes (CLAIMS 4) Manuals
- Implementation Plan
- Training Course Design
- Training Materials
- Pilot Evaluation Report

Glossary

Appendix A, Acronyms, provides a list of acronyms used in this document.

FUNCTIONAL PROCESS REQUIREMENTS

This section describes all automated user functions implemented in CLAIMS 4.

Detailed Functional Descriptions

The program was designed and developed to support all major naturalization processes:

- Mailroom Receipting and Data Entry
- Finance and Paymerge
- Adjudication
- Case Management
- Scheduler
- Certificate Generation
- Notices
- Report Process
- System Maintenance
- External Interfaces
- Workflow
- Case Status

Mailroom, Receipting, and Data Entry Process Description

The Mailroom, Receipting, and Data Entry function provides the capability to enter data into the system and record the receipt of applications and fees. Mailroom and Data Entry functions initiate the naturalization process for a given application. Receipting sets many other activities in motion, such as requesting background checks to be performed and placing the application into the schedule system. It also assembles the A-File before sending the file containing the completed application and accompanying evidence to the correct office for adjudication.

1.1.1.1 Mailroom Process Description

When a new batch of mail is ready for processing, the user must enter its delivery date and time into the system. For each piece of mail in the batch, the user must generate a request for an application identifier and affix the bar-code label on the outside of the application folder. For applications that need to be entered together (in order to be a group or, if covered by a shared payment), the system will allow the user to enter a lead applicant (primary person) for the group. If an application is entered incorrectly, the system will allow the user to void the application.

1.1.1.2 Data Entry Process Description

After the application passes from the mailroom to data entry, the data entry clerk must enter the data from the application forms in to the system. Data from these forms may be accepted in electronic format from CBOs in the near future, thereby eliminating the need for keyed data entry. Another future system enhancement will be that some of the data may be pre-populated from other systems. The system will allow the user to generate additional bar codes and address

labels. The system shall allow partial data entry of an application to be retrieved and updated later. If there are any missing names or A-Numbers, the system shall suspend the application.

When an application is suspended due to missing documentation, it can be held in suspension for a maximum of 87 days. The 87-day clock, controlled by the Workflow function, may be reset at any time by the manual intervention of authorized staff. If the missing documentation is received during the 87-day period, the data entry staff must enter the additional data in to the system to complete the process. Then, the case can proceed to interview scheduling. If the additional required information is not submitted after the 87-day suspense period, an interview must be scheduled at the DO for adjudication. This is in accordance with INS policy that naturalization applications cannot be denied without granting an interview. Following the interview, the application can be denied or the 87-day clock may be started again to allow the applicant another chance to produce evidence.

Upon establishing the A-Number, the system shall initiate a request (through Workflow) to CIS/RAFACS for a physical file transfer to the appropriate DO for an interview. The system will accept payment by check or money order. In the future, payments may be accepted by credit and debit cards. Based upon ZIP code - office mapping information as provided by INS, the system should determine locations where applicants can be scheduled for interviews and oath ceremonies.

1.1.1.3 Receipting and Data Entry Inputs

The following are inputs to the receipting process:

- Signed application form (hard copy)
- Payment (check, money order, or cash)
- Photograph (hard copy)
- (No FD-258 card required any more...) Other evidence, as required, to support the application (hard copy)
- G-325B form, if applicant has military record
- G-28 form, if an attorney is representing the applicant (hard copy)

1.1.1.4 Receipting and Data Entry Processing

The system shall provide a GUI.

1.1.1.4.1 MAILROOM PROCESSING

This function shall allow the application to be started in the mailroom. The system shall provide a user interface to enter the batch, date and time of the mail. The system shall allow the user to enter the number of applications and remittances received, using defaults of one for each. The system shall generate a new and unique application identifier for each application entered. The system shall provide the capability to associate a single payment with multiple applications. The system shall print the Application ID onto a bar-code label, along with the mailroom date and Application ID in readable form. The system shall generate a unique payment identifier for each

payment. (If the number of remittances included in an application packet is zero (underpayment), it will not create a payment identifier.) The system shall automatically capture the applicant identifier, along with the current date and time, and the delivery date and time for the mail batch, and store this information for Workflow metrics. The system shall allow a user to void an application (by updating the status to Mailroom Void), provided the application has not already proceeded to data entry.

1.1.1.4.2 PAYMENT DATA ENTRY PROCESSING

The system shall provide the capability for a qualified user to select payment entry and to fill out the remittance details. The system shall support the required fields as identified by INS. The system shall identify a check or money order that is not signed, is not payable to the INS, not in U. S. currency, or where values do not match. The system shall provide stale date logic (not more than six months for a check and no more than two years for a money order). The system shall provide post date logic enforcing the restriction that the date of a check must be less than or equal to the date of data entry. The system shall provide a mechanism to enter a payment by check, money order, or a combination of the two. Credit cards will be acceptable in a future release. The system shall accept a payment consisting of multiple remittances, such as two checks and a money order. The system shall record a sequence number on the database along with the payment identifier to allow for a single payment with multiple remittances. The system shall print the payment identifier and sequence number on the check to identify it to the system if it is returned from the bank. The system shall use the payment identifier and sequence number on the check to identify the check to the system if it is returned from the bank. The system shall display the payment and the cumulative amount paid as remittances are entered and added to the payment. The system shall allow the user to indicate that a fee waiver has been requested by the applicant. The system shall route the application to a supervisor when a fee waiver has been requested. The system shall insert a blank entry into the remittance table to indicate a missing remittance, where fewer remittances were entered than those accepted in the mailroom (indicating a possible error in mailroom keying).

1.1.1.4.3 APPLICATION DATA ENTRY PROCESSING

The system shall allow N-400 data to be entered. The system shall allow data entry to begin after entering an application identifier if the initial data entry has not occurred. The system shall display the form with any data already entered after entry of an application identifier, if the data entry has previously occurred. The system shall prevent the user from entering a new form or from updating a previously entered form if the application or case is not considered available for data entry. The system shall issue a warning and prevent updates to the data if the case has already been sent to the DO for adjudication.

The system shall capture data from forms as entered by data entry personnel. The system shall check validity and referential integrity, as appropriate, for data entered on an application. The system shall require the applicant's name and mailing address before the application can be accepted. The system shall require the A-Number, date of birth and country of birth before the application can be fully processed. The system shall retrieve attorney data automatically from CLAIMS 4 attorney tables after the attorney identifier is entered and G-28 form is attached.

The system shall accept or suspend an application depending upon the business rules applied during data entry.

The system shall require entry or selection of a valid form type from a pull-down menu for a new application. The system shall in the future require entry or selection of a valid form type and date of revision from a pull-down menu for a new application. The system shall display data entry fields in the sequence as listed on the application, depending upon the form type. For N-400 applications, the system shall provide the capability to capture the basis under which an applicant is applying for citizenship. The system shall provide the following basis of eligibility options for the N-400:

- I have been a permanent resident for at least 5 years
- I have been a permanent resident for at least 3 years, during which I was married to a U. S. citizen
- I am applying on the basis of qualifying military service
- I am a permanent resident child of U. S. citizen parents
- Other

If "Other" is selected, a longer list of reasons is displayed from which the user may select a basis for filing. They are as follows:

- | | |
|------------------------|--|
| • Section 316 (B), INA | Absence due to employment abroad |
| • Section 317, INA | Temporary absence due to religious duties |
| • Section 319 (B), INA | Absence due to spouse's employment abroad |
| • Section 319 (D), INA | Surviving spouse of service-employed citizen |
| • Section 324, INA | Lost citizenship through marriage to an alien |
| • Section 325, INA | Owes permanent allegiance to U. S. |
| • Section 326, INA | Citizen of Philippines |
| • Section 327, INA | Lost citizenship through foreign military duty |
| • Section 330, INA | Service on a U. S. vessel |

The system shall generate an Evidence Check-Off screen, depending on the form type and basis of eligibility. The system shall provide an "Other" button, that when checked produces a text box in which the user may describe any additional evidence that was supplied. The system shall determine if the minimum evidence required has been supplied and shall warn the user that Workflow will suspend the application if it is missing. The system shall allow the user to mark evidence as received or deselect evidence by marking each item or all items on the list. The system shall warn the user if the application has not been marked as signed by the applicant. The system shall warn the user that the application will be suspended when required data are missing from an application.

The system shall allow a user to update applicant information prior to fee reconciliation. The system shall calculate fees as the forms are entered using a fee table that uses the form type as the basis for calculating the fee. The system shall prompt the user to select either fees receipted elsewhere, fee waiver requested, or payment missed, if the total remittances recorded in the

mailroom was zero. The system shall capture data from each form once the information is validated.

The system shall extract data from each form for upload into the RNACS mainframe system. The system shall initiate, through the use of Workflow, a CIS interface to validate data between the mainframe CIS system and the application. The system shall process returns from CIS validation and refer mismatches to Workflow for further resolution. The system shall initiate, through the use of Workflow, an RNACS interface to update the RNACS mainframe system with data on N-400 filings. The system shall accept the application identifier as wanted in or entered from the bar code on the application jacket. The system shall allow the user to search for an application when the application identifier is not known.

The system shall trigger the appropriate notices after data entry including Receipt, Receipt with Suspense, and Receipt with Exception. The system shall trigger the batch production of receipt notices for accepted applications. The system shall trigger the batch production of suspend notices when the evidence is deficient.

The system shall allow data entry of information from I-881 forms including:

From Part One

- A-Number
- Last Name
- First Name
- Middle Name
- Address: C/O
- Address Street 1
- Address Street 2
- City
- State
- Zip Code
- Sex
- Date of Birth
- Country of Birth
- Nationality

From Part Two

- Eligibility indicator (Application Type) -- up to four
 - a. Guatemalan or Salvadoran ABC
 - b. Guatemalan or Salvadoran asylum applicant on or before April 1, 1990
 - c. FSB applicant
 - d. Spouse, child, unmarried son or unmarried daughter of a primary I-881 applicant

If Application Type d is selected,

- - Spouse or parent A-Number
- - Relationship (spouse or parent)

- - Whether spouse or parent applied with INS or Executive Office of Immigration Review (EOIR)

Per annotation at eligibility review

- Attorney ID

The system shall require during data entry of I-881 forms, the A-Number, relationship and filing location (INS or EOIR) of the primary applicant in the event that Application Type d is selected. The system shall warn the user during data entry of I-881 forms that the case will be subject to immediate dismissal, if Application Type d and filing location EOIR have been selected, but only if no other Application Type, ('a', 'b', or 'c',) has been selected. The system shall hold an I-881 application for dismissal in the event that Application Type d and filing location EOIR have been selected, and these fields have not been modified following the warning message. The system shall generate a 2-D bar code representation of the data elements required during data entry of an I-881 form. The system shall provide the capability of entering data from an I-881 form into the system by scanning data from a 2-D bar code, as well as by manual keying. The system shall provide a means of indicating if the required supporting evidence has been submitted with the application. The system shall interface with CIS to verify the A-Number entered from the I-881 form.

1.1.1.4.4 GROUP MANIPULATION PROCESSING

The system shall allow applications to be entered as belonging to groups (such as a family or CBO). The system shall provide a table of CBO information to avoid re-keying the details each time a given CBO is encountered. The system shall assign a unique group identifier to applicant groups. The system shall provide the capability to add applicant groups from the system at any time during the data entry process. The system shall provide the capability to change applicant groups from the system at any time during the data entry process. The system shall provide the capability to dissolve applicant groups from the system at any time during the data entry process. The system shall provide the capability to make groups active or inactive at any time during the data entry process. The system shall mark subsequent applications as belonging or not belonging to the current groups. The system shall link all the current group identifiers with the corresponding application records. The system shall provide the capability to display members of groups. The system shall provide the capability to add or delete from groups interactively.

The system shall provide the ability for the user to identify a group primary person for receipt notification in the case of one payment representing more than one applicant. The system shall determine the primary person by age, using the date of birth indicated on the application, in the event the user does not identify a group primary person for multi-application payments.

1.1.1.4.5 BOUNCED CHECK RECORDING PROCESSING

The system shall provide a mechanism for recording a check presented against insufficient funds (a bounced check) when the notification is received from the bank. The system shall in the future accept electronic transmissions from banks of bounced check data. The system shall mark the applications associated with the affected payment identifier, and place them in "suspend" status, when a bounced check is recorded. The system shall trigger a notice to the applicants (via

Workflow) about the bounced check through the Notices subsystem when the application is suspended because of a bounced check.

1.1.1.4.6 BOUNCED CHECK CORRECTION PROCESSING

The system shall provide a mechanism for recording a corrective payment for a bounced check. The system shall accept corrective payment for a bounced check only by money order. The system shall update the appropriate application with the payment correction information and remove the suspense status from the application.

1.1.1.4.7 INTERFACE PROCESSING

The system shall initiate external background checks and update the Workflow software and CLAIMS 4 status accordingly. The system shall allow unlimited days for FBI background checks. The system shall record the FD-258 card data as processed (inserted into the MRD data files on the CLAIMS 3 server) in support of the transmittal process to the FBI, and update the Workflow software. The system shall provide the capability to record the FD-258 responses as received and update the Workflow and CLAIMS 4 status. The system shall provide for updating CLAIMS 4 database with the correct codes to indicate fingerprints were processed.

The system shall not allow a case to be scheduled until a response has been received from the FBI for the FD258 fingerprint check. The system shall automatically request rescheduling of fingerprint processing the first time an unclassifiable response is received. The system shall allow cases that have returned two consecutive unclassifiable FD258 responses to proceed to interview. The system shall hold cases that have yielded an "immediate reject" response from the FD258 check for further investigation.

The system shall extract data required by the FBI for the G-325A Name/Date of Birth Check and update the CLAIMS 4 database to indicate that this process has completed. The system shall provide the capability to record the G-325A Name/Date of Birth Check responses as received and update the Workflow software. The system shall provide for updating the CLAIMS 4 database with the correct codes to indicate that the G-325A was processed. The system shall automatically upload data for the posting of newly entered N-400 forms to RNACS. The system shall include a flag in the data uploaded to the mainframe RNACS system to prevent further processing.

The system shall in the future provide for a batch update to the attorney information table in PAMS. The system shall provide a table of attorney information to avoid re-keying the attorney address each time a given attorney is encountered. The system shall in the future update CLAIMS 4 attorney tables with attorney identifiers and other attorney data as reflected in other systems on a periodic basis.

The system shall provide the capability to record military forms as provided and update the Workflow software.

The system shall create a request for the A-File using RAFACS and CIS interfaces, when the A-File is not located at the receiving Service Center (SC). The system shall be updated

automatically when the A-File has been received into local RAFACS. (RAFACS will handle requests to retrieve archived A-Files from the FRC, should this be necessary.)

The system shall accept standard formatted records from external systems for scheduling. The system shall notify the originating system of case acceptance. The system shall notify the originating system of case scheduling. The system shall notify the SID mainframe system of case acceptance. The system shall notify the SID mainframe system of case scheduling.

1.1.1.4.8 ZIP CODE MAPPING PROCESSING

The system shall incorporate the proper ZIP code, city, and state information as provided by the U. S. Postal Service. The system shall populate the city and state fields when the user enters the five-digit or full nine-digit ZIP code from the application. The system shall in the future provide a batch cycle to add the plus 4 to the ZIP code when the five-digit ZIP code is entered. In future releases, the system shall provide a batch cycle if there is no ZIP code provided, and shall attempt to add all nine-digits to the record. The system shall in the future generate an error report for those records that could not be successfully converted to the ZIP code plus-4 format. In the future, the system shall set Workflow to return the application to data entry for re-keying where the ZIP code or Case Control Office (CCO) cannot be determined.

The system shall in the future determine the nine-digit extended ZIP code automatically in all cases. In the future, the system shall determine which counties are required to determine court jurisdictions and whose boundaries often do not correspond exactly to five-digit ZIP codes from the ZIP-plus-four fields.

1.1.1.4.9 DATA ENTRY EXIT FUNCTIONS

The system shall determine the adjudication location once the initial data entry is completed for N-400 applications. The system shall determine the adjudication location for suspended N-400 applications more than 87 days old. The system shall in the future print a new bar-code label indicating previous and new adjudication locations when applicable. The system shall determine the adjudication location based on the applicant's residential address. The system shall use the existing CCO table on the RNACS mainframe production system as the basis to determine the office where the application is adjudicated. The system shall forward all completed N-400s and suspended N-400s older than 87 days to the scheduler once the A-File is received in RAFACS, and the background checks are returned or the period for due diligence has elapsed for uncompleted events.

1.1.1.4.10 DATA ENTRY TRACKING AND REPORTING FUNCTION

The system shall allow data to be entered as they are provided by applicants. The system shall update application status automatically, where applicable, when additional evidence or data are provided. The system shall trigger Workflow, where applicable, to take a case out of suspense when the data and evidence requirements are met. The system shall provide an audit trail of all changes made to data. The system shall provide a batch status update to indicate completion of steps to Workflow, CLAIMS 4 Oracle database, and other systems as required.

1.1.1.5 Receipting and Data Entry Outputs

Because of processing the items identified in Section 2.1.1.3, Receipting and Data Entry Inputs, the system shall provide the following outputs to the next step in the process:

- The system shall determine the adjudication location once the initial data entry is completed for N-400 applications.
- The system shall use the existing CCO table on the RNACS mainframe production system as the basis to determine the office where the application is adjudicated.
- The system shall forward all completed N-400 applications and suspended N-400 applications older than 87 days to the automated scheduler once the A-File is received in RAFACS, FBI and other background checks are returned, or the period for due diligence has elapsed for all uncompleted events.
- The system shall determine the adjudication location for suspended N-400 applications that are more than 87 days old.
- The system shall print a new bar-code label indicating previous and new adjudication locations when applicable.

Finance Process Description

Financial processing provides the capability to control the handling of remittances and payments. It provides the capability to audit the receipts of the individual cash boxes associated with the keying stations for payment data entry, and generates the manifests that accompany bank deposits. Paymerge processing matches the payments from successfully audited cash boxes with the applications to which they apply. Additionally, paymerge determines whether proper payment has been received. Applications received with an underpayment, or no payment, remain in a state of suspense until fee requirements are satisfied, while those received with at least the correct fee amount are released for subsequent CLAIMS processing.

1.1.1.6 Cash Box Process Description

Cash box processing requires authorized SC staff to audit the payment transactions entered by the financial clerks and reconcile the actual contents of the cash box with the electronic record. Should any discrepancy be found, the financial clerk, or a designated surrogate, must make appropriate corrections to bring about successful reconciliation. Receipts of the cash boxes that have passed the audit can be included in bank deposit manifests.

1.1.1.7 Paymerge Process Description

After application and payment data entries have been completed, the system must determine whether the remittance sent with the application is correct. Paymerge matches applications with their associated payment information, and calculates whether there was an overpayment or underpayment, or whether the correct fee was sent. The case can be allowed to proceed only if the applicant has satisfied the fee requirements. Applications sent with underpayments, or no payment, must be suspended, and the applicants are notified of the deficiency. Applications with overpayments are allowed to proceed, and the applicants are notified of the overpayment.

1.1.1.8 Finance Processing

The system shall provide a GUI for reconciling and auditing financial receipts. The system shall provide a user interface for paymerge processing to determine whether proper fees have been paid for each application.

1.1.1.9 Cash Box Processing

The system shall provide for the data entry of the bank deposit records. The system shall create a cash box, cash box ID, and a link to the user ID. The system shall allow the user to "close" a cash box, calculating the total number of remittances in the cash box, and the total dollar amount of these remittances. The system shall allow the same user to reconcile a cash box. The system shall display the user's cash box information online, for a given date or by status ("Closed" or "Rejected"). The system shall allow a qualified user to audit cash boxes that are ready for auditing (for example, cash boxes in "Reconcile" status). The system shall allow an authorized user the option of either accepting or rejecting a cash box during cash box audit. The system shall allow the user to update any remittances when the cash box associated with them has not been audited successfully. The system shall allow the user to add remittances to a payment prior to auditing a cash box. The system shall allow an authorized user to assume accountability for a cash box from a financial clerk who is currently unavailable and to return that cash box to an authorized user for auditing.

1.1.1.10 Paymerge Processing

The system shall suspend cases following data entry until the required fee has been received. The system shall check applications that have completed data entry against payments that have passed audit (whether with single or multiple remittances) to determine if minimum fee requirements have been met. The system shall remove the suspend status from a case when fee requirements have been met (including overpayments.) The system shall queue a case for refund processing when an overpayment has been received. The system shall retain a case in suspense if paymerge determines that the fee requirements have not been met.

The system shall provide the ability to allow a grace period when fees are changed, during which either old or new fee rates will be honored. The system shall provide the capability for an authorized user to override N-400 case suspensions for failure to remit fingerprint fees when research has indicated that the fee was legitimately "receipted elsewhere".

1.1.1.10.1 PAYMERGE PROCESSING – FORM I-881

The system shall allow receipting of fees remitted with I-881 forms. The fee shall be \$215 for an individual application, along with a fingerprint processing fee of \$25 for applicants over 14 years old. The system shall allow grouping of individual I-881 applications submitted by members of

the same family for payment control purposes. Family members who may be grouped for purposes of calculating the family cap are:

- Spouse
- Unmarried son
- Unmarried daughter

The system shall enforce a fee cap of \$430 for 2 or more I-881 applications submitted in the same envelope as part of a family group, along with a \$25 fingerprint processing fee for each individual over 14 years old.

1.1.1.11 Pay Group Processing

The system shall determine a "lead applicant" when processing groups of applications covered by a single payment, for refund and underpayment processing.

1.1.1.11.1 PAY GROUP PROCESSING – FORM I-881

The system shall, if the I-881 applicant fees are in excess of the fee amount required for filing an I-881, generate a receipt notice informing the applicant of the overpayment, and shall enforce standard refund processing rules. The system shall enforce standard INS rules for handling underpayments, if I-881 applicant fees are less than the amount required for filing an I-881. The system shall enforce standard INS rules for bounced check processing, when an I-881 applicant's check bounces.

Adjudication Process Description

The system will allow only qualified users identified by the Permissions table to execute functions of the CLAIMS 4 Adjudication subsystem.

1.1.1.12 Adjudication Processing

The system shall display a table-driven list of Adjudication activities as defined in Workflow for which the user has permission. For non-ad hoc Adjudication activities, the system shall allow the user to view the applications in the Workflow queue awaiting the selected activity, displaying application identifier, expected start date, status, and assigned user identifier. For Decision and Supervisory Review activities, the system shall allow the user to view the Workflow queue by office or those assigned to the adjudicator. The system shall allow the user to select an application from the queue as displayed for a given Decision or Supervisory Review activity. The system shall allow the user to enter an application identifier without pre-selecting the activity on which to work. If no activity is pre-selected, the system shall display the activity for which the application is waiting, and the choice of activities for which the application can be opened. If the application is being processed by another user (as determined by Workflow), the system shall allow the user to only open the application in read-only mode. The system shall allow the user to open the application for one activity or work on another while the application continues without retrieving the application data again. The system shall allow the user to move smoothly from one adjudication activity to the next as established in the Workflow process, informing Workflow of the progress. If the activity has been assigned to a particular adjudicator, the system will warn the user that the case has been assigned to that adjudicator.

The system shall provide an indication when an FBI (FD-258) response override has occurred. The system shall allow authorized personnel to override the FBI (FD-258) response. The receipting system shall prompt the authorized user to enter an explanation each time the FBI (FD-258) response is overridden. The values for the FBI (FD-258) override explanations shall be:

- The applicant was identified in the national FD-258 database. The FBI control number from the national FD-258 database to verify this finding is (#####). (A 10-character text-box to note the FBI control number.)
- Other. (A text box of up to 80 characters for noting the explanation.)

1.1.1.12.1 CASE REVIEW FUNCTION

The system shall provide a GUI for the Case Review function. The system shall allow the adjudicator to view all application data included on the submitted form as data entered at the SC. The system shall allow the adjudicator to update any application data included on the submitted form, subject to validation rules as established by the INS. The system shall display and indicate evidence that is considered to be required per submitted form. The system shall provide the capability to display background check status as appropriate to the specific type of background check.

The system shall provide the capability to display and indicate status of evidence as “not received”, “received”, “waived”, or “requested”. The system shall provide the capability to display and indicate status of background checks as “not received”, “received”, “waived”, or “requested”. The system shall highlight the missing data required for certificate production. The system shall indicate suspicious data when eligibility questions and answers are displayed, by showing expected answers per submitted data along with applicant answers.

The system shall provide the capability to view all submitted applications associated with a specific applicant. The system shall provide the capability to view all submitted applications that have last and first names similar to the specific applicant. The system shall provide the capability to work on more than one application at a time. The system shall in the future provide the capability to indicate suspicious applications when all applications associated with the applicant are displayed.

The system shall provide the means to conduct a post-adjudication case review after the A-File is received. The system shall provide the capability for the adjudicator to invoke the Scheduler subsystem to schedule a Q&A session. The system shall update CIS when the adjudicator modifies data by invoking the Interfaces component. The system shall provide the adjudicator with the capability to request a new certificate by invoking the Certificate Generation subsystem when a name or A-Number is changed after a Naturalization Certificate has been printed.

The system shall inform Workflow of any data change activity within the Adjudication Case Review function. The Workflow subsystem shall record data change activities within the Adjudication Case Review function as “history”. The system shall reflect changes in the current residential address on both the Address and Residential tabs regardless of where the change was entered. The system shall update the list of evidence as data changes are made. The system shall

display required evidence by form type and evidence. The system shall allow the adjudicator to request evidence for a person other than the applicant. The system shall assume that the individual for whom evidence is being requested is the last person specified. The system shall alert the adjudicator when he/she requests the same type of evidence twice for the same person. The system shall allow the adjudicator to refresh the evidence list after updates so that the display order is maintained. The system shall allow the adjudicator to view either those evidences for which there is status or all types of evidences. The system shall in the future allow the adjudicator to update the status of the A-File by checking RAFACS online through the Interfaces subsystem. The system shall in the future allow the adjudicator to indicate his/her preference to have the RAFACS check of the A-File done automatically or upon request. The system shall allow the adjudicator to display the application history and current Workflow activities. The system shall in the future allow the adjudicator to display local RAFACS A-File location. The system shall in the future allow the adjudicator to display the national RAFACS A-File location. The system shall in the future allow the adjudicator to indicate preference to have the RAFACS A-File location be included in the history display.

1.1.1.12.2 EXAMINATION FUNCTION

The system shall provide a GUI for the examination process. The system shall provide the capability to display and update examination results. The system shall provide the capability for the adjudicator to enter information on examinations results conducted by certified testing organizations. The system shall provide the capability for the adjudicator to identify the authorized tester and to indicate the adjudicator's evaluation of the accuracy of the tester's rating of the applicant's proficiency.

The system shall provide the capability to generate a random N-400 exam from the INS master list for use by the examiner. The system shall allow the adjudicator to regenerate an entire N-400 exam, but not to delete any particular examination question. The system shall display correct answers for those questions that have well known answers and do not rely on the location where the applicant resides or where the examination is given. The system shall allow the adjudicator to resolve discrepancies in the system's answer evaluation, if necessary. The system shall calculate N-400 civics/history examination scores based on the answers entered by the adjudicator and on his/her resolution of any discrepancies. The system shall provide the ability for the adjudicator to save the examination given to each N-400 applicant, including the questions asked and the answers given. The system shall provide the capability to enter the civics/history exam requirements as waived on the evidence list, warning the adjudicator if the N648 evidence is not indicated as received. The system shall in the future provide the capability for the adjudicator to invoke the Scheduler subsystem to schedule a reexamination during the interview process.

The system shall inform Workflow of any data change activity within the Adjudication Examination function. The Workflow subsystem shall record data change activities within the Adjudication Examinations function as "history". The system shall allow the adjudicator to view a list of all prior examinations with their associated results for the specific application. The system shall allow the adjudicator to select from the list of prior examinations and view the specific details of the exam.

1.1.1.12.3 SUPERVISORY REVIEW ADJUDICATION FUNCTION

The system shall provide the capability to hold a Secondary Adjudication for applications for which a Supervisory Review was requested. The system shall allow the supervisor to confirm the decision to deny or remand (reverse) this decision. When confirming, the system shall allow the supervisor to send the decision back to the original adjudicator, send to another reviewer, place the decision on hold for later processing, or make the decision final. When remanding, the system shall allow the supervisor to send the decision back to the original adjudicator, send to another reviewer, or make a new decision. The system shall allow the supervisor to update any application data included on the submitted form, subject to validation rules as established by the INS. The system shall allow the supervisor to view a list of all prior decisions with their associated results for the specific application. The system shall allow the supervisor to select from the list of prior decisions and view the specific details of the decision. The system shall in the future allow the supervisor to wand in batches of application decisions after review and after reverification.

1.1.1.12.4 DECISION PROCESS FUNCTION

The system shall provide a GUI interface for the Decision process. The system shall provide the capability to approve, continue with intent to deny, deny/terminate, or continue the application. The system shall inform Workflow of the results of the Decision process. The system shall allow the adjudicator to place the decision on hold for later processing, to send for supervisory review, or to make the decision final. If the adjudicator does not make a decision, the system shall allow the "Data Change" save option, in which case the decision activity is canceled and a Case Review activity is inserted as complete with data changes. The system shall allow an adjudication clerk to enter the decision data post-decision for an adjudicator.

The system shall allow the adjudicator to indicate the complexity of the application. The system shall provide the capability for the adjudicator to add, review, and update comments about the decision. The system shall display data that are considered to be "required". The system shall display the Review Cycle history of the decision. The system shall allow the adjudicator to update any application data included on the submitted form, subject to validation rules as established by the INS. The system shall allow the adjudicator to view a list of all prior decisions with their associated results for the specific application. The system shall allow the adjudicator to select from the list of prior decisions and view the specific details of the decision. If an attorney is associated with the application, the system shall require the adjudicator to indicate or waive his/her presence at the interview. If the attorney's presence at the interview is waived, the system shall print a hard copy of the waiver for the applicant to sign. The system shall provide a menu option to print an attorney waiver after the interview.

1.1.1.12.5 APPROVAL

The system shall prevent the adjudicator from approving an application when any required data are missing or when there are discrepancies that are considered critical and need to be resolved (as specified by INS per form type). In the event that the A-File has not been received and no supervisory review has been done on the application, the system shall not allow the "Adjudication Complete" save option.

The system shall prevent the adjudicator from granting naturalization when an N-400 applicant's G325A name-search has returned an 'indices popular' response (a 'hit'), so that he/she must check the A-file for the proper disposition of the candidate rap sheet(s). The system shall provide the capability for the adjudicator to release a block on granting of naturalization that is due to a hit on the G325A FBI name check, when he/she has determined that this does not constitute grounds for denial. The system shall require the adjudicator, when releasing a block on naturalization due to G325A FBI name check results, to indicate the reason for the override as one of the following:

- a- "Results not related to applicant"
- b- "Results reviewed – no derogatory evidence determined"
- c- "Other", with a text box for entering specific details.

The system shall prevent the adjudicator from granting naturalization when the G325A FBI name check has been requested and no response has been received from the FBI, unless 45 full days have elapsed since the date the request was sent.

The system shall update the application as approved and inform Workflow of the result when the adjudicator successfully approves the application.

The system shall provide the capability for the applicant to request a judicial or administrative Oath Ceremony (list only). The system shall display information indicating if a judicial or administrative Oath Ceremony is possible based on the Office Profile (Rules).

In the event that there is an arrest record and no supervisory review has been done on the application, the system shall not allow the "Adjudication Complete" save option. In the event there is an N648 attached and no supervisory review has been done on the application, the system shall not allow the "Adjudication Complete" save option. The system shall alert the adjudicator when there are discrepancies that are considered noteworthy, but not critical, (as specified by INS per form type,) when the approval function is chosen. Based on form type and approval choice selected, the system shall display an appropriate list of notice paragraphs from which the adjudicator may choose (no approval paragraphs are necessary for N-400 forms). The system shall display a list of approval choices as specified by INS. The system shall display the approval choice list in a prioritized fashion based on form type.

The system shall ensure that every decision to grant naturalization to an N-400 applicant is subject to a "Grant Verification" procedure before the applicant is scheduled for an oath ceremony. The system shall prevent interactive reverification (through the Adjudication subsystem) of a decision to approve an N-400 application by the same user who issued the approval.

1.1.1.12.6 CONTINUANCE WITH INTENT TO DENY

The system shall display a list of valid reasons for continuing with the intent to deny which can be adjusted in response to changes in applicable laws and regulations. The system shall provide capability to select multiple reasons for continuance with intent to deny. The system shall alert the adjudicator if a reason is chosen that does not match the current application data or status.

The system shall allow the adjudicator to enter the specific "other" reason if "Other (specify)" is chosen in the "Notes" area. The system shall provide the capability for the adjudicator to review and confirm the reasons chosen.

The system shall update the application as "continued with intent to deny" and inform Workflow, when the adjudicator successfully selects the "Continuance with Intent to Deny" function. The system shall display a list of "Continue With Intent to Deny" Notice paragraphs, based on form type, from which the adjudicator may choose. The system shall provide the capability to preview the paragraph template before final selection during the notice selection process. The system shall provide the capability to customize continuance with intent to deny notices. The system shall provide the capability to print a continuance with intent to deny notice immediately. The system shall print two copies of the final "Continue with Intent to Deny" notice in final format, when the "Adjudication Complete" option is chosen upon saving. If an attorney is attached, the system shall generate one copy of the final "Continue with Intent to Deny" notice for the attorney with a copy to the applicant, and one for the applicant with a copy to the attorney.

1.1.1.12.7 DENIAL/TERMINATION

The system shall display a prioritized list of denial/termination choices based on form type. The system shall display a list of valid reasons for denial/termination that can be adjusted in response to changes in applicable laws and regulations. The system shall provide the capability to select multiple denial reasons. The system shall alert the adjudicator when the reason chosen does not match the current application data or status. The system shall allow the adjudicator to enter the specific "other" reason if "Other (specify)" is chosen in the "Notes" area. The system shall provide the capability for the adjudicator to review and confirm the reasons chosen.

The system shall update the application as denied/terminated when the adjudicator selects the Denial Termination function, and shall inform Workflow, which inserts an appropriate Workflow history record. The system shall display a list of denial notice paragraphs from which the adjudicator may choose, based on form type. The system shall provide the capability to preview the denial/terminate paragraph template before final selection during the notice selection process. The system shall provide the capability to customize denial/termination notices. The system shall provide the capability to print a denial notice immediately.

The system shall not allow the "Adjudication Complete" save option when the "Denial/Terminate" function is selected, in the event that the A-File has not been received and no supervisory review has been done on the application. The system shall not allow the Adjudication Complete save option when the "Denial/Terminate function is selected, in the event that there is an arrest record and no supervisory review has been done on the application. The system shall not allow the "Adjudication Complete" save option when the "Denial/Terminate" function is selected, in the event there is a N648 attached and no supervisory review has been done on the application. The system shall print two copies of the final denial notice in final format when the "Adjudication Complete" option is chosen upon saving. The system shall generate one copy of the final denial notice for the attorney with a courtesy copy to the applicant, and one for the applicant with a courtesy copy to the attorney if an attorney is attached.

The system shall provide an option to print a record of withdrawal if the "Withdrawal" option is chosen. The system shall provide an option to print a record of termination due to Lack of Prosecution or due to Missed Interview if the "Terminate" option is chosen.

1.1.1.12.8 CONTINUANCE

The system shall display a list of continuance reasons arranged depending on the actions taken by the adjudicator and the status of the application. The system shall allow the adjudicator to select one or more of the following 'Currently Missing Evidence' continuance reasons for an N-400, indicating to whom the evidence applies (e.g. applicant, dependent):

- Photographs
FD258 Fingerprint Card
I551 Alien Registration Card
- Evidence of Exam Passed

The system shall allow the adjudicator to select one or more of the following "Initial Processing Incomplete" continuance reasons for an N-400:

- Resolution of Another Application
Outcome of Background Investigation
Receipt of Arrest Record or Court Disposition
Continuance for Further Information – G325A
- Other (Add notes)

The system shall allow the adjudicator to select one or more of the following "Other" continuance reasons for an N-400:

- Interview Needed due to Missed Interview (No Show)
Need for Question and Answer Session
Need for an Interpreter
Unable to Speak, Read, Write English
Need for N400 Civics/History Re-Exam
- Lack of Knowledge

The system shall provide the capability to select multiple continuance reasons. The system shall alert adjudicator if reasons chosen do not match the current application data or status. The system shall provide the capability for the adjudicator to review and confirm the reasons chosen. The system shall update the application as continued when the adjudicator successfully selects the Continuance function, and shall inform Workflow, which inserts an appropriate Workflow history record. The system will compile a "Continuance" notice based on the reasons chosen. The system shall provide the capability to preview "Continuance" notices. The system shall provide the capability to customize "continuance" notices.

The system shall provide capability to print "Continuance" notices immediately. When the "Adjudication Complete" option is chosen upon saving, the system shall print two copies of the "Continuance" notice in final format. The system shall generate one copy of the continuance

notice for the attorney with a copy to the applicant, and one for the applicant with a copy to the attorney, if an attorney is attached.

1.1.1.12.9 APPEAL DECISION FUNCTION

The system shall provide a GUI interface for the Appeal Decision function. The system shall display a list of appeal decision choices from which the adjudicator may choose. The system shall display the appeal decision choice list in a prioritized fashion based on form type. The system shall update the application status appropriately and insert an appropriate appeal decision history record. The system shall inform Workflow of the results of the "Appeal Decision" process.

1.1.1.12.10 RECONCILIATION FUNCTION

The system shall provide a GUI interface for the Reconciliation function. The system shall in the future provide the capability to reconcile the current application to a person already defined in the Oracle database. The system shall in the future provide the capability to create a new person in the Oracle database. The system shall in the future provide the adjudicator with the capability to reconcile any detachments when changing an A-Number. The system shall in the future update CIS with A-Number changes by invoking the Interfaces component.

1.1.1.12.11 INTERVIEW DECISION

The system shall provide a GUI interface for the "Interview Decision" function. The system shall provide the capability to request a new interview for those applications awaiting Interview Decision. The system shall display a list of Interview sites from which to choose if the adjudicator requests a new interview be scheduled. The system shall provide the capability to enter information on specifically requested interview sites within the Interview Decision activity. The system shall provide the capability to make a decision by invoking the Decision Process function for those applications awaiting Interview Decision. The system shall inform Workflow when an interview has been requested or a decision has been made.

1.1.1.12.12 OATH CEREMONY DECISION

The system shall provide a GUI interface for the Oath Ceremony Decision function. The system shall provide the capability to request a new oath ceremony for those applications awaiting Oath Ceremony Decision. The system shall display a list of potential Oath Ceremony sites, based on applicant residential address, from which to choose if the adjudicator requests a new oath ceremony. The system shall provide the capability to enter information on specifically requested oath ceremony sites within the Oath Ceremony Decision activity. The system shall provide the capability to make a decision by invoking the Decision Process function for those applications awaiting Oath Ceremony Decision. The system shall provide the capability to place the application in a Motion to Reopen and Reconsider status, as a result of the Decision Process function. The system shall inform Workflow that an oath ceremony has been requested, that the application has been placed in Motion to Reopen and Reconsider status, or that a decision has been made.

1.1.1.12.13 CASE STATUS INTERFACE

The system shall provide a GUI interface from Adjudication to the Case Status Subsystem. The system shall provide the capability to search for applications using the Case Status subsystem from within Adjudication by specifying search criteria. The system shall provide the capability to open selected applications on the list returned by the Case Status query. The system shall provide the capability to display an application summary through the Case Status subsystem on an application selected from the list returned by the query.

1.1.1.12.14 ADMINISTRATIVE CLOSE-OUT

The system shall provide functionality for an authorized user in the DO to administratively close a case based on an applicant's failure to appear for an N-400 interview. The system shall provide the option to administratively close a case thirty (30) days after the first date the applicant fails to appear for an N-400 interview. The system shall provide the functionality to denote the applicant's failure to appear for an N-400 interview as the reason for administratively closing the case. The system shall provide the functionality for cases to be administratively closed. The system shall provide the functionality for cases to be administratively closed in interactive mode. The system shall generate a notice advising an N-400 applicant when his/her application has been administratively closed. The system shall provide the functionality for an N-400 case to be reopened with the same application identification number within one year of the administrative close date. The system shall capture and store date and time stamp information regarding an applicant's written request to reopen an N-400 case. The system shall generate a notice advising an N-400 applicant when his/her case has been reopened and indicating the next course of action for the applicant (that is, fingerprinting or interview). The system shall calculate new naturalization eligibility criteria for a reopened N-400 case, based on the date it is reopened, using:

- date of physical presence
- dates of travel
- moral character
- validity of fingerprints

The system shall provide the ability to apply standard jurisdiction processing rules to an N-400 case that has been administratively closed. The system shall provide the functionality for an N-400 case to be dismissed one year after the case has been administratively closed, provided the applicant has not submitted a written request for the case to be reopened. The system shall provide an on-line indicator of N-400 cases eligible to be administratively closed. The system shall provide an on-line indicator of N-400 cases eligible to be dismissed.

1.1.1.12.15 CHANGE OF ADDRESS DATA ENTRY

The system shall provide a GUI for the data entry of change of address requests. The system shall, when a change of residential address is processed for an applicant, determine if this results in a change of jurisdiction. The system shall warn INS staff entering change of address data when this results in jurisdiction changes, and shall give them the option of backing out the transaction. The system shall automatically assign cases with foreign residential addresses to designated local offices, (CHI, MIA, NYC, or LOS,) depending on the SC processing them.

The system shall reschedule an applicant for fingerprint processing at a different ASC, when an applicant change of address results in a change of ASC jurisdiction, and is processed before a fingerprint card has been received for that applicant. The system shall cancel a fingerprint rescheduling process when a fingerprint card is received at the SC, and the applicant is in the process of being rescheduled due to change of jurisdiction. The system shall reschedule a pending interview to a new INS location when an applicant change of address is processed, only if the INS administrative office changes. The system shall reschedule a pending oath ceremony at a new INS location when an applicant change of address is processed, only if the INS administrative office or the court changes. Whenever a case is rescheduled for fingerprint processing, interview, or oath ceremony, due to change of jurisdiction, the system shall provide a means of canceling the previous appointment. The system shall generate a 'Notice of Fingerprint Rescheduling' to be sent to the applicant and, if applicable, his representative whenever a case is rescheduled for fingerprint processing, interview, or oath ceremony due to change of jurisdiction. The system shall indicate in the initial N-400 receipt notice for cases with foreign residential addresses that, unless the applicant requests otherwise, the interview and oath will be performed at the default location for that SC. The system shall provide authorized SC staff with the ability to reassign the jurisdiction of N-400 applicants with foreign residential addresses, so that they may respond to applicant requests for interviews at locations other than the default. The system shall provide a means of notifying file room staff to ship the applicant's A-file/T-file to the FCO associated with the new jurisdiction whenever a case is rescheduled for interview or oath ceremony due to change of jurisdiction.

Case Management Process Description

Claims Case Management comprises support for two major processing functions – problem resolution and batch update procedures required for several of the evidence tracking tasks

1.1.1.13 Claims Resolution Process Description

An N-400 can be processed only if it is associated with a valid A-Number, all required data are provided, and a residential address is provided. If any of these conditions are not met, the application must be reviewed and the deficiency resolved by authorized SC staff.

1.1.1.14 Batch Status Update Process Description

Case status updates occur at various points in the application processing cycle. When background checks are requested through manual processes (for example, military checks), a means of recording this is required. Similarly, when results of such checks are returned, they must be entered into the system along with results of oath ceremonies. For convenience, these are made available under a single GUI, with the essential function of allowing batch status updates. This GUI groups the various update options under four major functions.

1.1.1.15 Claims Resolution Processing

The system shall prevent scheduling of N-400 interviews if the following data are not provided: last name, date of birth, country of birth, permanent resident date, street number, street name, city, state, county, and ZIP code. The system shall prevent the retrieval of the applicant A-File and subsequent processing, when no A-Number has been provided, until a valid A-Number is

found or assigned. The system shall prevent the retrieval of the applicant's A-File and subsequent processing, when the A-Number with the application has not been encountered in CIS, until a valid A-Number is found or assigned. The system shall prevent the retrieval of the application A-File and subsequent processing, when the A-Number supplied with the application has been found in CIS associated with other personal information (date of birth).

The system shall provide the capability for authorized staff to identify the cases for their location that are awaiting resolution of required data deficiencies and/or problematic A-Numbers. The system shall allow authorized staff to select individual cases awaiting resolution for further research. The system shall allow authorized staff to list the following fields in addition to the A-Number and Application ID:

- Last name
- First name
- Middle name
- Date of birth
- Country of birth
- Permanent resident date
- Street number
- Street name
- City
- State
- County
- ZIP code

The system shall allow authorized staff to list from the application and from CIS, for comparison, along with CIS query date:

- A-Number
- Last name
- First name
- Middle name
- Date of birth
- Country of birth
- Permanent resident date
- Address fields

The system shall allow authorized staff to correct data in the application when they are satisfied that it is in error. The system shall allow authorized staff to indicate that data deficiencies or CIS discrepancies have been resolved.

1.1.1.15.1 PROBLEM RESOLUTION PROCESSING – I-881

The system shall hold an I-881 case for A-Number resolution, in the event that the CIS response indicates that the A-Number was not found. The system shall hold an I-881 case for A-Number resolution, in the event that the personal information in the application does not match that returned by the CIS system for the A-Number provided. The system shall provide a means for SCstaff to identify and review I-881 cases with apparently invalid A-Numbers. The system shall

allow the SC staff to indicate the manner in which each discrepancy or deficiency in I-881 A-Number information is resolved. The system shall allow the SC staff to assign a new A-Number to an I-881 when it is determined that the applicant does not already have one.

1.1.1.16 Batch Status Update Process Description

Case status updates occur at various points in the application processing cycle. When background checks are requested through manual processes (for example, military checks), a means of recording this is required. Similarly, when results of such checks are returned, they must be entered into the system along with results of oath ceremonies. For convenience, these are made available under a single GUI, with the essential function of allowing batch status updates. This GUI groups the various update options under four major functions.

1.1.1.16.1 BATCH STATUS UPDATE PROCESSING

The system shall provide a GUI for the "Batch Update" sub-function under the "Batch Status Update" function. The system shall provide a GUI for the "Close Out Case" sub-function under the "Batch Status Update" function. The system shall provide a GUI for the, "No Show" subfunction under the "Batch Status Update" function. The system shall provide a GUI for the, "Certificate Withheld" sub-function under the "Batch Status Update" function.

1.1.1.16.2 CLOSE OUT CASE PROCESSING

The system shall provide the capability to perform an administrative close out as a sub-function of Close Out Case. The system shall provide the capability to perform a judicial close out as a sub-function of Close Out Case. The system shall provide the capability of selecting an Oath Ceremony for close out by specifying its date, location, room and time (Oath Ceremony). The system shall update the appropriate status in the appropriate databases for a closed-out ceremony. The system shall allow selection of cases for close out update by entering either the A-Number or the Application ID. The system shall maintain information on naturalization date to be used to update the CIS following "Close Out Case" for naturalized cases.

1.1.1.16.3 NO SHOW PROCESSING

The system shall provide the capability to record oath ceremony no-shows under "No-Show". The system shall provide the capability to record interview no-shows under No-Show. . The system shall allow the user to enter cases to record no-show status by A-Number or by Application ID. The system shall display the Application ID, form number, last name, first name and date of birth of each individual to be marked as no-show.

1.1.1.16.4 CERTIFICATE WITHHELD PROCESSING

The system shall provide the ability to enter a case status of "Oath Administered – Certificate Withheld" under the "Certificate Withheld" function. The system shall provide the ability to enter a case status of "Oath Not Administered - Certificate Withheld" under the "Certificate Withheld" function . The system shall allow the user to enter the A-Number, the Certificate number, or the Application ID for the cases to be updated with Certificate Withheld statuses.

1.1.1.16.5 BATCH UPDATE PROCESSING

The system shall provide the following major functions under Batch Update: Fingerprint/Agency Checks Requested, Fingerprint/Agency Checks Received, Evidence Received, Case Management, and Information Received.

1.1.1.16.6 BATCH UPDATE PROCESSING

The system shall provide the ability to perform a "Fingerprint/Agency Checks Requested" function under "Batch Update" processing. The system shall provide the ability to perform a "Fingerprint/Agency Checks Received" function under "Batch Update" processing. The system shall provide the ability to perform an "Evidence Received" function under "Batch Update" processing. The system shall provide the ability to perform a "Case Management" function under "Batch Update" processing. The system shall provide the ability to perform an "Information Received" function under "Batch Update" processing.

1.1.1.16.7 FINGERPRINT/AGENCY CHECKS REQUESTED FUNCTION

The system shall provide the capability to update status in the "FBI Fingerprint Check Requested" option under the "Fingerprint/Agency Checks Requested" function. The system shall provide the capability to update status in "Military Check Requested" option under the "Fingerprint/Agency Checks Requested" function. The system shall provide the capability to initiate a G325B check.

1.1.1.16.8 FINGERPRINT/AGENCY CHECKS RECEIVED FUNCTION

The system shall provide the capability to update case status as "FBI Fingerprint Check Received". The system shall provide the capability to update case status as "Military Check Received". The system shall provide the capability to update case status as "G325B Check Received". The system shall provide the capability to update case status as "FBI G-325A Name Check Received".

1.1.1.16.9 EVIDENCE RECEIVED FUNCTION

The system shall allow the user to record that a form N-426 has been submitted by the applicant. The system shall allow the user to record that a FD-258 fingerprint card has been received for the applicant.

1.1.1.16.10 CASE MANAGEMENT FUNCTION

The system shall provide the capability to update that a rap sheet has been placed in the A-File. The system shall provide the capability to indicate that information has been received from the applicant concerning a previous motion to reopen decision. The system shall provide the capability to update case status in the "Request to Reschedule Interview Received" option under the "Information Received" function. The system shall provide the capability to update the case with "Requested Interview No Show" information. The system shall provide the capability to indicate that the Naturalization Certificate has been issued. The system shall provide the capability to indicate that a "Reverify Grant" has taken place successfully. The system shall require an override prior to reverifying a decision to grant naturalization to an N-400 applicant (thus allowing oath ceremony scheduling,) if an override has been required prior to interview. The system shall prevent reverification through the Batch Status Update subsystem of a decision to approve an N-400 application by the same user who issued the approval. The system shall

allow the user to review fee waiver requests. The system shall allow the user to record that a request to reopen the decision has been received. In the future the system shall provide the functionality for cases to be administratively closed in batch mode.

1.1.1.16.11 INFORMATION RECEIVED FUNCTION

The system shall allow the user to record that a request for withdrawal of an application has been received.

1.1.1.16.12 INTERFACE FUNCTIONS

The system shall record the FBI cards task as begun or completed in Workflow by invoking the Workflow component. The system shall record the military forms task as begun or completed in Workflow by invoking the Workflow component. The system shall record the FBI G-325A Name Check task as begun or completed in Workflow by invoking the Workflow component. The system shall inform Workflow of the end condition of case close out. The system shall provide a means of expediting and delaying (changing priority) an application in Workflow by invoking the Workflow component.

1.1.1.16.13 CHANGE OF ADDRESS DATA ENTRY

The system shall provide a GUI for the data entry of change of address requests. The system shall, when a change of residential address is processed for an applicant, determine if this results in a change of jurisdiction. The system shall warn INS staff entering change of address data when this results in jurisdiction changes, and shall give them the option of backing out the transaction. The system shall automatically assign cases with foreign residential addresses to designated local offices, (CHI, MIA, NYC, or LOS,) depending on the SC processing them.

The system shall reschedule an applicant for fingerprint processing at a different ASC, when an applicant change of address results in a change of ASC jurisdiction, and is processed before a fingerprint card has been received for that applicant. The system shall cancel a fingerprint rescheduling process when a fingerprint card is received at the SC, and the applicant is in the process of being rescheduled due to change of jurisdiction. The system shall reschedule a pending interview to a new INS location when an applicant change of address is processed, only if the INS administrative office changes. The system shall reschedule a pending oath ceremony at a new INS location when an applicant change of address is processed, only if the INS administrative office or the court changes. Whenever a case is rescheduled for fingerprint processing, interview, or oath ceremony, due to change of jurisdiction, the system shall provide a means of canceling the previous appointment. The system shall generate a 'Notice of Fingerprint Rescheduling' to be sent to the applicant and, if applicable, his representative whenever a case is rescheduled for fingerprint processing, interview, or oath ceremony due to change of jurisdiction. The system shall indicate in the initial N-400 receipt notice for cases with foreign residential addresses that, unless the applicant requests otherwise, the interview and oath will be performed at the default location for that SC. The system shall provide authorized SC staff with the ability to reassign the jurisdiction of N-400 applicants with foreign residential addresses, so that they may respond to applicant requests for interviews at locations other than the default. The system shall provide a means of notifying file room staff to ship the applicant's A-file/T-file to the FCO

associated with the new jurisdiction whenever a case is rescheduled for interview or oath ceremony due to change of jurisdiction.

Scheduler Process Description

Scheduling is a central function of the benefits processing system. The scheduler will normally be invoked in N-400 processing to assign appointments at three points: during initial processing, when a fingerprint processing appointment must be made at an ASC; following completion of initial processing at the service center, when an interview must be scheduled at a local office; and following approval, when an oath ceremony must be scheduled. In addition, any case may require the capability to schedule reinterviews or Question and Answer (Q&A) sessions, to respond to applicant requests for cancellation, to deschedule if other circumstances demand it, to reschedule. Users must be able to indicate when the scheduled events have been completed, or when no-shows occur, so that the case can proceed to subsequent Workflow steps.

To automate the scheduling process, the user must be provided with a means of specifying local profile parameters that control the assignment of staff and locations for scheduled events. The scheduler, running in batch mode, can then refer to these in assigning appointments for the individual applicants. Interactive scheduling capabilities must also be provided so that adjudicators can respond appropriately to the special needs of each case. Group management functions are required to accommodate groups of applicants that it would be beneficial to schedule in contiguous appointment slots, such as members of a single family. Once an event has been scheduled, the system must ensure that an appropriate notice is generated for mailing to the applicant. Operational and management reports are also required to assist adjudicators and file room staff in completing the interviews and oath ceremonies, and in identifying cases that need special attention.

1.1.1.17 Scheduler Processing

The system shall provide a GUI for the Scheduler function. The system shall provide the capability to schedule cases for interviews. The system shall provide the capability to schedule cases for oath ceremonies. The system shall provide the capability to schedule cases for fingerprint processing. The system shall schedule fingerprint sessions based on a prioritization scheme. The system shall require an adjudicator to use the "Cancel" or "Deschedule" function once an applicant is scheduled if the goal is to prevent the applicant from appearing for an interview. The system shall display a warning message to prevent an applicant that has exceeded a predetermined number of missed scheduler events from being scheduled.

The system shall prevent interview and oath ceremony scheduling of naturalization cases with expired fingerprints. The system shall prevent oath ceremony scheduling when the fingerprint results will have expired by the oath ceremony date. The system shall provide the ability to distinguish rescheduled appointments for fingerprint processing, so that the originating systems can track them. The system shall in the future reschedule applicants and petitioners for fingerprint processing at the ASC when the original appointment results in the applicant or petitioner fingerprint cards (FD-258 form) being returned to the INS as unclassifiable. The system shall allow an applicant to be scheduled for interview when the fingerprint card has been

returned twice as unclassifiable. The system shall reschedule an applicant for fingerprint processing when his/her change of address results in a jurisdiction change, if the fingerprint card for that applicant has not already been received. The system shall cancel a fingerprint rescheduling process initiated due to change of jurisdiction if a fingerprint card for that applicant is received at the SC. The system shall reschedule a pending interview when a change of address is received only if the INS administrative office changes. The system shall reschedule a pending oath ceremony when a change of address is received only if the INS administrative office or the court changes. The system shall provide a means of canceling previously scheduled appointments whenever a case is rescheduled for fingerprint processing, interview, or oath ceremony, due to change of jurisdiction. The system shall provide the functionality for a reopened N-400 case to be interactively or batch scheduled for fingerprints in the event the applicant's fingerprints have expired.

1.1.1.17.1 SCHEDULER PROFILE SETUP FUNCTION

The system shall provide the capability to maintain Number of Officers per Section under the Interview Office profiles. The system shall provide the capability to maintain Scheduling Sites Under an Office under the Interview Office profiles. The system shall provide the capability to maintain Interview Locations Under a Scheduling Site under the Interview Office profiles. The system shall provide the capability to maintain rooms for an interview location under the Interview Office profiles. The system shall provide the capability to maintain Sections for a Room. The system shall provide the capability to maintain Section Profile for a Room. The system shall provide the capability to maintain Service Type Profile under the Scheduling Site profiles. The system shall provide the capability to maintain Section Exception Profile. The system shall provide the capability to maintain oath ceremony or Fingerprint sites under an Office profile associated with oath ceremonies or fingerprinting. The system shall provide the capability to maintain Facilities Under a Site profile associated with Oath Ceremonies. The system shall provide the capability to maintain Rooms for a Facility associated with Oath Ceremonies. The system shall provide the capability to maintain Facility – Room profiles. The system shall provide the capability to maintain the Gate profile under a room. The system shall provide the capability to maintain Exception profiles associated with Oath Ceremonies.

The system shall automatically schedule N-400 interviews at specified default locations when processing cases with foreign residential addresses:

- A. in Chicago (CHI) for cases receipted at Nebraska Service Center (NSC),
- B. in Miami (MIA) for cases receipted at Texas Service Center (TSC),
- C. in New York City (NYC) for cases receipted at Vermont Service Center (VSC),
- D. in Los Angeles (LOS) for cases receipted at California Service Center (CSC).

1.1.1.17.2 BATCH SCHEDULING FUNCTION

The system shall provide automated scheduling of the pool of applicants ready for scheduling. The system shall provide the capability to initiate batch scheduling of individuals for examinations (interviews). The system shall provide the capability to initiate batch scheduling of individuals for reexaminations. The system shall provide the capability to initiate batch scheduling of individuals for a Q&A session. The system shall provide the capability to initiate batch scheduling of individuals for oath ceremonies. The system shall provide the capability to

initiate batch scheduling of individuals for fingerprint processing. The system shall provide the capability to create time pools for interviews. The system shall provide the capability to create time pools for Q&A sessions. The system shall provide the capability to create slots for oath ceremonies. The system shall provide the capability to add time slots for interviews for additional future days. The system shall provide the capability to add time slots for Q&A sessions for additional future days. The system shall provide the capability to add time slots for Oath Ceremonies for additional future events. The system shall provide the capability to remove slots from the time pool for interview as individuals are scheduled. The system shall provide the capability to remove slots from the time pool for Q&A sessions as individuals are scheduled. The system shall provide the capability to remove slots from the time pool for oath ceremonies as individuals are scheduled. The system shall provide the capability to create simple queues for interviews via the interactive place-in-queue function. The system shall provide the capability to create simple queues for Q&A Sessions via the interactive place-in-queue function. The system shall provide the capability to create simple queues for oath ceremonies via the interactive place-in-queue function. The system shall in the future prevent the batch scheduler from scheduling an applicant who has exceeded a predetermined number of missed scheduler events. The system shall schedule applicants for fingerprinting using ASC scheduling profiles and application data. The batch Scheduler shall provide confirmation when an applicant has been successfully scheduled for fingerprinting. The batch scheduler shall schedule on a revolving basis (that is, each request remains in a to be scheduled state until an ASC or ASC slot becomes available). The system shall control fingerprint scheduling with an ASC scheduling profile dictating how far in advance an applicant may be scheduled. The system shall provide the capability to create simple queues for reexaminations via interactive place-in-queue function.

The system shall in the future provide the capability to schedule groups (Family, CBO, Ad-Hoc, Attorney) for interviews. The system shall in the future provide the capability to apply user-defined rules (group, scheduling, allocation, location redirection, and site group rules) to interview scheduling.

The system shall provide automated scheduling from a pool of applicants ready for oath ceremony scheduling. The system shall in the future provide the capability to schedule groups (Family, CBO, and Ad Hoc) for oath ceremonies. The system shall in the future provide the capability to apply user-defined rules (group, scheduling, allocation, location redirection, and site group rules) to oath ceremony scheduling.

1.1.1.17.3 SCHEDULING PRIORITIZATION FUNCTION

The system shall schedule applicants and/or petitioners without regard to the ASC capacity or any other ASC concerns (by sending fingerprint appointment notices,) when the "Reason Fingerprinted" indicates any of the following form types:

- I-881
- I-589
- I-600
- I-600A
- I-817

- I-821

The system shall assign specific fingerprint scheduler appointments for applicants and/or petitioners at each ASC when the "Reason Fingerprinted", based on the documented criteria, indicates any of the following reasons in the order shown (this shall be repeated for applicants and petitioners not scheduled after one pass until all slots are filled or all appointment request are satisfied):

- I-485: Schedule all I-485s for any given schedule processing period up to but not exceeding 30% of the available fingerprint appointment slots for that processing period.
- N-400 Expired Prints: Schedule all N-400 Expired Prints for any given schedule processing period up to but not exceeding 50% of the available fingerprint appointment slots for that processing period.
- Rescheduled Prints For Any Form: Schedule all cases requiring reprinting for any given schedule processing period up to but not exceeding 15% of the available fingerprint appointment slots for that processing period.
- Any Other Form Type: Schedule all other form types for any given schedule processing period up to but not exceeding 5% of the available fingerprint appointment slots for that processing period.
- N-400 Non-expired Prints: Schedule all N-400s for any given schedule processing period using any remaining fingerprint appointment slots.

The system shall retain in the fingerprint scheduling queue, for consideration during the next processing period, all applicants and petitioners still requiring fingerprint scheduler appointments after all available fingerprint appointment slots have been filled for a given ASC. The system shall assign all fingerprint scheduler appointments for applicants and petitioners with the same "Reason Fingerprinted" based on the oldest "Received/Clock-In Date". No other algorithms or calculations shall apply.

1.1.1.17.4 INTERACTIVE INTERVIEW SCHEDULING FUNCTION

The system shall allow users to schedule selected applicants interactively for interviews. The system shall allow users to schedule selected applicants interactively for re-interviews. The system shall allow users to schedule selected applicants interactively for Q&A sessions. The system shall allow users to select cases for interactive scheduling for interview, reinterview, or Q&A by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for interactive scheduling or interviews, reinterviews or Q&A sessions. The system shall allow users to select service type, location, room, date, and time to schedule the selected applicants. The system shall in the future provide the capability to apply rules (group rules, scheduling rules, allocation rules, location redirection, and site group rules) in scheduling groups for the next available interview, reinterview, or Q&A session. The system shall in the future provide a scheduling function within adjudications allowing the adjudicator to enter a specific date and time when interactively scheduling an interview, reinterview or Q&A session for an individual. The system shall display a warning message in the event that the date and time the adjudicator specifies for an individual is not available, and give the adjudicator the option of entering another

time slot or assigning applicants for the desired spot. The system shall warn the user if the applicant's fingerprints have expired.

The system shall provide the ability for a reopened N-400 case to be interactively scheduled for interview.

1.1.1.17.5 INTERACTIVE OATH CEREMONY SCHEDULING FUNCTION

The system shall allow users to schedule selected applicants for oath ceremonies interactively. The system shall allow users to select cases for interactive oath ceremony scheduling by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for interactive oath ceremony scheduling. The system shall allow users to select service type, location, room, date, and time to schedule the selected applicants. The system shall in the future provide the capability to apply rules (group rules, scheduling rules, allocation rules, location redirection, and site group rules) in scheduling groups for the next available oath ceremony.

1.1.1.17.6 INTERACTIVE FINGERPRINT SCHEDULING FUNCTION

The system shall allow users to schedule selected applicants for fingerprint processing interactively. The system shall allow users to select cases for interactive fingerprint scheduling by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for interactive fingerprint scheduling. The system shall allow users to select service type, location, room, date, and time to schedule the selected applicants. The system shall in the future provide the capability to apply rules (group rules, scheduling rules, allocation rules, location redirection, and site group rules) in scheduling groups for the next available fingerprint appointment slots.

1.1.1.17.7 INTERACTIVE REMOVAL FROM BATCH SCHEDULE QUEUE FUNCTION

The system shall allow users to remove selected applicants from the batch interview schedule queue. The system shall allow users to select cases for interactive removal from the batch interview schedule queue by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for removal from the batch interview schedule queue.

The system shall allow users to remove selected applicants from the batch oath ceremony schedule queue. The system shall allow users to select cases for interactive removal from the batch oath ceremony schedule queue by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for removal from the batch oath ceremony schedule queue.

The system shall allow users to remove selected applicants from the batch fingerprint schedule queue. The system shall allow users to select cases for interactive removal from the batch fingerprint schedule queue by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for removal from the batch fingerprint schedule queue.

1.1.1.17.8 INTERACTIVE PLACE IN BATCH SCHEDULE QUEUE FUNCTION

The system shall allow users to place selected applicants in the batch interview schedule queue interactively. The system shall allow users to select cases for placement in the batch interview schedule queue by entering application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for placement in the batch interview schedule queue. In a future release, the system shall have the capability to form a group with the selected members and place those members in the batch interview schedule queue, in accordance with location redirection rules, site group rules, initial search for the applicants, and reschedule delay date.

The system shall allow users to place selected applicants in the batch oath ceremony schedule queue interactively. The system shall allow users to select cases for placement in the batch oath ceremony schedule queue by entering application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for placement in the batch oath ceremony schedule queue. The system shall in a future release provide the capability to group selected individuals and place them in the batch oath ceremony schedule queue, in accordance with location redirection rules, site group rules, initial search for the applicants, and reschedule delay date.

The system shall allow users to place selected applicants in the batch fingerprint schedule queue interactively. The system shall allow users to select cases for placement in the batch fingerprint schedule queue by entering application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for placement in the batch fingerprint schedule queue. The system shall in a future release provide the capability to form a group with the selected members and place them in the batch fingerprint schedule queue, in accordance with location redirection rules, site group rules, initial search for the applicants, and reschedule delay date.

1.1.1.17.9 INTERACTIVE CANCELLATION FUNCTION

The system shall allow authorized adjudicators to cancel an individual applicant's appointment for examination (interview). The system shall allow authorized adjudicators to cancel an individual applicant's appointment for reexamination. The system shall allow authorized adjudicators to cancel an individual applicant's appointment for Q&A. The system shall allow authorized adjudicators to cancel an individual applicant's appointment for oath ceremony. The system shall allow users to select cases for interactive cancellation by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for interactive cancellation. The system shall in the future provide the capability to form a group with selected members and reschedule them, placing them in the selected batch schedule queues based on application information and user-specified rules and parameters (location redirection rules, site groups, group rules, allocation rules, reschedule delay date). The system shall in the future provide the capability to perform cancellations from the adjudication component. The system shall automatically maintain a count of the number of times the interview was canceled. The system shall provide the capability to prevent an applicant from being scheduled who has exceeded a predetermined number of missed scheduler events, as tracked in the canceled interview counter (for example, by a warning message displayed by the interactive scheduler). The system shall

remove the applicant from the queue for the scheduled event (examination, reexamination, Q&A, or oath ceremony) when the appointment is canceled. The system shall in the future allow the adjudicator to request an "Acknowledgment of Cancellation" Notice for the applicant from within the scheduler component.

1.1.1.17.10 INTERACTIVE DESCHEDULING FUNCTION

The system shall allow authorized users to deschedule an individual applicant's appointment for examination (interview). The system shall allow authorized users to deschedule an individual applicant's appointment for reexamination. The system shall allow authorized users to deschedule an individual applicant's appointment for Q&A. The system shall allow authorized users to deschedule an individual applicant's appointment for oath ceremony. The system shall allow authorized users to deschedule an individual applicant's appointment for fingerprinting processing. The system shall remove the applicant from the queue for the scheduled event (examination, reexamination, Q&A, or oath ceremony) when the appointment is descheduled. The system shall allow users to select cases for interactive descheduling by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for interactive descheduling. The system shall in the future provide the capability to form a group with selected members and reschedule them, placing them in the selected batch schedule queues based on application information and user-specified rules and parameters (location redirection rules, site groups, group rules, allocation rules, reschedule delay date). The system shall in the future provide the capability to deschedule from the adjudication component. The system shall in the future allow the adjudicator to request a deschedule notice for the applicant from within the scheduler component. The system shall in the future allow the adjudicator to request descheduling of an applicant.

1.1.1.17.11 INTERACTIVE RECORDING OF INTERVIEW CONDUCTED FUNCTION

The system shall provide the capability to record interactively that an interview has been conducted for a selected application. The system shall allow users to select cases to record interview completion by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for recording interview completion. The system shall in the future provide the capability to form a group with selected members.

1.1.1.17.12 INTERACTIVE RECORDING OF OATH CEREMONY CONDUCTED FUNCTION

The system shall provide the capability to record interactively that an oath ceremony has been conducted for a selected application. The system shall allow users to select cases to record oath ceremony completion by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for recording oath ceremony completion. The system shall in the future provide the capability to form a group with selected members.

1.1.1.17.13 INTERACTIVE RECORDING OF FINGERPRINT PROCESSING CONDUCTED FUNCTION

The system shall provide the capability to record interactively that fingerprint processing has been conducted for a selected application. The system shall allow users to select cases to record fingerprint process completion by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for recording a fingerprint process completion. The system shall in the future provide the capability to form a group with selected members.

1.1.1.17.14 INTERACTIVE RECORDING OF NO SHOW FUNCTION

The system shall provide the capability to record that a selected applicant did not appear for a scheduled interview or oath ceremony (that is, the applicant was a no-show). The system shall allow users to select cases to record no-show status by application identifier, A-Number, or group identifier. The system shall allow users to display other members of the same group, and select multiple eligible members of the group for recording no-show status. The system shall in the future provide the capability to form a group with selected members. The system shall in the future provide the capability to form a group with selected members and reschedule them, placing them in the selected batch schedule queues based on application information and user-specified rules and parameters (location redirection rules, site groups, group rules, allocation rules, reschedule delay date). The system shall maintain a count of the number of events for which the applicant was a "no-show". The system shall provide the capability to prevent an applicant from being scheduled who has exceeded a predetermined number of missed scheduler events, as tracked in the "no-show" counter. The system shall provide the capability to perform an initial search under group management functions using the application identifier, A-Number, group identifier, last name, first name, group type, group name and location. The system shall in the future provide the capability for authorized staff to perform queries by group name.

1.1.1.17.15 GROUP MANAGEMENT FUNCTION

The system shall provide the capability to create a new group. The system shall provide the capability to add members to an existing group. The system shall provide the capability to regroup members of existing groups, by splitting and joining them. The system shall provide the capability to update group detail information. The system shall provide the capability to manage group names and group symbols. The system shall in the future provide the capability to set up group rules. The system shall in the future provide a group set function. The system shall provide the capability to perform an initial search under group management operations using the following criteria:

- Application identifier
- A-Number
- Group identifier
- Last name
- First name
- Group type
- Group name
- Location

The system shall in the future provide the capability for authorized staff to perform queries by group name.

1.1.1.17.16 SCHEDULER INTERFACE FUNCTION

The system shall receive a queue of applications to the Scheduler system through Workflow management software when all the required processing and documents are available, thus creating pools of applicants for scheduling events. The system shall trigger requests to the Notices component to generate the appropriate notices and documents once the scheduler component has scheduled the case for an event.

The system shall provide the capability to request the following notices through the Notices component:

- Interview Notices
- Interview Cancellation/Descheduling Notices
- Interview Rescheduling Notices
- Oath Ceremony Notices

The system shall in the future provide the capability to print the following notices at the local office:

- Interview Notices
- Interview Rescheduling Notices

The system shall in the future provide the capability to generate the following scheduling reports by invoking the reporting function from within the scheduler component:

- Daily Itinerary for INS Facilities
- Examination Pick List
- Interview Schedule by Location and Examiner
- Interview Schedule by Attorney
- Available Slots for each examiner
- Ready to Schedule Queue for Examinations
- Cases Past Interview Date with No Action
- Cancel/No-Show Report
- Oath Ceremony Schedule by Reporting Location
- Available Oath Ceremony Slots
- Ready to Schedule Queue for Oath Ceremonies
- Scheduling Report by Section
- Scheduling Report by Form Type

Certificate Generation Process Description

Several naturalization processes require the production of certificates. If an N400 application is approved, a Certificate of Naturalization must be printed before the applicant is sworn, so that it may be presented at the oath ceremony. These secure documents must be produced under controlled conditions. Consequently, certificate production must be subject to a quality assurance procedure, and unusable documents must be explicitly voided and destroyed. They will usually be mass printed at an authorized office, and shipped to the location with jurisdiction over oath ceremony.

1.1.1.18 Certificate Generation Processing

The system shall provide the capability to process a batch of certificates in ascending or descending order.

1.1.1.18.1 PRINT AND REPRINT FUNCTION

The system shall provide the capability to mass print certificates at authorized offices through batch jobs. The system shall provide the capability to individually print certificates at authorized offices in real-time. The system shall in the future provide a process for recovering from printing errors. The system shall provide the capability to sort the applicant file before printing a batch of certificates in either ascending or descending order, on one or more of the following fields: A-Number, Applicant last name, Application identifier, Reporting location.

The system shall provide the capability of overriding and changing a default sort order specified in a ceremony location profile for any Oath Ceremony batch print job before printing. The system shall provide the capability to sort by additional sort orders. The system shall provide the capability to reprint on demand a plain paper copy of the certificate, as originally printed. The system shall in the future provide the capability to process the certification of citizenship (A and AA types), the replacement Certificate of Citizenship, and the replacement Certificate of Naturalization. The system shall provide the capability to select 8 by 10 or 8.5 by 11 certificate formats during print time.

1.1.1.18.2 MANUAL CORRECTION FUNCTION

The system shall in the future provide the capability to log a manually corrected certificate.

1.1.1.18.3 QUALITY ASSURANCE FUNCTION

The system shall provide a Quality Assurance (QA) screen to force users to verify accurate production of the certificates upon completion of the batch or individual print. The system shall record the user ID, date, time, and result of certificate production from the QA screen for audit purposes.

1.1.1.18.4 VOID LOG FUNCTION

The system shall provide the capability to void certificates in CLAIMS 4. The system shall provide the capability to view a Void Log for voided certificates.

1.1.1.18.5 DESTROY LOG FUNCTION

The system shall provide the capability to view a Destruction Log for destroyed certificates.

1.1.1.18.6 TRANSFER FUNCTION

The system shall provide the capability to track the transfer of certificate batches between offices by allowing SC/DO users to record online the sending of certificate batches. The system shall in the future provide the capability to track the transfer of certificates or batches of certificates between offices by allowing SC/DO users to record the receipt of certificates or batches of certificates. The system shall provide the capability to print a shipping manifest with certificate numbers and corresponding batches that are transferred between offices.

1.1.1.18.7 TRACKING AND REPORTING FUNCTION

The system shall provide a query function to view certificate history by A-Number, Certificate Number, and application identifier. The system shall in the future provide the capability to query CLAIMS 4 by using the global find function and other additional criteria to view certificate history. The system shall in the future provide the capability to request the following daily and monthly reports from within the Document Production function: the Number of Certificates Prepared, the Number of Certificates Voided, and the Number of Certificates Destroyed.

1.1.1.18.8 IMAGE PROCESSING FUNCTION

The system shall in the future provide the capability to print the applicant's photograph image and the commissioner's signature image onto Certificates.

1.1.1.18.9 INTEGRATED WORKFLOW FUNCTION

The system shall provide the capability to control printing of Certificates through Workflow. The system shall in the future provide the capability to control the QA, Void, Destroy and other Certificate functions, to be identified, through Workflow.

1.1.1.18.10 SECURITY FUNCTION

The system shall in the future provide the capability to allow only authorized users to perform a subset of Document Production functions.

1.1.1.18.11 ARCHIVAL FUNCTION

The system shall in the future provide the capability to archive Document Production related data.

Notices Process Description

Notices must be produced at several points in the processing of benefits applications. An applicant, at a minimum, must be notified when applications have been received, when a fingerprint appointment has been made, when an interview has been scheduled, and when an oath ceremony has been scheduled. In addition, there may be a need to generate special notices, such as those for invalid payments or bounced checks, cancellations, deschedules and reschedules of interviews, oath ceremonies, decisions, and memos. Most routine notices will be mass printed in batch mode at the SCs, although capability to produce notices regularly required in adjudication or scheduling will be provided to local offices in the future. Notices creation functions will use templates and standard message text wherever possible to ensure uniformity and minimize the

amount of user intervention required. Utilities will be provided to allow the retrieval and review of messages that have been produced for monitoring notice production and recovery.

1.1.1.19 Notice Creation Processing

The system shall provide the capability to produce N-400 Receipt Notices. The system shall generate a receipt notice informing the primary person of the group balance. The system shall generate a receipt notice informing the other members of the group, who are not primary, that a group balance will be refunded to the primary person. The system shall generate receipt notices for N400 applicants with foreign residential addresses indicating that, unless otherwise requested, the interview and oath ceremony will be performed at the default locations for that SC. The system shall provide the capability to produce Suspense Notices. The system shall provide the capability to produce Exception Notices.

The system shall provide the capability to produce Invalid Payment Notices. The system shall provide the capability to produce Underpayment Notices. The system shall provide the capability to produce Bounced Check Notices. The system shall provide the capability to produce Overpayment notices.

The system shall provide the capability to produce Interview Notices. The system shall provide the capability to produce Re-interview Notices. The system shall provide the capability to produce Interview Cancellation Notices. The system shall provide the capability to produce Interview De-scheduling Notices. The system shall provide the capability to produce Continuance Notices. The system shall provide the capability to produce Intent-to-Deny Notices. The system shall provide the capability to produce Oath Ceremony Notices. The system shall provide the capability to produce Oath Ceremony Cancellation Notices. The system shall provide the capability to produce Oath Ceremony De-scheduling Notices.

The system shall provide the capability to produce Memos. The system shall provide the capability to produce Interview No-show Notices. The system shall provide the capability to produce Oath Ceremony No-show Notices. The system shall provide the capability to produce Intent-to-Revoke Notices. The system shall provide the capability to produce Request for Evidence Notices. The system shall provide the capability to produce Withdrawal Acknowledgment Notices. The system shall provide the capability to produce Approval Notices. The system shall provide the ability to produce "Administrative Close" Notices. The system shall provide the ability to produce notices when cases have been reopened.

The system shall produce FD-258 Fingerprint schedule notices directing applicants to appear on an appointed date and time, at an ASC, Designated Law Enforcement Agency (DLEA) or Mobile Station (Temporary Outreach Station). The system shall provide the capability to produce FD-258 Fingerprint re-scheduling notices directing applicants to an ASC on the first occasion when their fingerprint cards have been returned as unclassifiable. The system shall provide the capability to produce a notice of rescheduling due to jurisdiction change. The system shall produce FD-258 Fingerprint schedule notices directing applicants to appear on an appointed time and date, at an ASC, DLEA or Mobile Station, and including an explanatory memorandum, when they have been rescheduled due to expiration of their fingerprints. The system shall produce FD-258 Fingerprint schedule notices directing applicants to appear within a proscribed

period, at an ASC, DLEA or Mobile Station, when they are being fingerprinted for a RAPS application. The system shall assign a specific date and hourly slot for routine FD-258 fingerprint schedule notices directing the applicant to a specific ASC, DLEA or Mobile Station, and shall designate the same hour slot for any makeup appointment.

The system shall produce applicant and representative notices with a 2D bar code containing FD-258 biographic (masthead) data. The system shall provide the ability for SC locations to produce OMR markings on notices to support automated mail handling operations, in conformity with local requirements. The system shall print notices for scheduled events (such as N-400 interviews, oath ceremonies) in advance of the event, with lead times specified by the local office in its office profile. The system shall produce duplicate copies of applicant notices with representative mailing address if a representative exists for the applicant. The system shall create and maintain notice templates. The system shall provide the capability to reproduce notices.

1.1.1.19.1.1 Notice Creation Processing – Form I-881

The system shall generate a Receipt notice to each I-881 applicant indicating the fee amount received, on a standard INS Form I-797C, 'Notice of Action'.

1.1.1.19.2 BATCH PRINT PROCESSING

The system shall provide the capability to mass print the following N-400 form notice types in batch at the SC:

- Receipt
- Suspense
- Exception
- Invalid Payment
- Underpayment
- Bounced Check
- Interview
- Re-interview
- Cancel Interview
- Deschedule Interview
- Oath Ceremony
- Cancel Oath Ceremony
- Deschedule Oath Ceremony
- Data Suspense
- FBI Suspense
- Withdrawal Acknowledgment
- No Show Interview
- No Show Oath Ceremony
- Internal A-File

The system shall provide the capability to reprint all or part of a batch to recover from printer errors. The system shall provide an error recovery function to restart a batch job from the last notice printed. The system shall provide the capability to print notices in ZIP code-sorted order to minimize mailing costs. The system shall provide the capability to print notices by notice type

or location. The system shall provide a notice monitor to indicate the print status of notices that have been generated. The system shall provide a display of the notices being created as the batch notices print job executes with a progress indicator. The system shall move printed notice records to another table.

1.1.1.19.2.1 Batch Notices – I-881

The system shall provide the capability to mass print Receipt Notices for Form I-881 submissions in batch at the Service Center.

1.1.1.19.3 LOCAL PRINT PROCESSING

The system shall provide the capability to individually print notices by authorized users to print locally. The system shall in the future provide an interface to the N-400 Adjudication function to customize the following notice types and print them locally:

- Continuance
- Intent-to-Deny
- Denial
- Request for Evidence
- Intent-to- Revoke
- Motion-to-Reopen
- Motion-to-Reconsider
- Approval

The system shall in the future provide an interface to the Scheduling function to print the following N-400 form notice types locally:

- Interview
- Reinterview
- Cancel Interview
- Deschedule Interview
- No Show Interview
- Oath Ceremony
- Cancel Oath ceremony
- Deschedule Oath Ceremony
- No Show Oath Ceremony

1.1.1.19.4 PRINT FORMAT PROCESSING

The system shall provide the capability to produce notices using standardized templates/text. The system shall provide the capability to produce notices using a word processor for customized text. The system shall provide the capability to produce notices using a combination of standardized and customized text. The system shall provide the capability to produce notices addressed to the applicant. The system shall in the future provide the capability to print notices addressed to other additional authorized parties such as the CBO representative and attorney/voluntary agency (VOLAG). The system shall provide the capability to add a bar code of the applicant's application identifier to all printed notices.

1.1.1.19.5 NONSTANDARD TEMPLATE PROCESSING

The system shall in the future provide the capability for any office to use its own notice templates, with OIRM permission, to support local requirements.

1.1.1.19.6 UTILITY PROCESSING

The system shall in the future provide the capability to route designated notices to a review process prior to printing and distribution. The system shall provide the capability to preview local print notices before printing. The system shall provide the capability to view and reprint notices that have been previously printed from the same location. The system shall in the future provide the capability to view and reprint notices that have been previously printed from any location. The system shall provide the capability to specify a printer other than the default office printer for the production of notices.

1.1.1.19.7 TRACKING AND REPORTING PROCESSING

The system shall provide the capability to maintain for future display or print, an electronic copy of all notice types that have been previously printed. The system shall allow the user to display notices awaiting production. The system shall provide a daily production report of total notices printed by notice type, form type, destination (batch or local), and office.

1.1.1.19.8 SECURITY PROCESSING

The system shall provide notice template level security to authorize or restrict users to specific notice templates. The system shall provide notice function security to authorize or restrict users to specific notice functions.

1.1.1.19.9 ARCHIVAL PROCESSING

The system shall in the future provide the capability to archive Notice Production-related data.

Reporting Process Description

The system will provide the capability to process a comprehensive number of reports ranging from online to hard copy depending on requirements. Reports will be provided to support a variety of business process functions, including mailroom and finance, adjudications, scheduling, certificate production, notice production, file room operations, as well as management functions.

1.1.1.20 Reporting Processing

The system shall in the future provide access to the Reporting function from the screens of any of the main processing areas. The system shall provide the capability to produce reports online or in hard copy. The system shall provide for report storage on disk. The system shall provide menu-driven standardized reports with optional selection criteria, including location, date and sort. The system shall provide the capability to build and save queries on standardized reports that use other selection criteria (not including location, date, and sort). The system shall in the future support the generation of ad hoc reports with flexibility in the designation of fields for selection and sorting. The system shall provide the ability to sort reports on multiple fields. The system shall provide the ability to sort reports that include A-Numbers, by A-Number or by terminal digit according to local site specifications. The system shall produce a manifest with a

2-D bar-code for all cases scheduled at an ASC for a week. The system shall provide the ability to reprint application labels, displaying name and application ID prominently to minimize the risk of keying error. The system shall provide the capability to select a printer, other than the office default, using standard paper for report printing. The system shall provide report level security to authorize or restrict users to specific reports using Report Access Groups.

1.1.1.20.1 CERTIFICATE TRACKING REPORTING FUNCTION

The system shall provide the following reports to support the Certificate Tracking function:

- Certificates Prepared
- Voided/Destroyed Certificates
- Cases Without Certificate Numbers
- Certificate Accountability Report
- Certificate Issuance Report
- Number of Certificates Prepared

1.1.1.21 Adjudication Reporting Processing

The system shall provide the following reports to support the adjudication function:

- Applicant Current Status Report
- Applicants Naturalized by the Court
- Applicant Status Report
- Cases on Hold
- Cases Pending
- Cases Without A-Numbers
- Continued Cases
- Expired Requests for Additional Information

1.1.1.22 File Room Operation Reporting Function

The system shall provide the following reports to support the File Room Operation function:

- Daily RAFACS Report (C4) of A-Files Received
- A-File Movement to CLAIMS 4 Responsible Parties
- CIS File Transfer Request Report
- CLAIMS 4 A-File Request Status Report
- T-files Created
- File Consolidation Report
- File Consolidation and Shipment Report
- File Movement and Shipment Report
- OF-11 Requests
- Ship A-File (Transfer-out) Report
- Ship T-File (Transfer-out) Report
- Examination/Case Review Pick List
- CIS Name/DOB/COB Change Audit Report
- User Audit Trail
- A-File Activity Report

- Service Center Report of Local Offices Needing A-Files
- Service Center Report of Local Offices Needing A-Files (Other Jurisdiction)
- Service Center Report of Local Offices Needing A-Files (Own Jurisdiction)

1.1.1.23 Finance Reporting Function

The system shall provide the following reports in support of the Finance function:

- Bank Transmittal Sheet
- Bounced Check Report
- Detail Audited Cash Box Report
- Detail Audited Cash Box Report For Supervisors
- Detail Cash Box Report
- Detail Cash Box Report For Supervisors
- Detail Fee Register
- Detail Register Transaction Report
- Detail Register Transaction Report For Supervisors
- Office Fee Register By Payment Type
- Open Payment Report
- Refund Due Report
- Refund Paid Report
- Summary Active Cash Box Report
- Summary Active Cash Box Report For Supervisors
- Summary Audited Cash Box Report
- Summary Audited Cash Box Report For Supervisors
- Summary Cash Box Report
- Summary Cash Box Report For Supervisors

1.1.1.24 Mailroom Reporting Function

The system shall provide the following reports in support of the Mailroom function:

- Daily Mailroom Remittance Reconciliation Report
- Daily Mailroom Remittance Reconciliation Report For Supervisors
- Mailroom Remittance Reconciliation Report
- Mailroom Remittance Reconciliation Report For Supervisors
- Mailroom Remittance/Application Reconciliation Report For Supervisors
- Unprocessed Applications
- Unprocessed Payments.

1.1.1.25 Management Reporting Function

The system shall provide the following reports in support of the Management function:

- Access Authorization List
- Cases Pending Aging Report
- Cases Pending Summary Report
- CIS/CLAIMS Mismatch Report

- CLAIMS 4 User List
- Data Entry Production Report
- Data Entry Production Report 1
- FD-258 Manifest
- Location Relationships
- New N-400 Cases
- Notices In Error State
- Notices Print Production Report
- Notices Ready To Create
- Notices Ready To Print
- Workflow Status
- Workflow statistical summary data (future)
- Workflow process-related metrics (future)
- Workflow volume information (future)
- RNACS Interface Audit Report (future)
- Workflow Current Activity Report
- Workflow Current Activity Report for Service Center
- Receipting System FBI (FD-258) Response Override Report
- Cases Granted – Awaiting Override
- N-400 Administrative Close-Outs Aging Report
- G325A FBI Name Check Aging Report
- FD-258 Re-fingerprinting No-Show Report

1.1.1.26 Scheduling Exam (Interview) Reporting Function

The system shall provide the following reports in support of the Scheduling Exam function:

- Available Appointment Slots For Examiners
- Available Appointment Slots
- Cancel/No Show
- Cases With Interview Past Due
- Daily Itinerary For INS Facilities
- Daily Schedule Per Examiner
- Demographic Report By Interview Date
- Demographic Report By Mail Date
- Examiner Appointment Slots Booked Statistics
- Interview Schedule By Attorney
- Interview Schedule By Examiner
- Interview Schedule By Location and Examiner
- Interview Sections Booked Statistics
- List of Assigned Examiners
- Pick List By Interview And Schedule Date
- Ready To Schedule Queue For Interview
- Scheduler Status By Section
- Scheduler Status By Form Type (future)

1.1.1.27 Scheduling Oath Ceremony Function

The system shall provide the following reports in support of the Scheduling Oath Ceremony function:

- Card Accountability By Oath Ceremony Location
- Cases With Ceremony Past Due
- Completed Oath Ceremony Report
- Daily Schedule By Oath Ceremony Facility Room
- Oath Ceremony By Applicant
- Oath Ceremony Cases With No Certificate Numbers
- Oath Ceremony Data Validation Report
- Oath Ceremony Demographic Report
- Oath Ceremony Court Lists (Forms N646/N647)
- Oath Ceremony Schedule By Reporting Location
- Ready To Schedule Queue For Oath Ceremony By Interview And Receipt Date
- Ready To Schedule Queue For Oath Ceremonies
- Available Oath Ceremony Slots
- Oath Ceremony No Shows
- Court list documenting the applicants scheduled for a particular naturalization ceremony

1.1.1.28 Scheduling Fingerprints

The system shall provide a report of "Unscheduled Fingerprint Appointment Requests" for each ASC in support of the Schedule Fingerprints function.

1.1.1.29 G22 Function

The system shall provide the G22 Place Pipeline and G22 Place reports in support of the G22 function

System Maintenance Process Description

The system must provide a means for authorized SC or DO staff to view and maintain the information in CLAIMS tables on INS Offices and other locations, user profiles, number pools for certificates, Application IDs and Payment IDs. It must provide the capability to view and maintain the data in the various CLAIMS look-up tables referenced during application processing and the capability to view the data in the INS standard look-up tables that are maintained by INS headquarters.

1.1.1.30 System Maintenance Processing

When users are given access to CLAIMS 4, their privileges within the system are determined by what participant role they are assigned. The Workflow participant roles option is used to define the role a user will take within an office. For example, a small site may need to provide a user with access to all the CLAIMS 4 functions. In this case, the site would create a participant role that includes all the possible Workflow types. A larger site may have a specific set of roles designated for different classes of users. Such a site will create a Workflow participant type for each class of user. Users are assigned participant roles.

1.1.1.30.1 OFFICE PROFILE FUNCTION

The system shall provide means for authorized SC or DO staff to view and maintain the information in CLAIMS tables on INS Offices and other locations, user profiles, number pools for certificates, application IDs and payment IDs. The system shall provide the capability to view and maintain the data in the various CLAIMS look-up tables referenced during application processing, and the capability to view the data in the INS standard look-up tables that are maintained by INS headquarters. The system shall provide the capability to configure and maintain information on INS Offices/Locations/Sites/Courts. The system shall maintain an office profile for each office to accurately characterize the resources available in the office to perform specific functions. The system shall provide the capability to add DOs to the system. The system shall provide the capability to add Sub-offices to the system. The system shall provide the capability to add Satellite Offices to the system. The system shall provide the capability to update DO profiles. The system shall provide the capability to update Sub-office profiles. The system shall provide the capability to update Satellite Office profiles. The system shall provide the capability to delete DOs from the system. The system shall provide the capability to delete Sub-offices from the system. The system shall provide the capability to delete Satellite Offices from the system. The system shall provide the capability to view DO profiles. The system shall provide the capability to view Sub-office profiles. The system shall provide the capability to view Satellite Office profiles. The system shall provide the capability to maintain location profiles for each INS or court location that associate the applicants' places of residence with INS locations and courts, where examinations or oath ceremonies can be held. The system shall determine the INS locations for an applicant's examination or Oath Ceremony based upon the relationship between the applicant's ZIP code and INS administrative location, unless overridden by a specific request. The system shall maintain the ZIP code-to-service type relationship at the national level. The system shall allow authorized users to add temporary sites locally for specific events. The system shall prevent saving changes until all of the ZIP codes have been reassigned if the user intends to delete a site or to remove ZIP codes from the system. The system shall allow authorized users to add Locations to the system. The system shall allow authorized users to update Location profiles. The system shall allow authorized users to delete Locations from the system. The system shall allow authorized users to view Location profiles. The system shall maintain a site profile for each site where interviews or Oath Ceremonies are performed. The system shall allow authorized users to add Sites to the system. The system shall allow authorized users to update Site profiles. The system shall allow authorized users to delete Sites from the system. The system shall allow authorized users to view Site profiles. The system shall maintain Court profiles that define essential information for each court within an office jurisdiction. The system shall allow authorized users to add Court profiles to the system. The system shall allow authorized users to update Court profiles. The system shall allow authorized users to delete Court profiles from the system. The system shall allow authorized users to view Court profiles. The system shall provide the capability to create and maintain Officer Contact Information (for example, Title, Telephone Number, and Name). The system shall store the INS Customer Service telephone number that is printed on notices in the database. The system shall create and maintain ASC profiles for: address, associated INS office, etc. The system shall maintain ZIP code ranges handled by each ASC location.

1.1.1.30.2 USER PROFILE FUNCTION

The system shall provide the capability to maintain information on CLAIMS 4 users. The system shall provide the capability to maintain access authorization profiles for each category of user (participant type code). The system shall provide the capability to determine and define which features a user is permitted to use based on the Access Authorization profile by mapping the user to a set of roles. The system shall provide the capability to add new CLAIMS 4 users to the system. The system shall provide the capability to update User profiles. The system shall provide the capability to delete users. The system shall provide the capability to view CLAIMS 4 user information. The system shall provide the capability to request a report of all the users that are located at a given site, sorted by user identifier and name, with columns for User-ID, Last Name, First Name, Middle Name Sub Location Code, Report Access Group, Start Date; and End Date. The system shall provide the capability to maintain a Report Access Groups profile for each site (Report Access Group Code). The system shall provide the capability to determine and define what reports a user is permitted to generate based on the Report Access Group profile that maps the user to a set of reports. The system shall provide the capability to create Report Access Group codes and assign at least one report to each of them such that association of the code with a user identifier enables printing of the report. The system shall provide the capability to create and maintain Participant Type roles, that when associated with a user, allow him or her to perform all activities associated with that role (for example, an Adjudication role would enable the assigned user the capability to perform Interviews with the Q&A session). The system shall provide the capability to assign multiple roles to a user. The system shall assign roles to a participant and allow display of all activities for the selected role. The system shall provide the capability to enter multiple A-Number blocks during the same session. The system shall provide the capability to restrict users to a specific group of authorized users who have the authority to add, update, delete, or view information in the CLAIMS 4 database. The system shall provide a GUI to assist authorized users to perform each specific task.

1.1.1.30.3 FINGERPRINT SCHEDULER PROFILE

The system shall allow the authorized scheduler administrator to change the percentage values and apply specific percentages to forms not listed in the current fingerprint prioritization scheme.

1.1.1.30.4 CERTIFICATE NUMBER MAINTENANCE FUNCTION

The system shall provide the means to maintain a Certificate Number pool. The system shall provide authorized users the capability to add, update, void, or view Certificate information. The system shall set the date on which the last document's status code is assigned.

1.1.1.30.5 APPLICATION ID AND PAYMENT ID MAINTENANCE FUNCTION

The system shall provide authorized users the capability to view the last Application ID. The system shall provide authorized users the capability to add the last Application ID. The system shall provide authorized users the capability to update the last Application ID. The system shall provide authorized users the capability to delete the last Application ID.

The system shall provide authorized users the capability to view the last Payment ID. The system shall provide authorized users the capability to add the last Payment ID. The system shall provide authorized users the capability to update the last Payment ID. The system shall provide authorized users the capability to delete last Payment ID.

1.1.1.30.6 FORM MAINTENANCE FUNCTION

The system shall allow authorized users the capability to view local profile information on INS forms. The system shall allow authorized users the capability to add local profile information on INS forms. The system shall allow authorized users the capability to update local profile information on INS forms. The system shall allow authorized users the capability to delete local profile information on INS forms. The system shall maintain information for each location to control the processing of each form type that it supports. The system shall allow the following values to be maintained for each form in the local forms profile table:

- Counts for A-Numbers
- Counts for Temporary A-Numbers
- Government Agency FBI identification number (if applicable)
- Minimum processing days
- Maximum processing days
- Automatically queue to batch or alert clerk
- Number of readable labels to produce
- Number of bar-code labels to produce
- Number of address labels to produce
- Check evidence in processing or bypass
- Number of A-Number labels to produce
- Number of Temporary file labels to produce

1.1.1.30.7 TABLE LOOKUP FUNCTION

The system shall provide the capability to maintain all application Lookup tables. The system shall allow authorized users to view a Lookup table. The system shall allow authorized users to add records to a Lookup table. The system shall allow authorized users to update records in a Lookup table. The system shall allow authorized users to delete records from a Lookup table. The system shall allow authorized users to perform searches in a Lookup table. The system shall allow authorized users to sort data in a Lookup table. The system shall provide the capability to view data in Standard tables with read-only access. The system shall provide the capability to perform searches in Standard tables. The system shall provide the capability to sort data in Standard tables. The system shall provide the capability to validate user Role or Report Group for authorization when providing access to lookup tables and descriptions.

External Interface Description

External interfaces are required at various points in N-400 processing. RNACS is the central repository of information on Naturalization applications and must be updated as new applications are receipted and at critical points in their processing. CIS is the central repository of information on individuals with A-Numbers. As new naturalizations are processed, the A-Numbers supplied must be verified against the information contained in this database. Because it is essential that the CIS system be kept current, it must be updated when name change is recorded and when an applicant is naturalized. RAFACS is the file management system in use at INS Service Centers and most local offices. RAFACS must be updated as new naturalization cases are receipted to track the application folders. The interface with RAFACS also checks to

see if the A-File is present at the processing site. If not, the files are retrieved through CIS transfer requests and cases are held until the files arrive on-site.

The system must also communicate with the FD-258 tracking system to confirm that the requirement for providing a valid fingerprint card for a FBI check has been satisfied before a case can be scheduled for interview. Additionally, a G-325A FBI name check is submitted on tape for each N-400 applicant. To support the capability for applicant information requests, IVRS and web access systems must be updated. In the future, the system will be enhanced to take advantage of PAMS, a central repository of attorney information.

1.1.1.31 External Interface Processing

The system shall provide the capability to access multiple systems for resolution of required data discrepancies in the Service Center. The system shall in the future provide the capability to accommodate multiple system access during adjudication in DO. The system shall in the future provide the capability to hot key to a concurrent online session in another system to support real-time inquiries against CIS during Adjudication in DO.

1.1.1.31.1 INTERFACE WITH RNACS MAINFRAME

The system shall provide a means of updating RNACS with data on N-470, N-565, N-600, and N-643 forms to enable RNACS to handle all subsequent processing. The system shall provide a means of updating RNACS with N-400 data sufficient to identify duplicate application filings. The system shall provide a means for identifying groups in RNACS. The system shall provide a means to update RNACS with case status at the following points in the processing cycle:

- Initial data entry (following validation of A-Number)
Completion of background checks in initial processing
Examination scheduling
Approval for oath ceremony (following Reverification of Grant)
Oath ceremony scheduling
Issuance of naturalization certificate
Denial
- Administrative close-out of case

The system shall in the future provide a means of querying RNACS to determine whether a given A-Number is associated with a prior application. The system shall provide a means to facilitate the transfer of applications from one office to another by using the RNACS mainframe interface.

1.1.1.31.2 INTERFACE WITH CIS

The system shall automatically check the CIS to determine whether the A-Number associated with each naturalization application exists in the CIS. The system shall validate the A-Number and date of birth against the existing information in the CIS. The system shall in the future provide the capability to access and update the CIS online. The system shall in the future provide a CIS online lookup capability to facilitate efforts to supply missing A-Numbers during Adjudication. The system shall update the CIS with the Certificate Numbers and the dates of naturalization every evening for applications closed out that day. The system shall in the future update CIS with any other subsequent status changes, such as denaturalization and/or

expatriation. The system shall provide a means of updating name changes in case history data in the CIS.

1.1.1.31.3 INTERFACE WITH RAFACS/CIS

The system shall provide a means of updating RAFACS as application folders are created. The system shall in the future check CIS automatically to determine the location of A-Files for all applications entered that day that have not had receipt of the A-File acknowledged. The system shall in the future initiate a file transfer request if the A-File is not in the office where the application is entered. The system shall in the future generate a pick list and route it to the office's printer if the A-File is already in the office. The system shall in the future initiate the A-File location check through an interface to the Workflow function. The system shall in the future invoke the interface to request transfers of applications from the SC to local offices, in preparation for interviews. The system shall generate a pick list. The system shall provide for continued use of RAFACS to track the physical files locally. The system shall in the future track progress of critical file-handling processes through RAFACS interface with Workflow.

1.1.1.31.4 INTERFACE WITH PAMS

The system shall in the future provide capability to access and update attorney information held in the PAMS. The system shall in the future create the local attorney file using valid PAMS data for the pilot office as well as the local attorney files. The system shall in the future support queries for attorney information during application receipting and adjudication including Attorney State License numbers and an attorney listing for a given office.

1.1.1.31.5 INTERFACE WITH FD-258 FINGERPRINT CARD TRACKING SYSTEM

The system shall extract information from the FD-258 Fingerprint Card Tracking System and update CLAIMS 4 with status information. The system shall in the future support the electronic submission of FD-258 fingerprint and biographic data to the FBI via an interface with IDENT. The system shall provide the ability to re-schedule applicants/petitioners for fingerprint processing whose FD-258 cards are returned from the FBI as unclassifiable. The system shall generate re-scheduled fingerprint appointment requests containing a code (request type identifier) distinguishing it from the initial scheduling request. The system shall enforce a limit of one on the automatic generation of re-scheduling requests for applicants/petitioners whose FD-258s have been returned as unclassifiable. The system shall, upon receiving a second unclassifiable response from the FBI for an N-400 applicant/petitioner, release the case to the next processing step as assigned by INS established business rules.

1.1.1.31.6 INTERFACE WITH FBI NAME CHECK SYSTEM

The system shall provide the capability to generate requests for G-325A FBI Name/Date of Birth checks for each N-400 applicant. The system shall transmit the request to the mainframe or other enterprise platform for shipment to the FBI. The system shall capture the date and time when each G-325A Name/Date of Birth check request was issued. The system shall not allow a naturalization case to be scheduled for examination until results of an FBI name check have been received, or until 45 days have elapsed from the time the request was sent to the FBI. The system shall identify each G-325A Name/Date of Birth check request using a unique 10-character Customer Identification Number. The system

shall record the status of the G-325A Name/Date of Birth check, associated with the application distinguishing cases that are awaiting submission of the name check, responses from the FBI, or that have been satisfied by the FBI.

The system shall provide an interface capable of reading the magnetic tape returned by the FBI in response to the G-325A Name/Date of Birth check request. The system shall, in the event of an FBI response to a G325A name check request, read the error records downloaded by the mainframe or other enterprise platform, and record an 'error' response for the relevant applications, and the error message(s), if available. The system shall, in the event of an FBI response to a G325A name check request, read the no-hit records downloaded by the mainframe or other enterprise platform, and record a 'no-hit' response for the relevant applications. The system shall, in the event of an FBI response to a G325A name check request, read the "indices popular" records downloaded by the mainframe or other enterprise platform, and record an "indices popular" response for the relevant applications. The system shall process the file of G325A error responses downloaded from the mainframe or other enterprise system. The system shall alert the adjudicator when an applicant's name-search has returned an "indices popular" processing response (a hit) indication, so that he/she can check the A-File for the proper disposition of the rap sheet. The system shall in the future provide the capability to transmit requests for G-325A FBI Name/Date of Birth checks for N-400 applicants electronically (rather than by tape) to the FBI.

1.1.1.31.7 INTERFACE WITH IVRS

The system shall provide basic application status information (including statuses of received, received - fee waived, received - fee in suspense, fee suspense action, etc.) to the IVRS on a regular periodic basis to allow applicants to obtain application status telephonically. The system shall in the future provide all standard application status codes/information to the IVRS on a real-time basis to allow applicants to obtain application status telephonically.

1.1.1.31.8 INTERFACE WITH FINANCIAL SYSTEM

The system shall in the future generate a transaction file for the INS payment processing system with information on overpayments.

1.1.1.31.9 INTERFACE WITH RAPS – FORM I-881

The system shall transfer an I-881 case to RAPS, by uploading a data file, if

- the applicant has provided the minimum fee required, including the filing fee for the I-881 form and the fingerprint processing fee
- the required photographs have been submitted
- CIS A-Number verification or A-Number resolution is successful.

The system shall include the following fields in the interface file:

- A-Number (9-byte character field; required)
- Last Name (30-byte character field; required)
- First Name (23-byte character field)

- Middle Name (15-byte character field)
- Address: C/O (30-byte character field)
- Address: Street 1 (30-byte character field; required)
- Address: Street 2 (30-byte character field)
- City (16-byte character field; required)
- State (2-byte character field; required)
- ZIP (9-byte numeric field; required)
- Sex (1-byte character field, valid values 'M' or 'F'; required)
- DOB (8-byte date field, format CCYYMMDD; required)
- COB (5-byte character field, valid values as in CCTB; required)
- Nationality (5-byte character field, valid values as in NCTB; required)
- Date of Entry (8-byte date field, format CCYYMMDD; required)
- Status at Entry (3-byte character field, valid values as in NIMM and ESCT; required)
- Place of Entry (5-byte character field, valid values as in PORT; required)
- Eligibility Indicator (4 1-byte character fields, valid values 'a', 'b', 'c', 'd'; required)
- Sponsor A-Number (8-byte character field; required if eligibility indicator = 'd')
- Sponsor Relationship (1-byte character field; valid values 'P' for parent, 'S' for spouse; required if eligibility indicator = 'd')
- Check status (1-byte character field, with values indicating that the check was returned, or that the hold has been lifted)
- Attorney ID (9-byte PAMS code, 3 alpha geographic code followed by 6 numeric)
- New A-File (1-byte character field, valid values 'Y' for newly assigned A-file, 'N' for pre-existing A-file; required)
- Application ID (13-byte character field; 3 characters indicating the Service Center entering the case followed by '*', and a 9-digit number; required)
- Application Receipt Date (8-byte date field, CCYYMMDD; required)
- Upload Date (8-byte date field, CCYYMMDD; required)

The system shall be capable of processing a confirmation file from RAPS with a record for each uploaded case that includes:

- Upload Result (1-byte character field, values 'C' for correct or 'E' for error; required)
- Application ID (13-byte character field; 3 characters indicating the SC entering the case followed by '*', and a 9-digit number; required)
- A-Number (9-byte character field; required)
- Upload Date (8-byte date field, CCYYMMDD; required)
- Multiple error messages consisting of:
 - Error Field (2-byte numeric field ID)
 - Error Code (1-byte character field)

The system shall notify RAPS if an I-881 applicant's bounced check has not been corrected 30 days after applicant's initial filing. The system shall notify RAPS when an I-881 applicant whose check has bounced has provided the required fee (including the bounced check notice,) or when the standard grace period for doing so has elapsed.

Workflow Management Process Description

The system must have the capability to ensure Workflow processes through the necessary managed configuration is properly implemented.

1.1.1.32 Workflow Management Processing

Workflow ensures that the system processes are configured to meet work-related requirements in a uniform manner with full tracking and accountability.

1.1.1.32.1 CONTROL AND PROCESS FUNCTION

The system shall control and direct the processing of applications through the update of activity states that subsequently initiate or allow other activities. The system shall validate whether the user has the proper role and/or authority to perform the activity requested. The system shall ensure that users can only perform activities on cases assigned to them or to their role. The system shall ensure that activities are processed in the correct chronological and business requirement order. The system shall have the capability to control case processing based on user-initiated activities or events. The system shall have the capability to control case processing based on system-initiated or time-controlled activities or events. The system shall provide a list of all the recent cases that have been submitted to the Workflow Management System at a given site, showing for each case: process name, process identifier, status, start time, and end time. The system shall provide a list of all the current activities that have been performed on a selected case, showing: activity name, status, expected start and expiration time, and user identifier of the person that completed the activity. The user can select a case from the list of cases displayed or can enter a specific case in a text box on the GUI. The system shall provide a historical list of activities performed on a selected case, showing: activity identifier, activity name, start time, and user identifier of the person who completed the activity. The system shall provide the end conditions that resulted from processing a selected activity. The system shall produce a graphic representation of the case processing (Workflow Activity Monitor) that shows the state of all the activities performed on the case. The graphic representing an activity changes colors based on the status of the activity. The system shall update the activity and case status information upon user request. The Workflow Management system shall clean up scheduler tables after a scheduled event has expired. A scheduled event is defined as an applicant's appointment created by the automated CLAIMS 4 scheduler.

The system shall provide the capability to zoom-in on the N-400 Data Entry to Scheduling tab within the Workflow Activity Monitor, providing a detailed view of the form with vertical and horizontal scroll bars. The system shall provide a Workflow management tool to view and modify the Workflow status of a case. The system shall provide the capability to complete an expired activity and push the process to the next logical step. The system shall provide the capability to evaluate the need for the insertion of expired activities. The system shall provide the capability to track ad hoc or unexpected activities that are not process driven. The system shall provide the capability to establish expected start time and expiration time for time sensitive activities.

The system shall provide the capability to perform parallel activities on a case when necessary. The system shall provide the capability to suspend case processing based on business rules. The system shall provide the capability to perform exclusive processing on a case for specified activities.

1.1.1.32.2 METRICS AND STATISTICS FUNCTION

The system shall provide accurate time stamps and audit trail (case history) of all activities performed for a single case. The system shall indicate where an application is located in the process at any given time. The system shall in the future maintain composite statistics of the time spent performing activities. The system shall in the future maintain composite statistics of the time spent between activities waiting for a task to be performed. The system shall maintain production statistics that satisfy the requirements of G-22 accounting.

Case Status Process Description

The system will provide a GUI for the Case Status subsystem with the capability to perform a series of processes that includes displaying list format and criteria searches, as required.

1.1.1.33 Case Status Processing

The system shall provide a GUI for the Case Status subsystem. The system shall provide the capability to enter search criteria to locate an application or list of applications. The system shall display in list format those applications that satisfy the specified search criteria. The system shall, if only one application satisfies the criteria, automatically display its Workflow history, status, and RAFACS A-File location. The system shall provide the capability, when more than one application satisfies the search criteria, to select an application from the displayed list and view its Workflow history, status, RAFACS A-File location, and any scheduled event.

The system shall display the following information for each selected case on the main form:

- Name
- Application ID
- Alien Number
- Form Number
- Last Name
- First Name
- Date of Birth
- Country of Birth
- Mailing Address
- Case Location
- Mailroom Date Received
- CIS Match Info
- Payment ID
- Payment Status
- Fee
- Workflow Status
- Workflow History

If no applications satisfy the query, the system shall display a message indicating this to the user. The system shall accept search criteria that include but are not limited to the following:

- Application ID
- A-Number
- Form Number
- First Name
- Last Name
- Social Security Number
- Date of Birth
- Country of Birth
- Mailing Address
- Attorney's Last Name
- Attorney's First Name
- Attorney Legal ID
- Attorney State License Number
- Attorney VOLAG number
- Application location
- Port of Entry
- Date of Entry range
- Date of Birth range
- Payment ID
- Certificate Number

The system shall provide the capability to invoke case status display from other modules or components of the system, including adjudication, batch status update, and scheduler. The system shall provide the capability to view the Scheduling, Fingerprint, Attorney, and Payment Details sub-forms.

The system shall display a Scheduler screen within the Case Status subsystem that shows, for interviews and oath ceremonies:

- Interview Location Address
- Interview Room and Section Number
- Interview Date and Time
- Ceremony Location Address
- Ceremony Room and Gate Number
- Ceremony Date
- Ceremony Gate Time and Start Time
- Ceremony Type
- Certificate History

The system shall display a Fingerprint screen within the Case Status subsystem that shows:

- CIDN
- FBI Control Number
- FBI Response
- FBI Response Date

Adjudicator ID (for overrides)
Data Entry ID
Modified FBI Response
Date Modified
Modified by Adjudicator ID
Modified by Data Entry ID

The system shall display a Attorney screen within the Case Status subsystem that shows:

- Attorney's Last Name
- Attorney's First Name
- Attorney Legal ID
- Attorney State License Number
- Attorney VOLAG Number
- Attorney Mailing Address
- Attorney Phone Number
- Type of Appearance

The system shall display a Payment screen within the Case Status subsystem that shows:

- Workflow status
- Workflow History
- Applicants with the same Payment ID
- Remittances

The system shall provide the capability to print the case status as well as various labels.

DETAILED DATA REQUIREMENTS

This section describes the data requirements for the naturalization reengineering functional processes in Section 2. All data elements that are part of the input, processing, and output parts of the functional process requirements are depicted in the Logical Data Model (LDM) and logical data relationships. The logical data relationships conform to the INS Enterprise Data Model.

Logical Data Relationships

This section describes the appropriate relationships among the entities by using graphics and text. The Entity Relationship Diagrams are included for illustrating logical-data relationships and can be found in Attachment B, Entity Relationship Diagrams.

RECORDS MANAGEMENT REQUIREMENTS

The system will keep closed cases online for 18 months and archive all old cases (more than 18 months old) including denials. Currently, denials remain on the system indefinitely. The system will allow for the transfer of cases.

USER PERFORMANCE REQUIREMENTS

The project was designed and developed to effectively support the reengineered naturalization business process. As such, it adhered to user performance requirements in the areas of timeliness and testability, as discussed below.

Timeliness

The project supported the need for timely access to accurate data. Specifically, it addressed data currency and system responsiveness and availability, as stated in the paragraphs below.

Data Currency

Data were current at both the SC and DO sites. This enabled the shared use of the centralized Oracle database for storage of all character-based case data.

System Responsiveness

System response time for retrieval of electronic images will not exceed 15 seconds or 5 seconds for character-based text data 95 percent of the time.

System Availability

The goal for system availability is 24 hours a day, 7 days a week. This availability will be constrained by normal system maintenance requirements to ensure optimal performance and maximum data recovery.

Testability

The design and architecture was highly modular in order to support ease of testing and modification. In addition, Attachment A, Requirements Traceability Matrix, provides a set of measurable requirements that will greatly facilitate the creation and implementation of a comprehensive system test plan.

Requirements Traceability Matrix

Attachment A maps the essential components of the FRD to the development phases.

SYSTEM PERFORMANCE REQUIREMENTS

CLAIMS 4 was designed to handle several key performance requirements ranging from sizing and capacity to response, reliability, and system growth.

System Sizing and Capacity Requirements

The reengineered NATS pilot supported 350 to 1,000 applications per day. Sizing calculations were based on 1,000 applications per day. The Release 1 pilot system was operational for several months and evolved into CLAIMS 4. The capacity requirements to support this pilot will be provided in the Hardware/Software Configuration and Estimate deliverable.

System Response Requirements

The NATS pilot accommodated a response time of no more than 15 seconds 95 percent of the time to retrieve and display electronic images and no more than 5 seconds response time 95 percent of the time for character-based text data.

Reliability Requirements

The goal of system availability is 24 hours a day, 7 days a week. This availability will be adjusted to accommodate system maintenance time necessary to ensure optimal system performance and maximum data recovery.

System Growth Requirements

The pilot was sized to accommodate up to 1,000 naturalization applications per day. During the course of this pilot, demand was not expected to grow. However, because the system was a pilot for a future national system, it was designed and developed to accommodate a national demand within the confines of the development schedule. CLAIMS 4 continues the process.

SECURITY REQUIREMENTS

CLAIMS 4 was designed and developed to support all relevant INS computer and telecommunications security regulations as documented. Specifically, the design will be based on the need to secure naturalization data to prevent both internal and external fraudulent activity. This will be accomplished by designing user ID and password protections on all functions requiring higher levels of authorization for the performance of certain functions and subfunctions and by providing audit trails for all system actions.

QUALITY ASSURANCE

In order to support the reengineered naturalization business process and to provide the basis for the development of a fully integrated benefits management system, CLAIMS 4 adhered to the following quality factors:

- **Correctness**—All specified functions within CLAIMS 4 were implemented and the performance of the software met specified criteria.
- **Efficiency**—The system was designed and developed to work as efficiently as possible.
- **Expandability**—The software's functionality was expandable to facilitate the incorporation of new functionality in subsequent releases.
- **Integrity**—The software and database were designed to enforce the performance of appropriate data updates.
- **Manageability**—Administrative aspects of software modification were facilitated by tools, such as configuration-control systems and source-code libraries.
- **Usability**—CLAIMS 4 was made user friendly through the use of a GUI.
- **Reliability**—CLAIMS 4 was designed and developed to prevent inaccurate results, slow response, and system failures.
- **Reusability**—Portions of the software were usable for other applications, and in particular, with the fully integrated benefits management system to be developed in the future.

SECURITY INTEGRITY CONTROLS

The granting of naturalization provides the qualified recipient with the full rights of U. S. citizenship. The illegal acquisition of naturalized status undermines the INS and negatively affects national interest.

Data processing systems use information for which the loss, misuse, unauthorized modification of, or unauthorized access to, could affect the national interest, the conduct of Federal programs, or the privacy to which individuals are entitled under Section 552a, Title 5, U. S. Code.

It was imperative effective audit and control processes were developed for the CLAIMS 4 system. The requirements listed below provided the basis for that development.

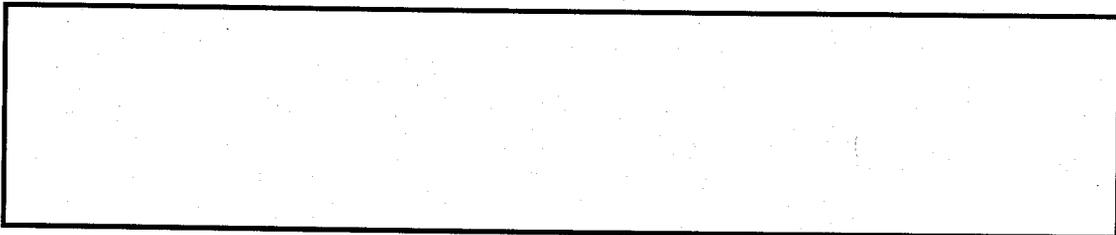
Requirements

This portion outlines the audit and control processes developed for the CLAIMS 4 system. This process will be refined and adjusted as warranted.

User Identification and Authentication

Only authorized personnel should have access to the system. The system shall control and limit user access based on the identification and authentication of the user via password and user ID.

(b)(2)



Discretionary Access Control

Access to the system objects (files, directories, printers, or other devices) will be restricted. This will be implemented by access control lists. The system will keep a file of System Administrators, Supervisors, and Certified Adjudication Officers and use the information in this file to determine whether a user is authorized to access the administrative, supervisor, or Adjudication and Reporting functions.

Software and data can only be modified by authorized individuals. There will be controls to prevent unauthorized modification of an individual's case and case history.

Transaction Auditing

Transaction auditing is the production of a set of chronological records that provides evidence of system activity. CLAIMS 4 system used audit trail records to reconstruct, review, and examine

transactions from data entry to case close out, in an effort to detect, identify, and combat fraudulent and dishonest transactions. All transactions made against an application for a naturalization benefit were subject to monitoring and review.

Audit trail records were additionally designed to assist in the investigation of system malfunctions or compromise of data. In such an event, the audit trails helped to restore and reconstruct any data that may have been compromised.

Networks and Telecommunications

Realizing that CLAIMS 4 was developed to operate on a combination of the local area network (LAN) and wide area network (WAN) protocols, three areas of requirements were addressed:

- **Communications Integrity**—The system was designed in a way that supports data integrity throughout the communications network, while supporting multiple points of access, sharing of data, and avoiding the potential dangers of simultaneous updates.
- **Compromise Protection**—The system ensured that sensitive information transmitted over facilities beyond INS control was protected.
- **Encryption**—If a network is used to transmit sensitive data, encryption of data is recommended.

Software Protection

All software present on a system must be licensed by a vendor or a manufacturer. A virus detection software package is recommended for all PCs. An anti-virus program should be memory resident so that it can detect potential viruses from floppies or tapes.

Critical Data Items

The following data items should have limited access or review of access:

- Name
- Address
- Date of Birth
- A-Number
- Certificate Number

Criticality, Risk, and Personal Security Clearance Levels

This is to be determined.

Control, Reporting, and Retention Period Requirements

Specific requirements for the system to handle control, reporting and retention such as archival and traceability are being determined.

Archive Strategy

The archive strategy will involve the transfer of records from the active database to an inactive database. This will provide quicker database access, data recovery, and database backup. The rules for the transfer will reflect the guidelines presented by COSCO. These rules are structured so that the case is archived if a specified amount of time has passed after a given action is recorded in the person's history file. All personnel records will remain as a stub, with minimal data on the active database.

The system will also provide a means for retrieving the case from the inactive file and moving it back to the active file. Applications are archived when they have been closed for more than 18 months.

Traceability of Original Input Documents

All input documents are to be added to the A-File and can be retrieved via the physical A-File in the usual manner.

Identification of Standard INS Codes

This is to be determined.

TRAINING

Training was provided to facilitate the user's transition to the CLAIMS 4. Training curriculum and materials were directed toward the following job functions:

- Clerical
- Supervisor
- Adjudicator
- ADP Support

Training focused on new aspects of the system, including naturalization management, Adjudication processing screens, new Scheduling functionality, hot key access to other systems, and Certificate Production. Courses and training materials will be developed as well as user reference manuals. As a part of implementation planning, training requirements were fully documented and training plans developed.

APPENDIX A—ACRONYMS

A-File	alien file
A-Number	alien number
AAO	Administrative Appeals Office
ADP	Automated Data Personnel
API	Application Programming Interface
ASC	Application Support Center
BSU	Batch Status Update
CBO	community-based organization
CCO	County Control Office
CIDN	Contributor Identification Number
CIS	Central Index System
CLAIMS	Computer-Linked Application Information Management System
CLAIMS 3/MRD	FBI Fingerprint
CM	Configuration Management
CM	Case Management
CR	CLAIMS Resolution
DLL	dynamic link library
DO	District Office
DOJ	Department of Justice
EIM	External Interface Module
FBI	Federal Bureau of Investigation
FCO	File Control Office
FD-258	Request for FBI Background Check
FD-258 EE	Enterprise-wide Fingerprint Card Tracking System
FRD	functional requirements document
GUI	graphical user interface
G-325B	Biographic Information form
HQ	Headquarters
ID	Identification
IDMS	Integrated Database Management System
INS	Immigration and Naturalization Service
ITP	Information Technology Partnership
LAN	local area network
LDM	logical data model
MDI	Multi-Document Interface
MS	Microsoft Corporation
NACS	Naturalization Automated Casework System
NATS	Naturalization System
N-400	Application for Naturalization
N-426	Request for Certification of Military or Naval Service
OC	Oath Ceremony
ODBC	Open Database Connectivity
OIRM	INS Office of Information Resources Management
OLE	Object Linking and Embedding

OMG	Open System Management Group
OOD	Object Oriented Design
ORI	organization identification
PICS	Personal Identification Control System
POE	Port of Entry
QA	Quality Assurance
Q&A	Question and Answer
RAD	Rapid Application Development
RAFACS	Receipt and Alien-File Accountability and Control System
RAPS	Refugee Asylum and Parole System
RDBMS	Relational Database Management System
RDO	Remote Data Object
RNACS	Reengineered Naturalization Automated Casework System
RTM	Requirements Traceability Matrix
SC	Service Center
SDLC	Systems Development Life Cycle
SID	Scheduler Information Database
SNA	System Network Architecture
SQL	Structured Query Language
T&E	Test and Evaluation
T-number	Temporary Number
TBD	To Be Determined
TCP/IP	Transmission Control Protocol/Internet Protocol
TIP	Technology Infrastructure Project
UML	Unified Modeling Language
US	United States
VOLAG	voluntary agency
WAN	wide area network