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1. INTRODUCTION

1.1 Project Description

The Computer-Linked Application Information Management System 4 (CLAIMS 4) is the new naturalization sub-system reengineering project that will replace the Reengineered Naturalization Automated Casework System (RNACS) that resides on the Department of Justice (DOJ) Mainframe. The architecture of CLAIMS 4 includes efficient technologies, such as the Novell Local Area Network (LAN), client/server systems with Windows 95 and NT, three-tier robust application processing with a friendly Graphical User Interface (GUI), a solid Oracle Database Management System (DBMS) in the background, and communication facilities to other Immigration and Naturalization (INS) legacy systems on the Mainframe.

Subsequent sections provide a detailed description of the system functions that constitute CLAIMS 4.

1.1.1 Background

The increase in naturalization applications has caused the application processing time to rise to unacceptable levels. In response, the INS pursued new methods of conducting naturalizations and automating support for these new processes.

1.1.2 Purpose

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

A database 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 on a service-wide level. 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 (DOB). 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.

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1.1.3 Assumptions and Constraints

The following assumptions are related to the CLAIMS 4 functionality noted in the Requirements Traceability Matrix (RTM) NCY01.10019-00.F*0-CSC:

- **Data Entry**—Data Entry provided for naturalization forms currently supported by CLAIMS 4, Release 5.4. However, full system support provided for N-400 applications only. Future releases will provide data entry functions for all naturalization processes and other benefit applications.
- **Imaging**—Imaging will not be supported. Capture and usage of the applicant's photograph for certificate generation purposes will remain a manual process. Generation of the Naturalization Certificate using the imaged photo will be included in future releases.
- **Scheduling**—Scheduling embraces the functionality of the current CLAIMS scheduler with enhancements to support the scheduling of the Oath Ceremony.
- **Adjudications**—Adjudications will not support application profiling.
- **Interface**—The interface is fully automated to mainframe NACS, Central Index System (CIS), and the Receipt and Alien-File Accountability and Control System (RAFACS), RAPS, SID, RNACS, CFR and PAS. In addition, a semi-automated interface to the Federal Bureau of Investigation (FBI) was supported.
- **Workflow**—Workflow supported application capabilities and full N-400 productivity statistics, and reporting in baseline version.

Note: Additional functionality may be included when excluding the functionality causes greater effort than including the proposed functions.

The following constraints were applied within the baseline version of the CLAIMS 4 project:

- **Reengineered Processes**—Support was provided for the reengineered processes only to adequately measure the potential of the reengineered system.
- **Baseline Capacity**—Baseline volume was 1.7 million applications per year.

1.1.4 Interfaces to External Systems

The CLAIMS 4 external interface is designed to provide the capability to interface with systems external to CLAIMS 4, both for queries and for update capability. The systems for which interfaces are required include the Central Index System (CIS), the Receipt and Alien-File Accountability and Control System (RAFACS), the Reengineered Naturalization Automated Casework System (RNACS), the Enterprise-wide Fingerprint Card Tracking System (FD-258 EE), the Scheduler Information Database (SID), the Refugee Asylum and Parole System (RAPS), and the Performance Analysis System (PAS). In addition, the CLAIMS 4 External Interface system also receives fingerprint schedule requests from RAPS, CLAIMS 3, and RNACS, and inserts those requests to SID. Details are as follows:

1.1.4.1 Interface With CIS

The interface with CIS function is designed to accomplish the following:

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- **A-Number Validation for Naturalization Applications**—The CLAIMS 4 interface will send a request to CIS to determine whether the A-Number associated with each naturalization application exists. Upon receipt of the A-Number validation request, CIS will respond to CLAIMS 4 interface with a file containing pertinent information for the validated A-Numbers. CLAIMS 4 interface will store this file in the CLAIMS 4 database for later verification and information matching activities.
- **A-File Transfer Request**—The CLAIMS 4 interface will initiate a request to CIS for transfer of the applicant's A-File in the event that it is not located onsite. CIS will in turn send a request to the file owning RAFACS to transfer the A-File to the processing office. The file owning RAFACS will update CIS with a new file location.
- **Central Index Update for Naturalized Applications**—The CLAIMS 4 interface will update CIS when an application is closed out as naturalized at the oath ceremony or at application closeout. The update, which includes the certificate numbers and the date of naturalization, takes place every evening for applications closed out that day. Any other subsequent status changes, such as denaturalization and/or expatriation, are also replicated onto the CIS.

1.1.4.2 Interface With RAFACS

The interface with RAFACS function is designed to accomplish the following:

- **A-File Retrieval**—The CLAIMS 4 interface will send a request through the External Interface Module (EIM) GUI to the local RAFACS system at the processing office to determine if the A-File is located in-house. If the A-File is not found at the processing office, the CLAIMS 4 interface will initiate a request to CIS to have the file transferred to the processing office. The CLAIMS 4 interface will continuously query RAFACS for 30 days, expecting the A-File to eventually show up there. After 30 days, or the "A-File diligent search period" has expired, the A-File retrieval activity will finish allowing the next activity to be active.
- **A-File Creation**—If the application does not have the A-Number, and a new A-Number is assigned to it, the CLAIMS 4 interface will initiate a request to RAFACS to create an A-File for this applicant.
- **Receipt File Creation**—After an application is receipted in CLAIMS 4, the CLAIMS 4 interface will send a request to RAFACS to create a receipt file containing the physical receipt document.
- **A-File Shipment**—Once scheduling has been accomplished and the applicant has been notified, the A-Files must be pulled and shipped to the District Office (DO) before the examination interview and adjudication. The CLAIMS 4 interface produces a pick list of A-Files to be pulled. The DO will acknowledge the receipt of the A-Files and update CIS with the new location via the RAFACS/CIS interface.

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1.1.4.3 Interface with RNACS

The interface with RNACS function is designed to perform and allow data entered from naturalization forms to be passed for post-data entry processing. The RNACS interface provides 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. It also provides a means of updating RNACS with N-400 data sufficient to preclude duplicate application filings and provide a means of querying RNACS to determine whether a given A-Number is associated with a prior RNACS application.

1.1.4.4 Interface With RAPS

The interface with RAPS function is designed to perform and allow data entered from suspension of deportation forms to be passed for post-data entry processing. The RAPS interface provides a means of updating RAPS with data on I-881 forms to enable RAPS to handle all subsequent processing.

1.1.4.5 Interface With CLAIMS 3

The CLAIMS 3 interface function is designed to provide CLAIMS 3 with application data so that CLAIMS 3 can include those in the magnetic tape sent to the FBI for fingerprint checking. This action will be a direct insertion to CLAIMS 3 BTREIVE database with new CLAIMS 4 application data. **Note:** This interface has not been implemented.

1.1.4.6 Interface With FD-258 EE System

Currently, the FD-258 EE updates an interface table in the EE Schema, which CLAIMS 4 reads from, processes the records for, and then cleans out. Future enhancements would include replacing the direct access to CLAIMS 4 with interface public methods so that FD-258 EE would interface with CLAIMS 4 through these methods. This future design is to encapsulate CLAIMS 4, ensure data integrity, and minimize the operational impact if either system is not available.

1.1.4.7 Interface With CoA-by-Phone Service

As the CoA-by-Phone Service capability is opened up to Naturalization applicants throughout the country, the customers will be able to call the INS National Customer Service Center (NCSC) on the existing 800 number and provide their new address and phone number data. The plan currently calls for a gradual rollout on a city-by-city basis. The customer service representatives at the NCSC, after verifying the applicant is who they say they are, will enter the new address and phone number information using their standard Call Center application, the Edge system.

On a daily basis, the INS data systems, CLAIMS 4 and RNACS, will attempt to find the applicant and update the applicant address data. If the update program cannot make the update, the CoA request record will be flagged to indicate that a manual review and update is required. The target goal is to have every address change applied in no more than 10 days from when it was taken.

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1.1.4.8 Interface With CFR

The CLAIMS 4 to CFR interface will be executed on a daily basis. This interface is an Oracle table-to-table transaction where data are moved from one system to the other.

The CFR system is used to review applicant files. It will identify and obtain any missing documents in order to create a complete file for adjudication. This system will reduce the number of naturalization cases continued for missing documents and provide better service to naturalization applicants by ensuring that applicant files are complete at the time of the naturalization interview. Additionally, it will also provide Adjudicators with a complete file at the time of interview. This will lead to better interviews and more informed decisions.

1.1.4.9 Interface With PAS

The CLAIMS 4 to PAS interface is designed to eliminate a data redundancy that currently exists between the two systems. Fully deployed, the interface will pass from CLAIMS 4 to PAS data for all INS Adjudications and Naturalization applications tracked on the G-22.2 and G-22.3 Report of Field Operations. Information on Supplemental Processing, Evidence Requests, and N-400 Processing currently on the G-22.3 will also be captured.

The interface will be implemented in phases. As CLAIMS 4 expands to capture additional applications, the interface will be expanded to handle these data. Currently, N-400 Direct Mail Naturalization applications are the only applications entered into CLAIMS 4. Therefore, the initial version of the interface will pass N-400 Direct Mail Naturalization data only.

1.1.4.10 Interface with FBI

The CLAIMS 3 interface function is designed to provide CLAIMS 3 with application data so that CLAIMS 3 can include those in the magnetic tape sent to the FBI for fingerprint checking. Currently, the FD-258 Enterprise Edition (EE) updates the CLAIMS 4 database directly with the FBI fingerprint responses.

1.2 Points of Contact

Exhibit 1, Points of Contact, lists CLAIMS 4 key points of contact.

Exhibit 1: Points of Contact

	Chief, Development Branch	Immigration Services Division
	IT Project Lead	INS
	Project Manager	CSC
	C4 Systems Architect	CSC
	C4 Release Manager	CSC
	C4 Development Lead	CSC
	C4 Test Lead	CSC
	C4 Quality Manager	CSC

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Exhibit 1: Points of Contact (continued)

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	Configuration Management	CSC
	C4 Documentation	CSC

1.3 Document References

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

- *System Development Life Cycle (SDLC) Manual*, Version 4.0, June 18, 1999, SMI-0039-DSD -112-NA-10048
- *CLAIMS 4 Requirements Traceability Matrix*, March 4, 2003, NCY01.10019-00.F*0-CSC
- *INS Enterprise Configuration Management Plan*, Version 1.0, November 15, 1999, CFY.90046-00.F*0-SAI
- *System Design Document for CLAIMS 4*, November 15, 2002, NCY00.20009-00.F*0-CSC
- *CLAIMS 4 Operations and Administration Guide*, November 15, 2001, NCY00.50003-00.F*0-EDS
- *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 Sub-system 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)
- *Systems Operations and Administration Guide for CLAIMS 4*, December 15, 1998 (NCY00.50003-00.W*1-EDS)

1.4 Glossary

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

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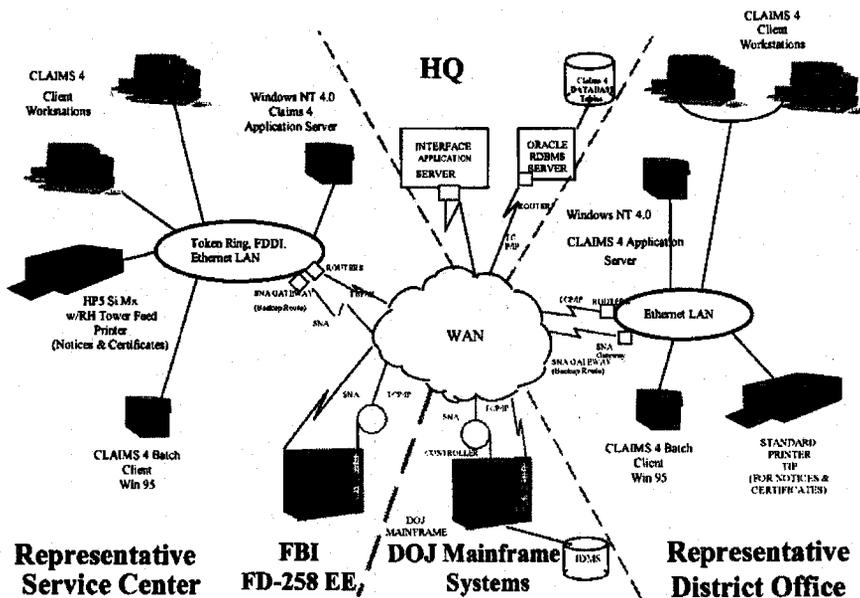
2. FUNCTIONAL PROCESS REQUIREMENTS

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

2.1 Data Requirements

This section provides a high-level diagram that identifies the INS enterprise network typology. Exhibit 2, CLAIMS 4 Architecture, depicts the hardware infrastructure required for successful deployment of CLAIMS 4 throughout the INS. Exhibit 2 also identifies the required typology for Headquarters, Service Centers (SCs), DOs, and the DOJ mainframe.

Exhibit 2: CLAIMS 4 Architecture



2.2 Functional Process Requirements

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

- Mailroom Receiving and Data Entry
- Finance and Paymerge
- Adjudication
- Case Management
- Scheduler/ Oath Ceremony Management (formerly Document Production)
- Certificate Generation

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- Notices
- Report Process
- System Maintenance
- External Interfaces
- Workflow
- Case Status

2.2.1 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.

2.2.1.1 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.

2.2.1.2 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 community-based organizations 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.

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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.

2.2.1.3 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)

2.2.1.4 Receipting and Data Entry Processing

1.1.0-1 (FR3) The system shall provide a GUI.

1.1.0-2 (FR1553) The system shall provide the ability to data enter any currently accepted version of the N-400 using version-specific display conventions and validation rules.

1.1.0-3 (FR1556) The system shall provide the ability to maintain an expiration date for each version of the N-400 form.

1.1.0-4 (FR1557) The system shall prevent users from data entering any version of the N-400 form once the current date is equal to or greater than the version expiration date.

2.2.1.4.1 MAILROOM PROCESSING

1.2.0-1 (FR5) The system shall allow the application to be started in the mailroom.

1.2.0-2 (FR6) The system shall provide a user interface to enter the batch date and time of the mail.

1.2.0-3 (FR7) The system shall allow the user to enter the number of applications and remittances received, using defaults of one for each.

1.2.0-4 (FR8) The system shall generate a new and unique application identification (ID) for each application entered.

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1.2.0-5 (FR9) The system shall provide the capability to associate a single payment with multiple applications.

1.2.0-6 (FR10) The system shall print the application ID onto a bar-code label, along with the Mailroom date, receipt (data entry date) and application ID in readable form.

1.2.0-7 (FR11) The system shall generate a unique Payment ID for each payment. (If the number of remittances included in an application packet is zero (underpayment), it will not create a payment identifier.)

1.2.0-8 (FR12) 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.

1.2.0-9 (FR13) 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.

2.2.1.4.2 MAILROOM PROCESSING I-881

1.3-1 (FR1306) The system shall provide the availability to enter payment information only for a given I-881 application or group of applications.

1.3-2 (FR1307) The system shall when processing a payment of an I-881 application(s) provide the ability to generate labels carrying the payment identifier for each I-881 application to which that payment identifier applies.

2.2.1.4.3 PAYMENT DATA ENTRY PROCESSING

1.4-1 (FR15) The system shall provide the capability for a qualified user to select payment entry and to fill out the remittance details.

1.4-2 (FR16) The system shall support required fields as identified by the Immigration and Naturalization Service (INS).

1.4-3 (FR17) The system shall identify a check or money order that is not signed, that is not payable to the INS, that is not in U.S. currency, or where values do not match.

1.4-4 (FR18) The system shall provide stale date logic (not more than 6 months for check and no more than 2 years for money order.)

1.4-5 (FR19) 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.

1.4-6 (FR20) 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).

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1.4-7 (FR21) The system shall accept a payment consisting of multiple remittances, such as two checks and a money order.

1.4-8 (FR22) The system shall record a sequence number on the database along with the payment ID to allow for a single payment with multiple remittances.

1.4-9 (FR23) The system shall print the payment ID and sequence number on the check to identify to the system if it is returned from the bank.

1.4-10 (FR24) The system shall use the payment ID and sequence number on the check to identify the check to the system if it is returned from the bank.

1.4-11 (FR25) The system shall display the payment and the cumulative amount paid as remittances are entered and added to the payment.

1.4-12 (FR26) The system shall allow the user to indicate that a fee waiver has been requested by the applicant.

1.4-13 (FR27) The system shall route the application to a supervisor when a fee waiver has been requested.

1.4-14 (FR28) 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.)

2.2.1.4.4 APPLICATION DATA ENTRY PROCESSING

1.5.0-1 (FR30) The system shall allow N-400 data to be entered.

1.5.0-2 (FR1554) The system shall allow users to enter and/or update only one N-400 application at a time.

1.5.0-3 (FR1555) The system shall allow users to view and edit an N-400 application only using its version-specific display conventions and validation rules.

1.5.0-4 (FR31) The system shall allow data entry to begin after entering an application ID, if the initial data entry has not occurred.

1.5.0-5 (FR32) The system shall display the form with any data already entered after entry of an application ID, if the data entry has occurred.

1.5.0-6 (FR33) 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.

1.5.0-7 (FR34) The system shall issue a warning and prevent updates to the data if the case has already been sent to the DO for adjudication.

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1.5.0-8 (FR35) The system shall capture data from forms as entered by data entry personnel.

1.5.0-9 (FR36) The system shall check validity and referential integrity, as appropriate, for data entered on an application.

1.5.0-10 (FR37) The system shall require the applicant name and a mailing address before the N-400 application can be accepted.

1.5.0-11 (FR1538) The system shall allow the entry of the following data for address information:

1. Daytime Phone Number
2. Evening Phone Number
3. E-mail Address? Yes or No
4. E-mail Address (text entry if #3 is checked 'Yes')
5. "Care of" field

1.5.0-12 (FR38) The system shall require alien number (A-Number), date of birth (DOB), and Country of Birth (COB) information before the N-400 application can be fully processed.

1.5.0-13 (FR1514) The system shall require alien number (A-Number), Family Name (Last Name), Date of Birth, Country of Birth, Home Address and Mailing Address information before the 2001 version of the N-400 application can be fully processed.

1.5.0-14 (FR1356) The system shall allow data entry of applicant representative information.

1.5.0-15 (FR1539) The system shall require the user to indicate whether the applicant wants a legal name change when data entering the 2001 version of the N-400.

1.5.0-16 (FR1560) The system shall allow the user to enter the following fields after indicating that the applicant wants a legal name change when data entering the 2001 version of the N-400:

1. Family Name (Last Name)
2. Given Name (First Name)
3. Full Middle Name

1.5.0-17 (FR39) The system shall retrieve attorney data automatically from the Computer-Linked Application Information Management System (CLAIMS) 4 attorney tables after the attorney ID is entered and G-28 form is attached.

1.5.0-18 (FR1357) The system shall allow data entry of CBO information.

1.5.0-19 (FR1559) The system shall allow the user to retrieve the CBO information using the CBO Code and the CBO Location Code.

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1.5.0-20 (FR40) The system shall accept or suspend an application depending upon the business rules applied during data entry.

1.5.0-21 (FR41) The system shall require entry or selection of a valid form type for processing a new application.

1.5.0-22 (FR42) The system shall require entry or selection of a valid form type and date of revision for processing a new application.

1.5.0-23 (FR43) The system shall display data entry fields in the sequence as listed on the application, depending upon the form type.

1.5.0-24 (FR44) The system shall provide the capability to capture the basis under which an applicant is applying for citizenship (N-400).

1.5.0-25 (FR45) The system shall provide the following basis of eligibility options for the N-400:

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

1.5.0-26 (FR46) The system shall display a longer list of reasons from which the user may select a basis for filing, if Other is selected.

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 the United States;
Section 326, INA Citizen of Philippines;
Section 327, INA Lost Citizenship Through Foreign Military Duty;
Section 330, INA Service on a U.S. Vessel.

1.5.0-27 (FR1561) The system shall provide the following basis of eligibility options for the 2001 version of the N-400:

- A. I have been a Lawful Permanent Resident for at least 5 years;
- B. I have been a Lawful Permanent Resident for at least 3 years, and I have been married to and living with the same US citizen for the last 3 years and my spouse has been a US citizen for the last 3 years
- C. I am applying on the basis of qualifying military service;
- D. Other.

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1.5.0-28 (FR1562) The system shall display a longer list of reasons from which the user data entering a 2001 version of the N-400 may select, in the event that eligibility option D. ('Other') is selected.

- 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 the United States;
- Section 326, INA Citizen of Philippines;
- Section 327, INA Lost Citizenship Through Foreign Military Duty;
- Section 330, INA Service on a U.S. Vessel.

1.5.0-29 (FR1551) The system shall warn the user data entering a 2001 version of the N-400 in which the user has filed on the basis of eligibility A) ('I have been a Lawful Permanent Resident for at least 5 years'), in the event that the period of residency is less than 4 years and 9 months.

1.5.0-30 (FR1552) The system shall warn the user data entering a 2001 version of the N-400 in which the user has filed on the basis of eligibility B) ('I have been a Lawful Permanent Resident for at least 3 years and have been married to and living with the same US citizen for the last 3 years...'), in the event that the period of residency is less than 2 years and 9 months

1.5.0-31 (FR1563) The system shall allow the user data entering a 1999 or earlier version of the N-400 to record the following information used in the criminal records search:

- A. Gender
- B. Height (feet) and Height (inches)

1.5.0-32 (FR1541) The system shall allow the user data entering a 2001 version of the N-400 record the following information used in the criminal records search:

- A. Gender
- B. Height (feet) and Height (inches)
- C. Weight (in pounds)
- D. Race (choice of 5)
- E. Hair color (choice of 8)
- F. Eye color (choice of 9)

1.5.0-33 (FR1542) The system shall allow the user data entering a 2001 version of the N-400 to record the following information about time spent outside of the United States:

- 1. Total days outside U.S. during last 5 years

1.5.0-34 (FR1543) The system shall allow the user data entering a 2001 version of the N-400 to record the following information about marital history:

- A. How many times married?
- B. Information on current spouse
 - 1. Spouse's Family Name/Given Name/Middle Name

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2. Date of birth
 3. Date of Marriage
 4. Spouse's Social Security Number
 5. Spouse's home address (Street number and name, Apt. number, City, State, Zip code)
- C. Is your spouse a U.S. citizen? Yes or No
- D. Information about citizen spouse
1. Did spouse become U.S. citizen "At Birth" or "Other"? (2 choices)
 2. Date spouse became a citizen (if "other")
 3. Place spouse became a citizen (if "other")
- E. Information about non-citizen spouse
1. Country of citizenship
 2. Spouse's A-number
 3. Spouse's Immigration status (LPR or "Other")
Other
- F. Information about prior spouse
1. Prior spouse's Family Name/Given Name/Middle Name
 2. Prior Spouse's Immigration Status (USC/LPR/ Other)
Other
 3. Date of Marriage
 4. Date Marriage Ended
 5. How Marriage Ended (Divorce/Death/Other)
- G. How many times current spouse has been married
1. Family Name/Given Name/Full Middle Name of spouse's prior spouse
 2. Immigration Status of Spouse's Prior Spouse
 3. Date of Marriage (to prior spouse)
 4. Date Marriage Ended (to prior spouse)
 5. How Marriage Ended (to prior spouse) Divorce/Death/Other
Other

1.5.0-35 (FR1544) The system shall allow the user data entering a 2001 version of the N-400 form to record the following additional information:

General

1. Ever claimed to be a US citizen?
2. Ever registered to vote in an election in the U.S.?
3. Ever voted in an election in the U.S.?
4. Ever failed to file a tax return since becoming an LPR?
5. Owe taxes that are overdue?
6. Have any foreign title of nobility?
7. Been declared legally incompetent or confined to a mental institution?

Affiliations

8. Ever been a member of or associated with any organization?
9. Ever been a member of or associated with
 - a. The Communist Party?
 - b. Any other totalitarian party?

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- c. A terrorist organization?
- 6. Ever advocated overthrow of any government by force of violence?
- 7. Ever persecuted any person because of race, religion, national origin, group?
- 8. Between March 1933 and May 1945, did you work for or associate with:
 - a. The Nazi government of Germany?
 - b. Any government (1) occupied by, (2) allied with, or (3) established with help of Nazi government of Germany?
 - c. Any German, Nazi or S.S. military unit, etc., camp?
- 9. Have you ever called yourself a 'non-resident on a ...tax return?
- 10. Ever failed to file a tax return because you considered yourself a "nonresident"?
- 11. Committed a crime or offense for which you were NOT arrested?
- 12. Been arrested, cited or detained etc.?
- 13. Been charged with committing any crime of offense?
- 14. Been convicted of a crime or offense?
- 15. Been placed in alternative sentencing or rehabilitative program?
- 16. Received a suspended sentence, probation or parole?
- 17. Been in jail or prison?
- 18. Have you ever:
 - a. Been a habitual drunkard?
 - b. Been a prostitute, or pro-cured...for prostitution?
 - c. sold/smuggled controlled substances, illegal drugs or narcotics?
 - d. Been married to more than one person at same time?
 - e. Helped anyone enter or try to enter the U.S. illegally?
 - f. Gambled illegally or received income from illegal gambling?
 - g. Failed to support your dependents or pay alimony?
- 19. Have you ever given false or misleading information while applying for immigration benefit/to prevent removal?
- 20. Ever lied to a U.S. official to gain entry into the U.S.?
- 21. Are removal, exclusion, rescission or deportation proceedings pending against you?
- 22. Have you ever been removed, excluded or deported?
- 23. Ever been ordered removed, excluded or deported?
- 24. Ever apply for relief from removal, exclusion, deportation?

1.5.0-36 (FR1545) The system shall allow entry of the following data for military service information:

- 1. Have you ever served in the U.S. Armed Forces?
- 2. Left U.S. to avoid being drafted?
- 3. Applied for exemption from service in U.S. Armed Forces?
- 4. Deserted from U.S. Armed Forces?

1.5.0-37 (FR1546) The system shall allow entry of the following data for selective service registration information:

- 1. Are you a male who lived in U.S. between your 18th and 26th birthday?
- 2. Date registered with Selective Service System
- 3. Selective Service Number

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1.5.0-38 (FR1558) The system shall default to NO for all sections of the N-400 form except Oath requirements (Part 10, Section H).

1.5.0-39 (FR47) The system shall generate an evidence check-off screen, depending on the form type and basis of eligibility.

1.5.0-40 (FR48) 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.

1.5.0-41 (FR49) The system shall determine if the minimum evidence required has been supplied and warns the user that Workflow will suspend the application if it is missing.

1.5.0-42 (FR50) The system shall allow the user to mark evidence as received or deselect evidence by marking each item or all items on the list.

1.5.0-43 (FR1574) The system shall allow the user to select an option "Mark all evidence as being received" when all items of minimum evidence required have been received.

1.5.0-44 (FR1575) The system shall allow the user to select an option "Mark all evidence as Not being received" when none of the items of minimum evidence required have been received.

1.5.0-45 (FR51) The system shall warn the user if the application has not been marked as signed by the applicant.

1.5.0-46 (FR52) The system shall warn the user that the application will be suspended when required data are missing from an application.

1.5.0-47 (FR53) The system shall allow a user to update applicant information prior to fee reconciliation.

1.5.0-48 (FR54) 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).

1.5.0-49 (FR55) The system shall prompt the user to select fees received elsewhere, fee waiver requested, or payment missed, if the total remittances recorded in the mailroom was zero.

1.5.0-50 (FR56) The system shall capture data from each form once the data are validated.

1.5.0-51 (FR57) The system shall extract data from each form for upload into the Reengineered Naturalization Automated Casework System (RNACS) mainframe system.

1.5.0-52 (FR58) The system shall initiate, through the use of Workflow, a Central Index System (CIS) interface to validate data between the CIS mainframe system and the application.

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1.5.0-53 (FR59) The system shall process returns from CIS validation and refer mismatches to Workflow for further resolution.

1.5.0-54 (FR60) The system shall initiate, through the use of Workflow, an RNACS interface to update the RNACS mainframe system with data on N-400 filings.

1.5.0-55 (FR61) The system shall accept the application ID as wanted in or entered from the bar code on the application jacket.

1.5.0-56 (FR62) The system shall allow the user to search for an application when the application ID is not known.

1.5.0-57 (FR63) The system shall trigger the appropriate notices after data entry: Receipt, Receipt with Suspense, or Receipt with Exception.

1.5.0-58 (FR64) The system shall trigger the batch production of receipt notices for accepted applications.

1.5.0-59 (FR65) The system shall trigger the batch production of suspend notices when the evidence is deficient.

1.5.0-60 (FR1547) The system shall ask the user if they would like to waive English/Government requirements by attaching a N-648.

1.5.0-61 (FR1518) The system shall produce the following list of disability accommodations:

1. Deaf/hearing impaired and need interpreter
2. Use the following language
3. Use wheelchair
4. Blind/sight impaired
5. Another accommodation
6. Please explain

1.5.0-62 (FR1564) The system shall allow the user data entering a 2001 version of the N-400 to record the following information about oath requirements:

1. Do you understand the full Oath of Allegiance?
2. Do you support the Constitution and form of government of the United States?
3. Are you willing to take the full Oath of Allegiance?
4. If the law requires it, are you willing to bear arms on behalf of the United States?
5. If law requires it, are you willing to perform noncombatant service?
6. If law requires it, are you willing to perform work under civilian direction?

1.5.0-63 (FR1548) The system shall allow the user to mark "yes" or "no" that the applicant has understood the full Oath of Allegiance.

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1.5.0-64 (FR1565) The system shall allow the user data entering a 2001 version of the N-400 to record the following information about the signature:

1. Your signature
2. Month/Day/Year

2.2.1.4.5 GROUP MANIPULATION PROCESSING

1.6.0-1 (FR76) The system shall allow applications to be entered as belonging to groups (such as a family or community-based organization [CBO]).

1.6.0-2 (FR77) The system shall provide a table of CBO information to avoid re-keying the details each time a given CBO is encountered.

1.6.0-3 (FR78) The system shall assign a unique group ID to applicant groups.

1.6.0-4 (FR79) The system shall provide the capability to add applicant groups from the system at any time during the data entry process.

1.6.0-5 (FR80) The system shall provide the capability to change applicant groups from the system at any time during the data entry process.

1.6.0-6 (FR81) The system shall provide the capability to dissolve applicant groups from the system at any time during the data entry process.

1.6.0-7 (FR82) The system shall provide the capability to make groups active or inactive at any time during the data entry process.

1.6.0-8 (FR83) The system shall mark subsequent applications as belonging or not belonging to the current group.

1.6.0-9 (FR84) The system shall link all the current group IDs with the corresponding application records.

1.6.0-10 (FR85) The system shall provide the capability to display members of groups.

1.6.0-11 (FR86) The system shall provide the capability to add to or delete from groups interactively.

1.6.0-12 (FR87) 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.

1.6.0-13 (FR88) The system shall determine the primary person by age, using the DOB indicated on the application, in the event the user does not identify a group primary person for multi-application payments.

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2.2.1.4.6 BOUNCED CHECK RECORDING PROCESSING

1.7.0-1 (FR90) The system shall provide the mechanism for recording a bounced check when notification is received from the bank.

1.7.0-2 (FR91) The system shall accept electronic transmission from banks of bounced check data.

1.7.0-3 (FR92) The system shall mark the application(s) associated with the affected payment ID, and put them in Suspend state, when a bounced check is recorded.

1.7.0-4 (FR93) The system shall trigger a notice to the applicants about the bounced check through the Notices sub-system when an application is suspended because of a bounced check.

2.2.1.4.7 BOUNCED CHECK CORRECTION PROCESSING

1.8.0-1 (FR95) The system shall provide a mechanism for recording a corrective payment for a bounced check.

1.8.0-2 (FR96) The system shall accept corrective payment for a bounced check only by money order.

1.8.0-3 (FR97) The system shall update the appropriate application with the payment correction information and remove the Suspend status from the application.

2.2.1.4.8 INTERFACE PROCESSING

1.9.0-1 (FR99) The system shall initiate external background checks and update the Workflow software and CLAIMS 4 status accordingly.

1.9.0-2 (FR100) The system shall allow unlimited days for Federal Bureau of Investigation (FBI) background checks.

1.9.0-3 (FR101) The system shall record the FD-258 FBI card data as processed in support of the transmittal process to the FBI and update the Workflow software.

1.9.0-4 (FR102) The system shall provide the capability to record the FD-258 FBI responses as received and update the Workflow and CLAIMS 4 status.

1.9.0-5 (FR103) The system shall update the CLAIMS 4 database with the correct codes to indicate that the fingerprints were processed.

1.9.0-6 (FR104) The system shall not allow a case to be scheduled until a response has been received from the FBI for the FD-258 fingerprint check.

1.9.0-7 (FR105) The system shall automatically request rescheduling of fingerprint processing the first time an unclassifiable response is received.

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- 1.9.0-8 (FR106) The system shall allow cases that have returned two consecutive unclassifiable FD-258 responses to proceed to interview.
- 1.9.0-9 (FR107) The system shall hold cases that have yielded an "immediate reject" response from the FD-258 check for further investigation.
- 1.9.0-10 (FR108) The system shall extract data required by the FBI for the G-325A name/DOB check and update the CLAIMS 4 database to indicate that this process has completed.
- 1.9.0-11 (FR109) The system shall provide the capability to record the G-325A name/DOB check responses as received and update the Workflow software.
- 1.9.0-12 (FR110) The system shall provide for updating the CLAIMS 4 database with the correct codes to indicate that the G-325A was processed.
- 1.9.0-13 (FR111) The system shall automatically upload data for the posting of newly entered N-400 forms to RNACS.
- 1.9.0-14 (FR112) The system shall include a flag in the data uploaded to the RNACS mainframe system to prevent further processing by that system.
- 1.9.0-15 (FR113) The system shall provide for a batch update to the attorney information table in Private Attorney Maintenance System (PAMS).
- 1.9.0-16 (FR114) The system shall provide a table of attorney information to avoid re-keying the attorney address each time a given attorney is encountered.
- 1.9.0-17 (FR115) The system shall update CLAIMS 4 attorney tables with attorney IDs and other attorney data as reflected in other systems on a periodic basis.
- 1.9.0-18 (FR116) The system shall provide the capability to record military forms as provided and update the Workflow software.
- 1.9.0-19 (FR117) The system shall create a request for the alien file (A-File) using the RAFACS and CIS interfaces, when the A-File is not located at the receiving service center (SC).
- 1.9.0-20 (FR118) The system shall update automatically when the A-File has been received into the local Receipt and Alien-File Accountability and Control System (RAFACS). RAFACS will handle requests to retrieve archived A-Files from the Federal Records Center, if this should be necessary.
- 1.9.0-21 (FR119) The system shall accept standard formatted records from external systems for scheduling.
- 1.9.0-22 (FR120) The system shall notify the originating system of case acceptance.

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1.9.0-23 (FR121) The system shall notify the originating system of case scheduling.

1.9.0-24 (FR122) The system shall notify the Scheduler Information Database (SID) mainframe system of case acceptance.

1.9.0-25 (FR123) The system shall notify the SID mainframe system of case scheduling.

2.2.1.4.9 ZIP CODE MAPPING PROCESSING

1.10.0-1 (FR125) The system shall incorporate the proper ZIP code, city, and state information.

1.10.0-2 (FR126) 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.

1.10.0-3 (FR127) The system shall provide a batch cycle to add the plus 4 to the ZIP code when the five-digit ZIP code is entered.

1.10.0-4 (FR128) The system shall provide a batch cycle if no ZIP code is provided and attempt to add all nine digits to the record.

1.10.0-5 (FR129) The system shall generate an error report for those records that could not be successfully converted to ZIP-plus 4 format.

1.10.0-6 (FR130) 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 without the ZIP code (five or nine digits).

1.10.0-7 (FR131) The system shall determine the nine-digit extended ZIP code automatically in all cases.

1.10.0-8 (FR132) 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 4 fields.

2.2.1.4.10 DATA ENTRY EXIT FUNCTIONS

1.11.0-1 (FR134) The system shall determine the adjudication location once the initial data entry is completed for N-400 applications.

1.11.0-2 (FR135) The system shall determine the adjudication location for suspended N-400 applications more than 87 days old.

1.11.0-3 (FR136) The system shall print a new bar-code label indicating previous and new adjudication locations when applicable.

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1.11.0-4 (FR137) The system shall determine the adjudication location based on the applicant's residential address.

1.11.0-5 (FR138) 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.

1.11.0-6 (FR139) 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.

2.2.1.4.11 DATA ENTRY TRACKING AND REPORTING FUNCTION

1.12.0-1 (FR141) The system shall allow data to be entered as they are provided by applicants.

1.12.0-2 (FR142) The system shall update application status automatically, where applicable, when additional evidence or data are provided.

1.12.0-3 (FR143) The system shall trigger Workflow, where applicable, to take a case out of suspense when the data and evidence requirements are met.

1.12.0-4 (FR144) The system shall provide an audit trail of all changes made to data.

1.12.0-5 (FR145) The system shall provide a batch status update to indicate completion of steps to Workflow, CLAIMS 4 Oracle database, and other systems as required.

2.2.1.4.12 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.

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2.2.2 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.

2.2.3 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.

2.2.4 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.

2.2.5 Finance Processing

2.1.0-1 (FR148) The system shall provide a GUI for reconciling and auditing financial receipts.

2.1.0-2 (FR149) The system shall provide a user interface for Paymerge processing to determine whether proper fees have been paid for each application.

2.2.6 Cash Box Processing

2.2.0-1 (FR151) The system shall provide for the data entry of the bank deposit records.

2.2.0-2 (FR152) The system shall create a cash box, cash box ID, and a link to the user ID.

2.2.0-3 (FR153) 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.

2.2.0-4 (FR154) The system shall allow the same user to reconcile a cash box.

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2.2.0-5 (FR155) The system shall display the user's cash box information online, for a given date or by status (Closed or Rejected).

2.2.0-6 (FR156) The system shall allow a qualified user to audit cash boxes that are ready for auditing (for example, cash boxes in Reconcile status).

2.2.0-7 (FR157) The system shall allow an authorized user the option of either accepting or rejecting a cash box during cash box audit.

2.2.0-8 (FR158) The system shall allow the user to update any remittances when the cash box associated with them has not been audited successfully.

2.2.0-9 (FR159) The system shall allow the user to add remittances to a payment prior to auditing a cash box.

2.2.0-10 (FR160) 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 the cash box to an authorized user for auditing.

2.2.7 Paymerge Processing

2.3-1 (FR162) The system shall suspend cases following data entry until the required fee has been received.

2.3-2 (FR163) The system shall check applications that have completed data entry against payments that have passed an audit (whether with single or multiple remittances) to determine if minimum fee requirements have been met.

2.3-3 (FR164) The system shall remove the suspense state from a case when fee requirements have been met (including overpayments).

2.3-4 (FR165) The system shall queue a case for refund processing when an overpayment has been received.

2.3-5 (FR166) The system shall retain a case in suspense if Paymerge determines that the fee requirements have not been met.

2.3-6 (FR167) 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.

2.3-7 (FR168) 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."

2.3-8 (FR1610) The system shall not later any basis for calculating the Fingerprint Fee when receipting the ASC Fingerprint Waiver.

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2.2.8 Pay Group Processing

2.4-1 (FR174) The system shall determine a "lead applicant" when processing groups of applications covered by a single payment, for refund, and underpayment processing.

2.2.9 Adjudication Process Description

In the task of verifying the identity of applicants for INS benefits and deciding whether they are eligible to receive them, District Adjudication Officers (DAOs) bring together information from a number of sources. In the case of N-400 applications, these include the information entered on the N-400 application, results of background checks, other evidence that may be requested from the applicant, results of tests in English and civics/history, and information gathered in an interview with the applicant. The system must provide the ability to access and update this information, and record DAO decisions. Adjudication activities are usually performed at INS DOs, but they may also be conducted at remote locations without connectivity to an INS facility. The system must support adjudication in either environment. In the latter case, provision must be made for the accurate update of the CLAIMS 4 central repository with case information collected remotely.

During interviews with N-400 applicants, DAOs verify the information keyed at data entry, correcting and amplifying it where necessary. They must be able to review and update case data, including personal information and filing basis as entered on the application form, and attorney and/or CBO information, if applicable. They must also be able to view and update other information such as: names used by the applicant; relatives; marriages; employment; and organizational memberships. In addition, they must be able to review residential history and enter changes of address or other corrections, if required. Answers to eligibility questions provided on the form must also be available for review and update during the course of the interview.

The system must allow Adjudicators to determine what background checks and evidence have been received, requested or waived, to assist them in determining whether there are deficiencies. For FBI fingerprint checks and G325 FBI name checks in particular, the system must provide detail on the nature of the results and the date received, so that the DAO can determine if further investigation is necessary and, in the case of fingerprint results, if the results are still valid.

The system must also provide assistance in the administration of tests of English language proficiency and of US civics and history. Test questions are randomly selected from an approved standard set, and results are automatically calculated after the applicant responses are keyed into the system.

The DAO may decide to Approve, Continue, Continue With Intent to Deny, or Deny an application. DAOs must also be able to perform a Withdrawal (when requested by the applicant) or an Administrative Close (for no-shows.) Assistance for adjudicator decisions must be provided through warnings that alert the user to discrepancies or inconsistencies in applicant information that may make the applicant ineligible for the requested benefit. While DAOs must be allowed discretion in many of these situations, in unambiguous cases (such as an N-400 filing

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by an individual under 18 years old,) the DAO is to be prevented from approving the application altogether. Many decisions are referred to a supervisor for review; such decisions may be confirmed, reversed, or remanded to the original DAO. All decisions to grant naturalization are subject to re-verification. Applicants can be denied by the SC without an interview only in cases of 'abandonment', in which the applicant has failed to satisfy the requirement for fingerprint processing. Denials often result in applicant requests for a second hearing. Adjudicators must be able to record decisions that are made in response to such requests.

The INS is required to notify the applicant whenever a decision is made to Continue, Continue With Intent to Deny, or Deny a case. For continuances, an N-14 notice listing missing evidence is also sent. The adjudicator may also need to produce any of a number of forms in the course of adjudicating a case: Attorney Waiver; Certificate Preparation and Oath Declaration; Name Change Petition; Record of Withdrawal; Record of Administrative Close; Record of Sworn Statement (regarding fingerprints, ARC card, or T-file.)

Once a decision has been made to grant an application for naturalization, the applicant is scheduled for an oath ceremony. When the applicant has reached the threshold for no-show or cancellation of a scheduled oath ceremony appointment, the DAO has the option of rescheduling the applicant, rather than executing an Administrative Close.

2.2.10 ASC Fingerprint Waiver

According to INS Policy Memorandum #80 (which supersedes Memo #60), the fingerprint requirement may be waived for certain applicants who are unable to provide prints. The INS' Fingerprint Waiver Standard Operating Procedures specify the exact steps an INS official must take to correctly process that waiver. Below is high-level description of how that process will flow in conjunction with CLAIMS 4.

2.2.10.1 Application Support Center

All applicants must be scheduled through CLAIMS 4 and appear for a fingerprint appointment at a local Application Support Center (ASC) to obtain a Fingerprint (FP) Waiver. During the fingerprint session, an INS Officer (as defined in Policy Memo #80 and FP Waiver SOP) will determine if an applicant cannot provide any fingerprints due to a disability, birth defect, etc. For all eligible applicants, the officer will annotate the applicant's Fingerprint Appointment Notice and complete the Fingerprint Waiver Notice and the N-400 Applicant Police Clearance Notice. A copy of the FP Waiver Notice and the original Police Clearance Notice is provided to the applicant. The original FP Waiver Notice, the annotated Fingerprint Appointment Notice and a copy of the Police Clearance Notice are sent to the SC .

2.3 Service Center

At the SC, the original FP Waiver Notice, the annotated Fingerprint Appointment Notice, and a copy of the Police Clearance Notice are received. The SC clerk will record in CLAIMS 4 that a FP Waiver for a particular applicant has been received. The clerk will then file both notices in the appropriate applicant A-file.

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2.4 District Office

During an interview, an INS officer will review the applicant's file containing the FP Waiver Notice, the annotated Fingerprint Appointment Notice, and the Police Clearance Notice. The officer will enter the date and the ASC location where waiver was granted into CLAIMS 4. The officer will acknowledge in the system that he/she has physically seen the waiver documentation in the applicant's file. At this time, the officer will also record the receipt of the Police Clearance Records required from the applicant. CLAIMS 4 will not allow the case to be granted until the waiver date, ASC location and acknowledgment of the Police Clearance Records and the waiver documentation are captured. The officer has the option to use any of the court disposition records already in the CLAIMS 4 evidence list, if so needed, to record receipt of this evidence. The officer will then execute the sworn statement, either manually or within CLAIMS 4.

If the officer realizes that a waiver has been erroneously granted to an applicant due to data entry error, he or she will have the option to rescind that waiver designation in CLAIMS 4. The officer may then schedule the applicant for a fingerprint appointment. The case will continue the N-400 process with no further special handling.

2.4.1 Adjudication Processing

3.1.0-1 (FR181) The system shall allow only qualified users identified by the permissions table to execute functions of the CLAIMS 4 Adjudication sub-system.

3.1.0-2 (FR182) The system shall display a table-driven list of Adjudication activities as defined in Workflow for which the user has permission.

3.1.0-3 (FR183) 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.

3.1.0-4 (FR184) For Decision and Supervisory Review activities, the system shall allow the user to view the Workflow queue by Office or by assigned adjudicator.

3.1.0-5 (FR185) The system shall allow the user to select an application activity from the queue as displayed for a given Decision or Supervisory Review activity.

3.1.0-6 (FR186) The system shall allow the user to enter an application identifier without pre-selecting the activity on which to work.

3.1.0-7 (FR187) 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.

3.1.0-8 (FR188) If the application is being processed by another user (as determined by Workflow), the system shall allow the user only to open the application in read-only mode.

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3.1.0-9 (FR189) 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.

3.1.0-10 (FR190) The system shall allow the user to move from one adjudication activity to the next as established in the Workflow process informing Workflow of the progress.

3.1.0-11 (FR191) If the activity has been assigned to a particular adjudicator, the system shall warn the user that the case has been assigned to that adjudicator.

3.1.0-12 (FR1597) The system shall allow authorized users to override the FBI fingerprint response.

3.1.0-13 (FR1598) The system shall require users performing FBI fingerprint response overrides to indicate the CIDN and the FBI Control Number of the FBI response that is being overridden.

3.1.0-14 (FR194) The system shall require that a valid reason be entered each time the FBI (FD-258) response is overridden.

3.1.0-15 (FR192) The system shall provide an indication when an FBI (FD-258) response override has occurred.

3.1.0-16 (FR193) The system shall allow authorized personnel to add an FBI (FD-258) response.

3.1.0-17 (FR195) The system shall prompt the authorized user each time a FBI FD258 response is added, to enter the CIDN, the 10-character FBI control number, the FBI result, and the date of the response.

3.1.0-18 (FR1611) The system shall record the receipt of the ASC Fingerprint Waiver for a specific case.

3.1.0-19 (FR1612) The system shall capture the User ID of the user recording the receipt of the Waiver.

3.1.0-20 (FR 1613) The system shall capture the User ID of the user recording the date and ASC office of the Waiver.

3.1.0-21 (FR1614) The system shall allow the user the ability to rescind a Waiver.

2.4.2 Remote Adjudication Processing

3.1.1.0-1 (FR1362) The system shall require authorized user confirmation to export case data to remote workstations.

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- 3.1.1.0-2 (FR1363) The system shall prevent cases exported for adjudication processing at an interview location to be updated on-line.
- 3.1.1.0-3 (FR1364) The system shall allow an authorized user to repeat an export of case data to remote workstations for the same schedule.
- 3.1.1.0-4 (FR1365) The system shall prevent an authorized user to repeat an export to remote workstations after import from remote workstations is initiated for the same case data export.
- 3.1.1.0-5 (FR1366) The system shall provide confirmation for case information imported from a remote workstation to the database after adjudication processing.
- 3.1.1.0-6 (FR1367) The system shall provide a summary report for each case set imported from remote workstations to the database displaying total number of records submitted for import, total number of records successfully imported, and total number of records failed import.
- 3.1.1.0-7 (FR1368) The system shall provide a detail report for each case set imported from remote workstations to the database displaying each record that erred during import.
- 3.1.1.0-8 (FR1369) The system shall update each database record once on import from remote workstations.
- 3.1.1.0-9 (FR1370) The system shall list additional updates for the same case within an import set as an error in the detail report.
- 3.1.1.0-10 (FR1371) The system shall require authorized user confirmation of additional updates for each record.
- 3.1.1.0-11 (FR1372) The system shall provide an authorized user override capability to release cases exported to remote workstations that were not processed.

2.4.3 Case Review Function

- 3.2.0-1 (FR197) The system shall provide a GUI for the Case Review function.
- 3.2.0-2 (FR198) The system shall allow the adjudicator to view all application data included on the submitted form as data entered at the SC:
1. A-number
 2. Mailroom received date
 3. Name (Last, First, Middle, Suffix)
 4. Date of Birth
 5. Country of Birth
 6. Phone
 7. Date of Entry
 8. Country of Citizenship
 9. SSN

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10. Date of Permanent Residency
11. Marital Status
12. Sex
13. Occupation
14. Height (Feet, Inches)
15. Basis for Eligibility
16. Indicator that applicant can read, speak and write English
17. Indicator that application is signed

3.2.0-3 (FR1580) The system shall allow the adjudicator to view and update data concerning applicant absences from the United States, including:

1. Date on which travel started
2. Date on which travel ended
3. Destination Country
4. Details
5. Reason for trip
6. Indicator that a trip was longer than six months
7. Indicator that a trip occurred since applicant became permanent resident
8. Total number of days absent from the US

3.2.0-4 (FR199) 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.

3.2.0-5 (FR201) The system shall provide the capability to display background check status as appropriate to the specific type of background check.

3.2.0-6 (FR202) The system shall provide the capability to display and indicate status of evidence as Not Received, Received, Waived, or Requested.

3.2.0-7 (FR1588) The system shall display a list of all evidence and background checks that are required or have been requested for the adjudication of an N-400 application, including:

1. Photographs
2. I551 Alien Registration Card
3. Fingerprint response
4. FD258 fingerprint card (if required)
5. Any other required items, as determined by case specifics
6. Any items specifically requested by the adjudicator

3.2.0-8 (FR203) The system shall provide the capability to display the status of background checks as Not Received, Received, Waived, or Requested, and, with the exception of fingerprint results, to modify the status of background checks as Not Received, Received, Waived or Requested.

3.2.0-9 (FR204) The system shall highlight the missing data required for certificate production.

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3.2.0-10 (FR205) The system shall indicate "suspicious" data when eligibility questions and answers are displayed, by showing expected answers per submitted data along with applicant answers.

3.2.0-11 (FR206) The system shall provide the capability to view all submitted applications associated with a specific applicant.

3.2.0-11.0-1 (FR207) The system shall provide the capability to view all submitted applications that have last and first names similar to the specific applicant.

3.2.0-11.0-2 (FR208) The system shall provide the capability to work on more than one application at a time.

3.2.0-11.0-3 (FR209) The system shall provide the capability to indicate suspicious applications when all applications associated with the applicant are displayed.

3.2.0-11.0-4 (FR210) The system shall provide the means to conduct a post-adjudication case review after the A-File is received.

3.2.0-11.0-5 (FR211) The system shall provide the capability for the adjudicator to invoke the Scheduler sub-system to schedule a question and answer (Q&A) session.

3.2.0-11.0-6 (FR212) The system shall update CIS when the adjudicator modifies data by invoking the Interfaces component.

3.2.0-11.0-7 (FR213) The system shall provide the adjudicator with the capability to request a new certificate by invoking the Certificate Generation sub-system when a name or A-Number is changed after a naturalization certificate has been printed.

3.2.0-11.0-8 (FR214) The system shall inform Workflow of any data change activity within the Adjudication Case Review function.

3.2.0-11.0-9 (FR215) The Workflow sub-system shall record data change activities within the Adjudication Case Review function as "history."

3.2.0-11.0-10 (FR216) The system shall reflect changes in the current residential address on both the Address tab and the Residential tab regardless of where the change was entered.

3.2.0-11.0-11 (FR217) The system shall update the list of evidence as data changes are made.

3.2.0-11.0-12 (FR218) The system shall display required evidence by form type and evidence.

3.2.0-11.0-13 (FR219) The system shall allow the adjudicator to request evidence for a person other than the applicant.

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3.2.0-11.0-14 (FR220) The system shall assume that the individual for whom evidence is being requested is the last person specified.

3.2.0-11.0-15 (FR221) The system shall alert the adjudicator when he or she requests the same type of evidence twice for the same person.

3.2.0-11.0-16 (FR222) The system shall allow the adjudicator to refresh the evidence list after updates so that the display order is maintained.

3.2.0-11.0-17 (FR223) The system shall allow the adjudicator to view either only those evidences for which there is status or all types of evidences.

3.2.0-11.0-18 (FR224) The system shall allow the adjudicator to update the status of the A-File by checking RAFACS online through the Interfaces sub-system.

3.2.0-11.0-19 (FR225) The system shall allow the adjudicator to indicate his or her preference to have the RAFACS check of the A-File done automatically or upon request.

3.2.0-11.0-20 (FR226) The system shall allow the adjudicator to display the application history and current Workflow activities.

3.2.0-11.0-21 (FR227) The system shall allow the adjudicator to display local RAFACS A-File location.

3.2.0-11.0-22 (FR228) The system shall allow the adjudicator to display the national RAFACS A-File location.

3.2.0-11.0-23 (FR229) The system shall allow the adjudicator to indicate preference to have the RAFACS A-File location be included in the history display.

2.4.4 Examination Function

3.3-1 (FR231) The system shall provide a GUI for the Examinations process.

3.3-2 (FR232) The system shall provide the capability to display and update examination results.

3.3-3 (FR233) The system shall provide the capability for the adjudicator to enter information on examinations results conducted by certified testing organizations.

3.3-4 (FR234) 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.

3.3-5 (FR235) The system shall provide the capability to generate a random N-400 exam from the INS master list for use by the examiner.

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3.3-6 (FR236) The system shall allow the adjudicator to regenerate an entire N-400 exam, but not to delete any particular examination question.

3.3-7 (FR237) 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.

3.3-8 (FR238) The system shall highlight in red the eligibility questions that did not match the expected answer.

3.3-9 (FR239) The system shall allow the adjudicator to resolve discrepancies in the system's answer evaluation, if necessary.

3.3-10 (FR240) The system shall calculate and display N-400 civics/history examination scores based on the answers entered by the adjudicator and on his or her resolution of any discrepancies.

3.3-11 (FR241) 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.

3.3-12 (FR242) The system shall provide the capability to enter the civics/history exam requirements as "waived" on the evidence list, warning the adjudicator if the N-648 evidence is not indicated as received.

3.3-13 (FR243) The system shall provide the capability for the adjudicator to invoke the Scheduler sub-system to schedule a reexamination during the interview process.

3.3-14 (FR244) The system shall inform Workflow of any data change activity within the Adjudication Examination function.

3.3-15 (FR245) The Workflow sub-system shall record data change activities within the Adjudication Examination function as "history."

3.3-16 (FR246) The system shall allow the adjudicator to view a list of all prior examinations with their associated results for the specific application.

3.3-17 (FR247) The system shall allow the adjudicator to select from the list of prior examinations and view the specific details of the exam.

2.4.5 Supervisory Review Adjudication Function

3.4-1 (FR249) The system shall provide the capability to hold a Secondary Adjudication for applications for which a Supervisory Review was requested.

3.4-2 (FR250) The system shall allow the supervisor to confirm the decision to deny or remand this decision.

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3.4-3 (FR251) 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.

3.4-4 (FR252) 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.

3.4-5 (FR253) 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.

3.4-6 (FR254) The system shall allow the supervisor to view a list of all prior decisions with their associated results for the specific application.

3.4-7 (FR255) The system shall allow the supervisor to select from the list of prior decisions and view specific details of the decision.

3.4-8 (FR256) The system shall allow the supervisor to wand in batches of application decisions after review and after re-verification.

2.4.6 Decision Process Function

3.5.0-1 (FR258) The system shall provide a GUI interface for the Decision process.

3.5.0-2 (FR259) The system shall provide the capability to approve, continue with intent to deny, deny/terminate, or continue the application.

3.5.0-3 (FR260) The system shall inform Workflow of the results of the Decision process.

3.5.0-4 (FR261) 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.

3.5.0-5 (FR262) If the adjudicator does not make a decision, the system shall only 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.

3.5.0-6 (FR263) The system shall allow an adjudication clerk to enter the decision data post-decision for an adjudicator.

3.5.0-7 (FR264) The system shall allow the adjudicator to indicate the complexity of the application.

3.5.0-8 (FR265) The system shall provide the capability for the adjudicator to add, review, and update comments about the decision.

3.5.0-9 (FR266) The system shall display data that are considered to be "required."

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3.5.0-10 (FR1615) The system shall, upon completion of receipting the ASC Fingerprint Waiver, automatically indicate that police clearance records are required evidentiary items, which must be receipted before the case may be granted.

3.5.0-11 (FR267) The system shall display the "Review Cycle" history of the decision.

3.5.0-12 (FR1308) 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.

3.5.0-13 (FR268) The system shall allow the adjudicator to view a list of all prior decisions with their associated results for the specific application.

3.5.0-13-1 (FR269) The system shall allow the adjudicator to select from the list of prior decisions and view the specific details of the decision.

3.5.0-13-2 (FR270) If an attorney is associated with the application, the system shall require the adjudicator to indicate or waive his or her presence at the interview.

3.5.0-13-3 (FR271) 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.

3.5.0-13-4 (FR272) The system shall provide a menu option to print an attorney waiver after the interview.

2.4.7 Approval

3.6.0-1 (FR274) The system shall prevent the adjudicator from approving an application when any required data are missing or when there are discrepancies considered to be critical that need to be resolved (as specified by INS form type.)

3.6.0-2 (FR275) 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.

3.6.0-3 (FR276) The system shall prevent the adjudicator from granting naturalization when an N-400 applicant's G-325A name search has returned an "indices popular" response (a "hit"), so that he or she must check the A-File for the proper disposition of the candidate rap sheet(s).

3.6.0-4 (FR277) 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 G-325A FBI name check, when he or she has determined that this does not constitute grounds for denial.

3.6.0-5 (FR278) The system shall require the adjudicator, when releasing a block on naturalization due to G-325A 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.

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- 3.6.0-6 (FR279) 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 60 full days have elapsed since the date the request was sent.
- 3.6.0-7 (FR1616) The system shall require the user to enter the date of the Waiver prior to allowing a case to be granted.
- 3.6.0-8 (FR 1617) The system shall require the user to enter the ASC office granting the Waiver prior to allowing a case to be granted. The system shall provide the user the ability to view a list of ASC offices.
- 3.6.0-9 (FR1618) The system shall require that the adjudicating officer record that he/she has seen the waiver documentation in order for the case to be granted.
- 3.6.0-10 (FR1584) The system shall prevent the adjudicator attempting to grant a case in the event that he/she is asking for additional evidence.
- 3.6.0-11 (FR280) The system shall update the application as approved and inform Workflow of the result when the adjudicator successfully approves the application.
- 3.6.0-12 (FR281) The system shall provide the capability for the applicant to request a judicial or administrative oath ceremony (list only).
- 3.6.0-13 (FR282) The system shall display information indicating if a judicial or administrative oath ceremony is possible based on the Office Profile.
- 3.6.0-14 (FR284) In the event that 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.
- 3.6.0-15 (FR285) The system shall alert the adjudicator when there are discrepancies that are considered important, but not critical (as specified by INS per form type) when the approval function is chosen.
- 3.6.0-16 (FR1581) The system shall warn an adjudicator electing to grant an application for naturalization when the applicant has not been residing in the same district office jurisdiction for at least ninety days prior to the time of filing.
- 3.6.0-17 (FR1585) The system shall alert the adjudicator during decision or review of an N-400 applicant filing under marriage provisions of section 319a or 319b of the INA who is not currently married to a US citizen.
- 3.6.0-18 (FR1586) The system shall alert the adjudicator during decision or review of an N-400 applicant filing under marriage provisions of section 319a of the INA who has not been married to a US citizen for at least three years.

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- 3.6.0-19 (FR1582) The system shall alert the adjudicator when an N-400 applicant has failed to meet the requirement that he/she be at least 18 years old as of the date of filing.
- 3.6.0-20 (FR1583) The system shall prevent the adjudicator from granting naturalization when an N-400 applicant has failed to meet the requirement that he/she be at least 18 years old as of the date of filing.
- 3.6.0-21 (FR286) Based on form type and approval choice selected, the system shall display a list of notice paragraphs from which the adjudicator may choose. (No approval paragraphs are necessary for N-400 forms.)
- 3.6.0-22 (FR287) The system shall display a list of approval choices as specified by the INS.
- 3.6.0-23 (FR288) The system shall display the approval choice list in a prioritized fashion based on form type.
- 3.6.0-24 (FR289) 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.
- 3.6.0-25 (FR290) The system shall prevent interactive reverification (through the Adjudication sub-system) of a decision to approve an N-400 application by the same user who issued the approval.
- 3.6.0-26 (FR1579) The system shall prevent supervisory review of a decision regarding an N-400 application by the same user who made this decision.

2.4.8 Continuance With Intent to Deny

- 3.7.0-1 (FR292) 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.
- 3.7.0-2 (FR293) The system shall provide capability to select multiple reasons for continuance with intent to deny.
- 3.7.0-3 (FR294) The system shall alert the adjudicator if a reason is chosen that does not match the current application data or status.
- 3.7.0-4 (FR295) The system shall allow the adjudicator to enter the specific other reason, if Other (specify) is chosen, in the Notes area.
- 3.7.0-5 (FR296) The system shall provide the capability for the adjudicator to review and confirm the reasons chosen.

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3.7.0-6 (FR297) The system shall update the application as "continued with intent to deny" and inform Workflow, when the adjudicator successfully selects the Continue With Intent to Deny function.

3.7.0-7 (FR298) The system shall display a list of Continue With Intent to Deny notice paragraphs, based on form type, from which the adjudicator may choose.

3.7.0-8 (FR299) The system shall provide the capability to preview the paragraph template before final selection during the notice selection process.

3.7.0-9 (FR300) The system shall provide the capability to customize Continue With Intent to Deny notices.

3.7.0-10 (FR301) The system shall provide the capability to print a Continue With Intent to Deny notice immediately.

3.7.0-11 (FR302) The system shall print two copies of the final Continue With Intent to Deny notice in final format upon saving, when the Adjudication Complete option is chosen.

3.7.0-12 (FR303) 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 cc to the applicant, and one for the applicant with a cc to the attorney.

2.4.9 Denial/Termination

3.8.0-1 (FR305) The system shall display a prioritized list of denial/termination choices, based on form type.

3.8.0-2 (FR306) 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.

3.8.0-3 (FR307) The system shall provide the capability to select multiple denial reasons.

3.8.0-4 (FR308) The system shall alert the adjudicator when the reason chosen does not match the current application data or status.

3.8.0-5 (FR1378) The system shall allow the adjudicator to enter the specific other reason, if Other (specify) is chosen, in the Notes area.

3.8.0-6 (FR1379) The system shall provide the capability for the adjudicator to review and confirm the reasons chosen.

3.8.0-7 (FR309) 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.

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- 3.8.0-8 (FR310) The system shall display a list of Denial/Termination notice paragraphs from which the adjudicator may choose, based on form type.
- 3.8.0-9 (FR311) The system shall provide the capability to preview the denial/terminate paragraph template before final selection during the notice selection process.
- 3.8.0-10 (FR312) The system shall provide the capability to customize Denial/Termination notices.
- 3.8.0-11 (FR313) The system shall provide capability to print a Denial notice immediately.
- 3.8.0-12 (FR1576) The system shall produce the N-336 Request for Hearing, with instructions, with the Denial Notice.
- 3.8.0-13 (FR314) 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.
- 3.8.0-14 (FR315) 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.
- 3.8.0-15 (FR316) The system shall not allow the Adjudication Complete save option when the Denial/Terminate function is selected, in the event that there is a N-648 attached and no supervisory review has been done on the application.
- 3.8.0-16 (FR317) The system shall print two copies of the Final Denial notice in final format, when the Adjudication Complete option is chosen upon saving.
- 3.8.0-17 (FR318) The system shall generate one copy of the Final Denial notice for the applicant with a copy to the applicant's file, and one for the attorney if an attorney is attached to the case.
- 3.8.0-18 (FR319) The system shall provide an option to print a record of withdrawal if the Withdrawal option is chosen.
- 3.8.0-19 (FR320) The system shall provide an option to print a Record of Termination Because of Lack of Prosecution or Record of Termination Because of Missed Interview if the Terminate option is chosen.

2.4.10 Continuance

- 3.9.0-1 (FR322) The system shall display a list of continuance reasons arranged depending on the actions taken by the adjudicator and the status of the application.

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3.9.0-2 (FR323) 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 (for example, applicant or dependent): Photographs, FD-258 Fingerprint Card, I-551 Alien Registration Card (ARC) or Evidence of Exam Passed.

3.9.0-3 (FR324) The system shall allow the adjudicator to select one or more of the following "Initial Processing Incomplete" continuance reasons for an N-400:

1. Resolution of Another Application
2. Outcome of Background Investigation
3. N-648 Incomplete
4. N-648 Second Request
5. Other (Add notes)

3.9.0-4 (FR325) 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 N-400 Civics/History Reexam or Lack of Knowledge.

-3.9.0-5 (FR326) The system shall provide the capability to select multiple continuance reasons.

3.9.0-6 (FR327) The system shall alert the adjudicator if the continuance reasons chosen by the adjudicator do not match the current application data or status.

3.9.0-7 (FR1380) The system shall provide the capability for the adjudicator to review and confirm the reasons chosen.

3.9.0-8 (FR328) 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.

3.9.0-9 (FR329) The system shall compile a Continuance notice, based on the reasons chosen by the adjudicator.

3.9.0-10 (FR330) The system shall allow the adjudicator to print an N-14 continuance notice when missing evidence is indicated, whether or not a reexam is required.

3.9.0-11 (FR331) The system shall provide the capability to preview Continuance notices.

3.9.0-12 (FR332) The system shall provide the capability to customize Continuance notices.

3.9.0-13 (FR333) The system shall provide capability to print Continuance notices immediately.

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3.9.0-14 (FR334) The system shall print two copies of the Continuance notice in final format, when the Adjudication Complete option is chosen upon saving.

3.9.0-15 (FR335) 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 to the case.

2.4.11 Service Center Denials and Motion to Reopen

3.10.0-1 (FR337) The system shall provide a means for the SCs to deny a case on the basis of abandonment for one or more of the following reasons: Failure to appear for fingerprinting; Failure by an applicant residing abroad to submit fingerprints; Failure to submit the correct fee for fingerprinting; Nonpayment of the fee for fingerprinting; Undeliverable requests for appearance to be fingerprinted.

3.10.0-2 (FR338) The system shall generate a notice advising the applicant that his or her case has been denied on the basis of abandonment for the following reasons: Failure to appear for fingerprinting; Failure by an applicant residing abroad to submit fingerprints; Failure to submit the correct fee for fingerprinting; Nonpayment of the fee for fingerprinting; Undeliverable requests for appearance to be fingerprinted.

3.10.0-3 (FR339) The system shall generate a notice advising the applicant that the case has been reopened based on either of the following: Service's Motion to Reopen; Applicant's Motion to Reopen.

3.10.0-4 (FR340) The system shall allow a case that has been denied on the basis of abandonment to be reopened with the Service's Motion to Reopen.

3.10.0-5 (FR341) The system shall allow an application that has been denied on the basis of abandonment to be reopened with an applicant's written request for Motion to Reopen within 30 days of the denial of the application. (The District or Service Director has the discretion to waive the 30-day rule for the Motion to Reopen.)

3.10.0-6 (FR342) The system shall provide the capability to generate a report indicating which cases are eligible for SC Denial on the basis of abandonment.

3.10.0-7 (FR343) The system shall provide for future levying of a filing fee for a motion to reopen.

2.4.12 Second Hearing Decision Function

3.11.0-1 (FR345) The system shall provide a GUI interface for the Second Hearing Decision function.

3.11.0-2 (FR346) The system shall display a list of second hearing decision choices from which the adjudicator may choose.

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3.11.0-3 (FR347) The system shall display an Second Hearing Decision Choice list in a prioritized fashion based on form type.

3.11.0-4 (FR348) The system shall update the application status appropriately when the adjudicator completes the Second Hearing Decision function, and shall insert an appropriate appeal decision history record.

3.11.0-5 (FR349) The system shall inform Workflow of the results of the Second Hearing Decision function.

2.4.13 Reconciliation Function

3.12.0-1 (FR351) The system shall provide a GUI interface for the Reconciliation function.

3.12.0-2 (FR352) The system shall provide the capability to reconcile the current application to a person already defined in the Oracle database.

3.12.0-3 (FR353) The system shall provide the capability to create a new person in the Oracle database.

3.12.0-4 (FR354) The system shall provide the adjudicator with the capability to reconcile any detachments when changing an A-Number.

3.12.0-5 (FR355) The system shall update CIS with A-Number changes by invoking the Interfaces component.

2.4.14 Interview Decision

3.13-1 (FR357) The system shall provide a GUI for the Interview Decision function.

3.13-2 (FR358) The system shall provide the capability to request a new interview for those applications awaiting Interview Decision.

3.13-3 (FR359) The system shall display a list of Interview sites from which to choose if an adjudicator requests that a new interview be scheduled.

3.13-4 (FR360) The system shall provide the capability to enter information on specifically requested interview sites within the Interview decision activity.

3.13-5 (FR361) The system shall provide the capability to make a decision by invoking the Decision Process function for those applications awaiting Interview Decision.

3.13-6 (FR362) The system shall inform Workflow when an interview has been requested or a decision has been made.

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2.4.15 Oath Ceremony Decision

3.14-1 (FR364) The system shall provide a GUI interface for the Oath Ceremony Decision function.

3.14-2 (FR365) The system shall provide the capability to request a new oath ceremony for those applications awaiting Oath Ceremony Decision.

3.14-3 (FR366) 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.

3.14-4 (FR367) The system shall provide the capability to enter information on specifically requested oath ceremony sites within the Oath Ceremony Decision activity.

3.14-5 (FR368) The system shall provide the capability to make a decision by invoking the Decision Process function for those applications awaiting Oath Ceremony Decision.

3.14-6 (FR369) 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.

3.14-7 (FR370) The system shall inform Workflow that an oath ceremony has been requested, or that the application has been placed in Motion to Reopen and Reconsider status, or that a decision has been made.

2.4.16 Adjudications—Generating Notices and NQP Forms

3.15.0-1 (FR372) The system shall provide the ability to view NQP form templates in conjunction with the interview during the Adjudication process, including the following: Record of Sworn Statement (Fingerprints); Record of Sworn Statement (Missing ARC); Record of Sworn Statement (temporary file [T-File]).

3.15.0-2 (FR1577) The system shall produce the N-652 Notice of test results.

3.15.0-3 (FR1530) The system shall provide the ability to produce the Certificate Preparation and Oath Declaration form.

3.15.0-4 (FR1529) The system shall provide the ability to produce the Name Change Petition.

3.15.0-5 (FR373) The system shall provide the ability to print any NQP form interactively without customizing.

3.15.0 The system shall provide the ability to customize the following: Record of Sworn Statement (Fingerprints); Record of Sworn Statement (Missing ARC); Record of Sworn Statement (temporary file [T-File]).

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3.15.0-7 (FR375) The system shall pre-populate the following data from N-400 application to the Certificate Preparation Sheet and Oath Declaration: A-Number; Name; DOB; Sex; Height; Marital status; Country of former nationality.

3.15.0-8 (FR1578) The system shall prompt the user on "Save and Close" to print out the Certificate Preparation and Oath Declaration Sheet when naturalization has been granted or continued.

3.15.0-9 (FR376) The system shall pre-populate the following data from N-400 application to the Petition for Name Change: Name; Address; Country of nationality; DOB; ARC number.

3.15.0-10 (FR377) The system shall pre-populate the NQP forms with the current date.

3.15.0-11 (FR378) The system shall provide the ability to enter data into fields to the form that are not pre-populated for the following: Record of Sworn Statement (Fingerprints); Record of Sworn Statement (Missing ARC); Record of Sworn Statement (T-File).

3.15.0-12 (FR379) The system shall provide the ability to edit pre-populated data not taken from the N-400 application for Record of Sworn Statement (Fingerprints), Record of Sworn Statement (Missing ARC), and record of Sworn Statement (T-File).

3.15.0-13 (FR380) The system shall provide the ability to select an option to print the NQP forms interactively.

3.15.0-14 (FR1587) The system shall allow the user to print one or more copies of naturalization adjudication notices at his/her discretion, including the following form notices and customizable notices:

Form Notices

1. Attorney Waiver
2. Certificate Preparation and Oath Declaration
3. Name Change Petition
4. Record of Withdrawal
5. Record of Administrative Close
6. Record of Sworn Statement (Fingerprints, ARC, T-File)
7. Hard copy of Application Status

Customizable Notices

1. Denial Notices
2. Continuance Notices
3. Notices of Continuance with Intent to Deny
4. N-14 Notices

2.4.17 Case Status Interface

3.16.0-1 (FR382) The system shall provide a GUI interface from Adjudications to the Case Status sub-system.

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3.16.0-2 (FR383) The system shall provide the capability to search for applications using the Case Status sub-system from within Adjudications by specifying search criteria.

3.16.0-3 (FR384) The system shall provide the capability to open selected applications on the list returned by the Case Status query.

3.16.0-4 (FR385) The system shall provide the capability to display an application summary through the Case Status sub-system on an application selected from the list returned by the query.

2.4.18 Administrative Close-Out

3.17.0-1 (FR387) The system shall provide functionality for an authorized user in the district office to administratively close a case based on an applicant's failure to appear for an N-400 interview.

3.17.0-2 (FR388) The system shall provide the option to administratively close a case 30 days after the first date the applicant fails to appear for an N-400 interview.

3.17.0-3 (FR389) 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.

3.17.0-4 (FR390) The system shall provide the functionality for cases to be administratively closed.

3.17.0-5 (FR391) The system shall provide the functionality for cases to be administratively closed in Interactive mode.

3.17.0-6 (FR392) The system shall generate a notice advising an N-400 applicant when his or her application has been administratively closed.

3.17.0-7 (FR393) The system shall provide the functionality for an N-400 case to be reopened with the same application ID number within 1 year of the administrative close date.

3.17.0-8 (FR394) The system shall capture and store date and time stamp information regarding an applicant's written request to reopen an N-400 case.

3.17.0-9 (FR395) The system shall generate a notice advising an N-400 applicant when his or her case has been reopened and indicating the next course of action for the applicant (that is, fingerprinting or interview.)

3.17.0-10 (FR396) The system shall calculate new naturalization eligibility criteria for a reopened N-400 case, based on the date it is reopened, using the following: Date of physical presence; Dates of travel; Moral character; Validity of fingerprints.

3.17.0-11 (FR397) The system shall provide the ability to apply standard jurisdiction processing rules to an N-400 case that has been administratively closed.

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3.17.0-12 (FR398) The system shall provide the functionality for an N-400 case to be dismissed 1 year after the case has been administratively closed, provided the applicant has not submitted a written request for the case to be reopened.

3.17.0-13 (FR399) The system shall provide an online indicator of N-400 cases eligible to be administratively closed.

3.17.0-14 (FR400) The system shall provide an online indicator of N-400 cases eligible to be dismissed.

2.4.19 Change of Address Data Entry

3.18.0-1 (FR1318) The system shall provide a GUI for the data entry of change of address requests.

3.18.0-2 (FR1319) The system shall, when a change of residential address is processed for an applicant, determine if this results in a change of jurisdiction.

3.18.0-3 (FR1320) 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.

3.18.0-4 (FR405) The system shall automatically assign cases with foreign residential addresses to designated local offices (Chicago [CHI], Miami [MIA], New York City [NYC], or Los Angeles [LOS]), depending on the SC that is processing them.

3.18.0-5 (FR406) The system shall reschedule an applicant for fingerprint processing at a different Application Support Center (ASC), when an applicant's change of address results in a change of ASC jurisdiction, and is processed before a fingerprint card has been received for that applicant.

3.18.0-6 (FR1321) 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.

3.18.0-7 (FR1322) The system shall reschedule a pending interview to a new INS location when an applicant's change of address is processed, only if the INS administrative office changes.

3.18.0-8 (FR1323) The system shall reschedule a pending oath ceremony at a new INS location when an applicant's change of address is processed, only if the INS administrative office or the court changes.

3.18.0-9 (FR1324) 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.

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3.18.0-10 (FR1325) The system shall generate a Notice of Fingerprint Rescheduling to be sent to the applicant and, if applicable, his or her representative whenever a case is rescheduled for fingerprint processing, interview, or oath ceremony due to change of jurisdiction.

3.18.0-11 (FR1326) 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.

3.18.0-12 (FR1327) 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.

3.18.0-13 (FR414) The system shall provide a means of notifying file room staff to ship the applicant's A-File/T-File to the File Control Office (FCO) associated with the new jurisdiction whenever a case is rescheduled for interview or oath ceremony due to change of jurisdiction.

2.5 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

2.5.1 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.

2.5.2 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.

2.5.3 CLAIMS Resolution Processing

4.1.0-1 (FR417) The system shall prevent scheduling of N-400 interviews if the following data are not provided: Last name DOB; COB; Permanent resident date; Street number; City; State; County; ZIP code.

4.1.0-2 (FR1531) 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.

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4.1.0-3 (FR1532) 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.

4.1.0-4 (FR1533) 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 (DOB).

4.1.0-5 (FR1534) 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.

4.1.0-6 (FR1535) The system shall allow authorized staff to select individual cases awaiting resolution for further research.

4.1.0-7 (FR1536) The system shall allow authorized staff to list the following fields in addition to the A-Number and Application ID:

1. Last name
2. First name
3. Middle name
4. Date of birth
5. Country of birth
6. Permanent resident date
7. Street number
8. Street name
9. City
10. State
11. County
12. ZIP code

4.1.0-8 (FR418) The system shall allow authorized staff to list from the application and from CIS, for comparison, along with CIS query date the following: A-Number; Last name; First name; Middle name; DOB; Permanent resident date; Address fields.

4.1.0-9 (FR419) The system shall allow authorized staff to correct data in the application when they are satisfied that they are in error.

4.1.0-10 (FR420) The system shall allow authorized staff to indicate that data deficiencies or CIS discrepancies have been resolved.

2.5.4 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

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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.

2.5.4.1 BATCH STATUS UPDATE PROCESSING

4.2.0-1 (FR428) The system shall provide a GUI for the Batch Update sub-function under the Batch Status Update function.

4.2.0-2 (FR429) The system shall provide a GUI for the Close Out Case sub-function under the Batch Status Update function.

4.2.0-3 (FR430) The system shall provide a GUI for the No Show sub-function under the Batch Status Update function.

4.2.0-4 (FR431) The system shall provide a GUI for the Certificate Withheld sub-function under the Batch Status Update function.

2.5.4.2 CLOSE OUT CASE PROCESSING

4.3-1 (FR433) The system shall provide the capability to perform an administrative close out as a sub-function under Close Out Case.

4.3-2 (FR434) The system shall provide the capability to perform a judicial close out as a sub-function under Close Out Case.

4.3-3 (FR435) The system shall provide the capability of selecting an oath ceremony for close out by specifying its date, location, room, and time.

4.3-4 (FR436) The system shall update the appropriate statuses in the appropriate databases for a closed-out ceremony.

4.3-5 (FR437) The system shall allow selection of cases for close out update by entering either the A-Number or the application ID.

4.3-6 (FR438) The system shall maintain information on naturalization date to be used to update the CIS following Close Out Case for naturalized cases.

2.5.4.3 NO SHOW PROCESSING

4.4-1 (FR440) The system shall provide the capability to record oath ceremony no-shows under No-Show.

4.4-2 (FR4410) The system shall provide the capability to record interview no-shows under No-Show.

4.4-3 (FR442) The system shall allow the user to enter cases to record no-show status by A-Number or by application ID.

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4.4-4 (FR443) The system shall display the application ID, form number, last name, first name, and DOB of each individual to be marked as no-show.

2.5.4.4 CERTIFICATE WITHHELD PROCESSING

4.5.0-1 (FR445) The system shall provide the ability to enter a case status of Oath Administered—Certificate Withheld under the Certificate Withheld function.

4.5.0-2 (FR446) The system shall provide the ability to enter a case status of Oath Not Administered—Certificate Withheld under the Certificate Withheld function.

4.5.0-3 (FR447) The system shall allow the user to enter the A-Number, the certificate number, or the application ID to select cases to be updated with Certificate Withheld statuses.

2.5.4.5 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.

2.5.4.6 BATCH UPDATE PROCESSING

4.6.0-1 (FR449) The system shall provide the ability to perform a Fingerprint/Agency Checks Requested function under Batch Update processing.

4.6.0-2 (FR450) The system shall provide the ability to perform a Fingerprint/Agency Checks Received function under Batch Update processing.

4.6.0-3 (FR451) The system shall provide the ability to perform an Evidence Received function under Batch Update processing.

4.6.0-4 (FR452) The system shall provide the ability to perform a Case Management function under Batch Update processing.

4.6.0-5 (FR453) The system shall provide the ability to perform an Information Received function under Batch Update processing.

2.5.4.7 FINGERPRINT/AGENCY CHECKS REQUESTED FUNCTION

4.8.0-1 (FR459) The system shall provide the capability to update case status as FBI Fingerprint Check Received.

4.8.0-2 (FR460) The system shall provide the capability to update case status as Military Check Received.

4.8.0-3 (FR461) The system shall provide the capability to update case status as G-325B Check Received.

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4.8.0-4 (FR462) The system shall provide the capability to update case status as FBI G-325A Name Check Received.

2.5.4.8 FINGERPRINT/AGENCY CHECKS RECEIVED FUNCTION

4.8.0-1 (FR459) The system shall provide the capability to update case status as FBI Fingerprint Check Received.

4.8.0-2 (FR460) The system shall provide the capability to update case status as Military Check Received.

4.8.0-3 (FR461) The system shall provide the capability to update case status as G-325B Check Received.

4.8.0-4 (FR462) The system shall provide the capability to update case status as FBI G-325A Name Check Received.

2.5.4.9 EVIDENCE RECEIVED FUNCTION

4.9.0-1 (FR464) The system shall allow the user to record that a form N-426 has been submitted by the applicant.

4.9.0-1.0-1 (FR465) The system shall allow the user to record that an FD-258 fingerprint card has been received for the applicant.

2.5.4.10 CASE MANAGEMENT FUNCTION

4.10.0-1 (FR467) The system shall provide the capability to indicate that a rap sheet has been placed in the A-File.

4.10.0-2 (FR468) The system shall provide the capability to indicate that information has been received from the applicant concerning a previous motion to reopen decision.

4.10.0-3 (FR469) The system shall provide the capability to update case status in the Request to Reschedule Interview Received option under the Information Received function.

4.10.0-4 (FR470) The system shall provide the capability to update the case with Requested Interview No Show information.

4.10.0-5 (FR471) The system shall provide the capability to indicate that a naturalization certificate has been issued.

4.10.0-6 (FR472) The system shall provide the capability to indicate that a Re-verify Grant has taken place successfully.

4.10.0-7 (FR473) The system shall require an override prior to re-verifying a decision to grant naturalization to an N-400 applicant (thus allowing oath ceremony scheduling) if an override has been required prior to interview.

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4.10.0-8 (FR474) The system shall prevent re-verification through the Batch Status Update sub-system of a decision to approve an N-400 application by the same user who issued the approval.

4.10.0-9 (FR475) The system shall allow the user to review fee waiver requests.

4.10.0-10 (FR476) The system shall allow the user to record that a request to reopen the decision has been received.

4.10.0-11 (FR477) The system shall provide the functionality for cases to be administratively closed in batch mode.

2.5.4.11 INFORMATION RECEIVED FUNCTION

4.11.0-1 (FR479) The system shall allow the user to record that a request for withdrawal of an application has been received.

2.5.4.12 INTERFACE FUNCTIONS

4.12.0-1 (FR481) The system shall record the FBI cards task as begun or completed in Workflow by invoking the Workflow component.

4.12.0-2 (FR482) The system shall record the military forms task as begun or completed in Workflow by invoking the Workflow component.

4.12.0-3 (FR483) The system shall record the FBI G-325A Name Check task as begun or completed in Workflow by invoking the Workflow component.

4.12.0-4 (FR484) The system shall inform Workflow of the end condition of case close out.

4.12.0-5 (FR485) The system shall provide a means of expediting and delaying (changing priority) an application in Workflow by invoking the Workflow component.

2.5.4.13 CHANGE OF ADDRESS DATA ENTRY

4.13-1 (FR402) The system shall provide a GUI for the data entry of change of address requests.

4.13-2 (FR403) The system shall, when a change of residential address is processed for an applicant, determine if this results in a change of jurisdiction.

4.13-2.0-1 (FR404) 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.

4.13-2.0-2 (FR486) The system shall automatically assign cases with foreign residential addresses to designated local offices (CHI, MIA, NYC, or LOS), depending on the SC that is processing them.

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4.13-2.0-3 (FR487) The system shall reschedule an applicant for fingerprint processing at a different ASC, when an applicant's change of address results in a change of ASC jurisdiction, and is processed before a fingerprint card has been received for that applicant.

4.13-2.0-4 (FR407) 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.

4.13-2.0-5 (FR408) The system shall reschedule a pending interview to a new INS location when an applicant's change of address is processed, only if the INS administrative office changes.

4.13-2.0-6 (FR409) The system shall reschedule a pending oath ceremony at a new INS location when an applicant's change of address is processed, only if the INS administrative office or the court changes.

4.13-2.0-7 (FR410) 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.

4.13-2.0-8 (FR411) The system shall generate a Notice of Fingerprint Rescheduling to be sent to the applicant and, if applicable, his or her representative whenever a case is rescheduled for fingerprint processing, interview, or oath ceremony due to change of jurisdiction.

4.13-2.0-9 (FR412) 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.

4.13-2.0-10 (FR413) 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.

4.13-2.0-11 (FR488) 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.

2.5.4.14 INITIAL ADDRESS EDIT

4.14-1 (FR490) The system shall provide the ability to verify that residential and mailing addresses associated with N-400, I-881, and other benefits application forms conform to U.S. Postal Service (USPS) guidelines, as specified in USPS Postal Addressing Standards, Publication 28 (November 1997).

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4.14-2 (FR491) The system shall provide the ability to verify that addresses of representatives of applicants for INS benefits conform to USPS guidelines, as specified in USPS Postal Addressing Standards, Publication 28 (November 1997).

4.14-3 (FR492) The system shall provide the ability to verify that all domestic addresses, residential or mailing, for INS benefits applicants or their representatives are consistent in terms of city, state, county, and ZIP code.

4.14-4 (FR493) The system shall provide the ability to verify that the residential ZIP code of each domestic N-400 applicant is associated with a fingerprint scheduling location before the case is allowed to proceed.

4.14-5 (FR494) The system shall provide the ability to verify that the residential ZIP code of each domestic N-400 applicant is associated with an examination scheduling location before the case is allowed to proceed.

4.14-6 (FR495) The system shall provide the ability to verify that the residential ZIP code of each domestic N-400 applicant is associated with an oath ceremony scheduling location before the case is allowed to proceed.

4.14-7 (FR496) The system shall apply the address verification rules immediately following data entry; that is, at time of CIS Matching/Data Verification step.

4.14-8 (FR497) The system shall provide a GUI that displays problem cases and provides means by which address fields can be corrected.

4.14-9 (FR498) The system shall display in the GUI, at a minimum, the following data elements: Name – Last – First – Middle – Suffix (not currently in the GUI; need to confirm) ;(If an applicant) A-Number; (If an applicant) application ID(s) ;(If an attorney or VOLAG) representative or VOLAG name; Address – In care of– Firm name (if a representative address)– Building-room– Street number– Street name– City– State– ZIP code– County– Postal code (if applicable)– Country code;(If an applicant) representative name;(If an applicant) representative ID.

4.14-10 (FR499) The system shall allow the user to select cases for GUI display by application ID.

2.6 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 SC, 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 re-interviews or Question and Answer (Q&A) sessions, to respond to applicant requests for cancellation, to deschedule if other circumstances demand it, to reschedule.

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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.

2.6.1 Scheduler Processing

- 5.1.0-1 (FR502) The system shall provide a GUI for the Scheduler function.
- 5.1.0-2 (FR503) The system shall as a default display the scheduler data pertaining only to the sites under the control of the user.
- 5.1.0-3 (FR504) The system shall provide the capability to schedule cases for interviews.
- 5.1.0-4 (FR505) The system shall provide the capability to schedule cases for oath ceremonies.
- 5.1.0-5 (FR506) The system shall provide the capability to schedule cases for fingerprint processing.
- 5.1.0-6 (FR1619) The system shall, upon completion of receipting the ASC Fingerprint Waiver, preclude scheduling an applicant for fingerprints in the future and the FP waiver will not expire.
- 5.1.0-7 (FR507) 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.
- 5.1.0-8 (FR508) The system shall, upon descheduling or canceling an appointment, make the slot that had been assigned to it available for use in scheduling subsequent appointments.
- 5.1.0-9 (FR509) The system shall display a warning message to prevent an applicant from being scheduled who has exceeded a predetermined number of missed scheduled events.
- 5.1.0-10 (FR510) The system shall prevent scheduling of an N-400 case for examination at the District Office unless fingerprint results have been received from the FBI.

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- 5.1.0-11 (FR511) The system shall prevent interview scheduling and oath ceremony scheduling of naturalization cases with expired fingerprints.
- 5.1.0-12 (FR512) The system shall prevent oath ceremony scheduling when the fingerprint results will have expired by the oath ceremony date.
- 5.1.0-13 (FR513) The system shall schedule fingerprint sessions based on a prioritization scheme.
- 5.1.0-14 (FR514) The system shall provide the ability to distinguish rescheduled appointments for fingerprint processing, so that the originating system can track them.
- 5.1.0-15 (FR515) The system shall reschedule applicants and petitioners for fingerprint processing at the ASC when the original appointment results in the applicant or petitioner fingerprint cards (form FD-258) being returned to the INS as unclassifiable.
- 5.1.0-16 (FR516) The system shall allow an applicant to be scheduled for interview when the fingerprint card has been returned twice as unclassifiable.
- 5.1.0-17 (FR517) The system shall reschedule an applicant for fingerprint processing when his or her change of address results in a jurisdiction change, if the fingerprint card for that applicant has not already been received.
- 5.1.0-18 (FR518) 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.
- 5.1.0-19 (FR519) The system shall reschedule a pending interview when a change of address is received only if the INS administrative office changes.
- 5.1.0-20 (FR520) 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.
- 5.1.0-21 (FR521) 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.
- 5.1.0-22 (FR522) 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.
- 5.1.0-23 (FR1360) The system shall not provide case information to remote workstations for adjudication processing at an interview location until cases are scheduled.

2.6.2 Scheduler Profile Setup Function

- 5.2.0-1 (FR524) The system shall provide the capability to maintain Number of Officers per Section under the Interview Office profiles.

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5.2.0-2 (FR525) The system shall provide the capability to maintain Scheduling Sites Under an Office under the Interview Office profiles.

5.2.0-3 (FR526) The system shall provide the capability to maintain Interview Locations Under a Scheduling Site under the Interview Office profiles.

5.2.0-4 (FR527) The system shall provide the capability to maintain rooms for an Interview location under the Interview Office profiles.

5.2.0-5 (FR528) The system shall provide the capability to maintain Sections for a Room.

5.2.0-6 (FR529) The system shall provide the capability to maintain Section Profile for a Room.

5.2.0-7 (FR530) The system shall provide the capability to maintain Service Type Profile under the Scheduling Site profiles.

5.2.0-8 (FR531) The system shall provide the capability to maintain Section Exception Profile.

5.2.0-9 (FR532) The system shall provide the capability to maintain Oath Ceremony or Fingerprint Sites Under an Office profile associated with Oath Ceremonies or Fingerprinting.

5.2.0-10 (FR533) The system shall provide the capability to maintain Facilities Under a Site profile associated with Oath Ceremonies.

5.2.0-11 (FR534) The system shall provide the capability to maintain Rooms for a Facility profile associated with Oath Ceremonies.

5.2.0-12 (FR535) The system shall provide the capability to maintain Facility—Room profiles.

5.2.0-13 (FR536) The system shall provide the capability to maintain the Gate profiles under a room at the user's option.

5.2.0-14 (FR537) The system shall provide the capability to maintain Exception profiles associated with Oath Ceremonies.

5.2.0-15 (FR538) The system shall automatically schedule N-400 interviews at the following specified default locations when processing cases with foreign residential addresses: CHI for cases receipted at the Nebraska Service Center; MIA for cases receipted at the Texas Service Center; NYC for cases receipted at the Vermont Service Center; LOS for cases receipted at the California Service Center.

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5.2.0-16 (FR539) The system shall provide the ability to schedule cases for a given type of appointment (e.g. N-400 interview) to one of a group of sites that serve the same range of zip codes.

5.2.0-17 (FR540) The system shall allow sites to specify that their cases be automatically scheduled (without manual invocation of the batch scheduler,) as soon as they become ready to schedule.

2.6.3 Batch Scheduling Function

5.3-1 (FR542) The system shall provide automated scheduling of the pool of applicants ready for scheduling.

5.3-2 (FR543) The system shall provide the capability to initiate batch scheduling of individuals for examinations (interviews.)

5.3-3 (FR544) The system shall provide the capability to initiate batch scheduling of individuals for reexaminations.

5.3-4 (FR545) The system shall provide the capability to initiate batch scheduling of individuals for Q&A sessions.

5.3-5 (FR546) The system shall provide the capability to initiate batch scheduling of individuals for oath ceremonies.

5.3-6 (FR547) The system shall provide the capability to initiate batch scheduling of individuals for fingerprint processing.

5.3-7 (FR548) The system shall provide the capability to create time pools for Interviews.

5.3-8 (FR549) The system shall provide the capability to create time pools for Q&A Sessions.

5.3-9 (FR550) The system shall provide the capability to create Slots for Oath Ceremonies.

5.3-10 (FR551) The system shall provide a means of displaying prior to actual slot creation an estimate of the number of slots that would actually be created using a given set of site profile and slot creation options.

5.3-11 (FR552) The system shall provide the capability to add the Time Slots for Interviews for additional future days.

5.3-12 (FR553) The system shall provide the capability to add time slots for fingerprint appointments on the current date or later.

5.3-13 (FR554) The system shall provide the capability to add the Time Slots for Q&A Sessions for additional future days.

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- 5.3-14 (FR555) The system shall provide the capability to add the Time Slots for Oath Ceremonies for additional future events.
- 5.3-15 (FR556) The system shall provide the capability to remove slots from the time pool for interviews as individuals are scheduled.
- 5.3-16 (FR557) The system shall provide the capability to remove slots from the time pool for Q& sessions as individuals are scheduled.
- 5.3-17 (FR558) The system shall provide the capability to remove slots from the time pool for oath ceremonies as individuals are scheduled.
- 5.3-18 (FR559) The system shall provide the capability to create Simple Queues for Interviews via Interactive Place-In-Queue function.
- 5.3-19 (FR560) The system shall provide the capability to create Simple Queues for Q&A Sessions via Interactive Place-In-Queue function.
- 5.3-20 (FR561) The system shall provide the capability to create Simple Queues for Oath Ceremonies via Interactive Place-In-Queue function.
- 5.3-21 (FR562) The system shall prevent the batch scheduler from scheduling an applicant who has exceeded a predetermined number of missed scheduler events.
- 5.3-22 (FR563) The system shall schedule applicants for fingerprinting using ASC scheduling profiles and application data.
- 5.3-23 (FR564) The batch scheduler shall provide confirmation when an applicant has been successfully scheduled for fingerprinting.
- 5.3-24 (FR565) 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.)
- 5.3-25 (FR566) The system shall control fingerprint scheduling with an ASC Scheduling profile dictating how far in advance an applicant may be scheduled.
- 5.3-26 (FR567) The system shall provide the capability to create simple queues for reexaminations via the interactive place-in-queue function.
- 5.3-27 (FR568) The system shall provide the capability to schedule groups (Family, CBO, Ad Hoc, Attorney) for interviews.

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5.3-28 (FR569) The system shall provide the capability to apply user-defined rules (group rules, scheduling rules, allocation rules, location redirection, and site group rules) to interview scheduling.

5.3-29 (FR570) The system shall provide automated scheduling from a pool of applicants ready for oath ceremony scheduling.

5.3-30 (FR571) The system shall provide the capability information to schedule groups (Family, CBO, Ad Hoc) for oath ceremonies.

5.3-31 (FR572) The system shall provide the capability to apply user-defined rules (group rules, scheduling rules, allocation rules, location redirection, and site group rules) to oath ceremony scheduling.

5.3-32 (FR573) The system shall provide the ability to specify a preferred location for a scheduled event (e.g. interview, oath ceremony,) to be used by the batch scheduler in assigning appointments for individuals, either singly or as group members.

5.3-33 (FR574) The system shall pre-populate the batch scheduler screens with the options they had been entered in the most recent prior to execution of the batch scheduler.

5.3-34 (FR575) The system shall provide the ability for authorized users to revise profile information on available time for specified scheduled events on a date-by-date basis.

5.3-35 (FR576) The system shall allow the user to pre-select a maximum number of cases to schedule for a given location and type of service or event using the batch scheduler, or to schedule all cases for a given location and type of service or event until the available slots have been exhausted.

5.3-36 (FR577) The system shall allow the user to define types of scheduled events or services (such as extended interviews for N-400s accompanied by forms I-648 with their associated duration.

5.3-37 (FR578) The system shall provide the ability for the user to delete interview and oath ceremony slots that have been created in error.

2.6.4 Scheduling Prioritization Function

5.4-1 (FR580) 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.

5.4-2 (FR581) 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

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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 percent 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 percent 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 percent 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 percent of the available fingerprint appointment slots for that processing period.;

N-400 Nonexpired Prints—Schedule all N-400s for any given schedule processing period using any remaining fingerprint appointment slots.

5.4-3 (FR583) 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.

5.4-4 (FR584) 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.
.interactive Interview Scheduling Function

5.5.0-1 (FR586) The system shall allow users to schedule selected applicants interactively for interviews.

5.5.0-2 (FR587) The system shall allow users to schedule selected applicants interactively for re-interviews.

5.5.0-3 (FR588) The system shall allow users to schedule selected applicants interactively for Q&A sessions.

5.5.0-4 (FR589) The system shall allow users to schedule selected applicants interactively for re-interviews without an exam.

5.5.0-5 (FR590) The system shall allow users to select cases for interactive scheduling for interview, re-interview, or Q&A by application ID, A-Number, or group ID.

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5.5.0-6 (FR591) 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, re-interviews or Q&A sessions.

5.5.0-7 (FR592) The system shall allow users to select service type, location, room, date and time to schedule the selected applicants.

5.5.0-8 (FR593) The system shall provide the capability to apply rules (group, scheduling, allocation, location redirection, and site group rules) in scheduling groups for the next available interview, re-interview, or Q&A session.

5.5.0-9 (FR594) The system shall provide a scheduling function within adjudications allowing the adjudicator to enter a specific date and time when interactively scheduling an interview, re-interview, or Q&A session for an individual.

5.5.0-10 (FR595) 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.

5.5.0-11 (FR596) The system shall warn the user when scheduling for an interview interactively if the capacity for that time slot has been reached.

5.5.0-12 (FR597) The system shall warn the user when scheduling for an interview in the event he/she attempts to assign a given case to a slot that has already been assigned to another case.

5.5.0-13 (FR598) The system shall warn the user if the applicant's fingerprints have expired.

5.5.0-13-1 (FR599) The system shall provide the ability for a reopened N-400 case to be interactively scheduled for interview.

5.5.0-13-2 (FR600) The system shall allow authorized users to interactively schedule applicants for fingerprint processing, even though their cases have been scheduled and are awaiting results from the FBI, to allow for recovery from system or procedural errors.

2.6.5 Interactive Oath Ceremony Scheduling Function

5.6.0-1 (FR602) The system shall allow user to schedule selected applicants for oath ceremonies interactively.

5.6.0-2 (FR603) The system shall allow users to select cases for interactive oath ceremony scheduling by application ID, A-Number, or group ID.

5.6.0-3 (FR604) The system shall allow users to display other member of the same group and select multiple eligible members of the group for interactive oath ceremony scheduling.

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5.6.0-4 (FR605) The system shall allow users to select service type, location, room, gate, date, and time to schedule the selected applicants.

5.6.0-5 (FR606) The system shall 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.

5.6.0-6 (FR607) The system shall warn the user when scheduling for Oath Ceremony interactively if the capacity for that time slot has been reached.

2.6.6 Interactive Fingerprint Scheduling Function

5.7.0-1 (FR609) The system shall allow user to schedule selected applicants for fingerprint processing interactively.

5.7.0-2 (FR610) The system shall allow users to select cases for interactive fingerprint scheduling by application ID, A-Number, or group ID.

5.7.0-3 (FR611) 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.

5.7.0-4 (FR612) The system shall allow users to select service type, location, room, date, and time to schedule the selected applicants.

5.7.0-5 (FR613) The system shall 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.

2.6.7 Interactive Removal From Batch Schedule Queue Function

5.8.0-1 (FR615) The system shall allow users to remove selected applicants from the batch interview schedule queue.

5.8.0-2 (FR616) The system shall allow users to select cases for interactive removal from the batch interview schedule queue by application ID, A-Number, or group ID.

5.8.0-3 (FR617) 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.

5.8.0-4 (FR618) The system shall allow users to remove selected applicants from the batch oath ceremony schedule queue.

5.8.0-5 (FR619) The system shall allow users to select cases for interactive removal from the batch oath ceremony schedule queue by application ID, A-Number, or group ID.

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5.8.0-6 (FR620) The system shall all 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.

5.8.0-7 (FR621) The system shall allow users to remove selected applicants from the batch fingerprint schedule queue.

5.8.0-8 (FR622) The system shall allow users to select cases for interactive removal from the batch fingerprint schedule queue by application ID, A-Number, or group ID.

5.8.0-9 (FR623) 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.

2.6.8 Interactive Place in Batch Schedule Queue Function

5.9.0-1 (FR625) The system shall allow users to place selected applicants in the batch interview schedule queue interactively.

5.9.0-2 (FR626) The system shall allow users to select cases for placement in the batch interview schedule queue by entering application ID, A-Number, or group ID.

5.9.0-3 (FR627) 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.

5.9.0-4 (FR628) The system shall in a future release provide the capability to form a group with the selected members and place the selected 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.

5.9.0-5 (FR629) The system shall allow users to place selected applicants in the batch oath ceremony schedule queue interactively.

5.9.0-6 (FR630) The system shall allow users to select cases for placement in the batch oath ceremony schedule queue by entering application ID, A-Number, or group ID.

5.9.0-7 (FR631) 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.

5.9.0-8 (FR632) The system shall 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, and reschedule delay date.

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5.9.0-9 (FR633) The system shall allow users to place selected applicants in the batch fingerprint schedule queue interactively.

5.9.0-10 (FR634) The system shall allow users to select cases for placement in the batch fingerprint schedule queue by entering application ID, A-Number, or group ID.

5.9.0-11 (FR635) 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.

5.9.0-12 (FR636) The system shall provide the capability to form a group with selected members and place them in the batch fingerprint queue, in accordance with redirection rules, site group rules, initial search for applicants, and reschedule delay date.

2.6.9 Interactive Cancellation Function

5.10.0-1 (FR638) The system shall allow authorized Adjudicators to cancel an individual applicant's appointment for examination (interview).

5.10.0-2 (FR639) The system shall allow authorized Adjudicators to cancel an individual applicant's appointment for reexamination.

5.10.0-3 (FR640) The system shall allow authorized Adjudicators to cancel an individual applicant's appointment for Q&A.

5.10.0-4 (FR641) The system shall allow authorized Adjudicators to cancel an individual applicant's appointment for oath ceremony.

5.10.0-5 (FR642) The system shall allow users to select cases for interactive cancellation by application ID, A-Number, or group ID.

5.10.0-6 (FR1328) The system shall allow the user to query and select cases for interactive recording of interview or oath ceremony cancellation, using any of the criteria: (1) Appointment date passed with no action (2) Appointment date at a specific location passed with no action (3) Applicants scheduled for a specific date at selected locations (4) Name.

5.10.0-7 (FR644) The system shall allow users to display other members of the same group and select multiple eligible members of the group for interactive cancellation.

5.10.0-8 (FR1329) The system shall 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 group rules, group rules, allocation rules, or rescheduling delay date rules).

5.10.0-9 (FR646) The system shall provide the capability to perform cancellations from the adjudications component.

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5.10.0-10 (FR647) The system shall automatically maintain a count of the number of times the interview was canceled.

5.10.0-11 (FR648) 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.

5.10.0-12 (FR649) 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.

5.10.0-13 (FR650) The system shall allow the adjudicator to request an acknowledgment of cancellation notice for the applicant from within the scheduler component.

2.6.10 Interactive Descheduling Function

5.11.0-1 (FR652) The system shall allow authorized users to de-schedule an individual applicant's appointment for examination (interview.)

5.11.0-2 (FR653) The system shall allow authorized users to de-schedule an individual applicant's appointment for reexamination.

5.11.0-3 (FR654) The system shall allow authorized users to de-schedule an individual applicant's appointment for Q&A.

5.11.0-4 (FR655) The system shall allow authorized users to de-schedule an individual applicant's appointment for oath ceremony.

5.11.0-5 (FR656) The system shall allow authorized users to de-schedule an individual applicant's appointment for fingerprinting processing.

5.11.0-6 (FR657) The system shall remove the applicant from the queue for the scheduled event (examination, reexamination, Q&A, or oath ceremony) when the appointment is de-scheduled.

5.11.0-7 (FR658) The system shall allow users to select cases for interactive de-scheduling by application ID, A-Number, or group ID.

5.11.0-8 (FR1330) The system shall allow the user to query and select cases for interactive recording of interview or oath ceremony cancellation, using any of the criteria: (1) Appointment date passed with no action (2) Appointment date at a specific location passed with no action (3) Applicants scheduled for a specific date at selected locations (4) Name.

5.11.0-9 (FR659) The system shall allow users to display other members of the same group and select multiple eligible members of the group for interactive de-scheduling.

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5.11.0-10 (FR645) The system shall 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 group rules, group rules, allocation rules, or rescheduling delay date rules).

5.11.0-11 (FR660) The system shall provide the capability to de-schedule from the adjudications component.

5.11.0-12 (FR661) The system shall allow the adjudicator to request a de-schedule notice for the applicant from within the scheduler component.

5.11.0-13 (FR662) The system shall allow the adjudicator to request de-scheduling of an applicant.

2.6.11 Interactive Recording of Interview Conducted Function

5.12.0-1 (FR664) The system shall provide the capability to record interactively that an interview has been conducted for a selected application.

5.12.0-2 (FR665) The system shall allow users to select cases to record interview completion by application ID, A-Number, or group ID.

5.12.0-3 (FR666) The system shall allow the user to query and select cases for interactive recording of interview or oath ceremony cancellation, using any of the criteria: (1) Appointment date passed with no action (2) Appointment date at a specific location passed with no action (3) Applicants scheduled for a specific date at selected locations (4) Name.

5.12.0-4 (FR667) 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.

5.12.0-5 (FR1331) The system shall provide the capability to form a group with selected members.

2.6.12 Interactive Recording of Oath Ceremony Conducted Function

5.13-1 (FR670) The system shall provide the capability to record interactively that an oath ceremony has been conducted for a selected application.

5.13-2 (FR671) The system shall allow users to select cases to record oath ceremony completion by application ID, A-Number, or group ID.

5.13-3 (FR1332) The system shall allow the user to query and select cases for interactive recording of interview or oath ceremony cancellation, using any of the criteria: (1) Appointment date passed with no action (2) Appointment date at a specific location passed with no action (3) Applicants scheduled for a specific date at selected locations (4) Name.

5.13-4 (FR672) 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.

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5.13-5 (FR1333) The system shall provide the capability to form a group with selected members.

2.6.13 Interactive Recording of Fingerprint Processing Conducted Function

5.14-1 (FR674) The system shall provide the capability to record interactively that fingerprint processing has been conducted for a selected application.

5.14-2 (FR675) The system shall allow users to select cases to record fingerprint processing completion by application ID, A-Number, or group ID.

5.14-3 (FR676) The system shall allow users to display other members of the same group and select multiple eligible members of the group for recording fingerprint processing completion.

5.14-4 (FR1334) The system shall provide the capability to form a group with selected members.

2.6.14 Interactive Recording of No Show Function

5.15.0-1 (FR678) The system shall provide the capability to record that a selected applicant did not appear for a scheduled interview or oath ceremony.

5.15.0-2 (FR679) The system shall allow users to select cases to record no-show status by application ID, A-Number, or group ID.

5.15.0-3 (FR643) The system shall allow the user to query and select cases for interactive recording of interview or oath ceremony cancellation, using any of the criteria: (1) Appointment date passed with no action (2) Appointment date at a specific location passed with no action (3) Applicants scheduled for a specific date at selected locations (4) Name.

5.15.0-4 (FR680) 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.

5.15.0-5 (FR668) The system shall provide the capability to form a group with selected members.

5.15.0-6 (FR681) The system shall 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.

5.15.0-7 (FR682) The system shall maintain a count of the number of events for which the applicant was a no-show.

5.15.0-8 (FR683) 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.

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5.15.0-9 (FR684) The system shall provide the capability to perform an initial search under group management functions using the following criteria: Application ID; A-Number ;Group ID; Last name; First name; Group type; Group name; Location.

5.15.0-10 (FR685) The system shall provide the capability for authorized staff to perform queries by group name.

2.6.15 Group Management Function

5.16.0-1 (FR687) The system shall provide the capability to create a new group.

5.16.0-2 (FR688) The system shall provide the capability to add members to a group.

5.16.0-3 (FR689) The system shall provide the capability to regroup members of existing groups by splitting and joining them.

5.16.0-4 (FR690) The system shall provide the capability to update group detail information.

5.16.0-5 (FR691) The system shall provide the capability to manage group names and group symbols.

5.16.0-6 (FR692) The system shall provide the capability to set up group rules.

5.16.0-7 (FR693) The system shall provide the ability for groups to be scheduled in concurrent slots or in consecutive slots.

5.16.0-8 (FR694) The system shall provide a group set function.

5.16.0-9 (FR695) The system shall provide the capability to perform an initial search under group management operations using the following criteria: Application ID; A-Number ;Group ID ;Last name ;First name ;Group type ;Group name ;Location.

5.16.0-10 (FR1359) The system shall allow an authorized user to query cases that are ready to be scheduled for initial interview by CBO.

5.16.0-11 (FR696) The system shall provide the capability for authorized staff to perform queries by group name.

2.6.16 Scheduler Interface Function

5.17.0-1 (FR698) The system shall queue an applicant in the Scheduler system through Workflow management software when all the required processing and documents are available, thus creating pools of applicants for scheduling events.

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5.17.0-2 (FR699) The system shall trigger a request to the Notices component to generate the appropriate notices and documents once the case has been scheduled for an event.

5.17.0-3 (FR700) The system shall provide the capability to request Interview Notices through the Notices component.

5.17.0-4 (FR701) The system shall provide the capability to request Interview Cancellation/De-scheduling Notices through the Notices component.

5.17.0-5 (FR702) The system shall provide the capability to request Interview Rescheduling Notices through the Notices component.

5.17.0-6 (FR703) The system shall provide the capability to request Oath Ceremony Notices through the Notices component.

5.17.0-7 (FR704) The system shall provide the capability to print Interview Notices at the local office.

5.17.0-8 (FR705) The system shall provide the capability to print Interview Rescheduling Notices at the local office.

5.17.0-9 (FR706) The system shall provide the capability to generate Daily Itineraries for INS Facilities by invoking the reporting function from within the scheduler component.

5.17.0-10 (FR707) The system shall provide the capability to generate Examination Pick List reports by invoking the reporting function from within the scheduler component.

5.17.0-11 (FR708) The system shall provide the capability to generate Interview Schedules by Location and Examiner by invoking the reporting function from within the scheduler component.

5.17.0-12 (FR709) The system shall provide the capability to generate Interview schedules by attorney by invoking the reporting function from within the scheduler component.

5.17.0-13 (FR710) The system shall provide the capability to generate reports of available slots for each examiner by invoking the reporting function from within the scheduler component.

5.17.0-14 (FR711) The system shall provide the capability to generate reports of the ready-to-schedule queue for examinations by invoking the reporting function from within the scheduler component.

5.17.0-15 (FR712) The system shall provide the capability to generate reports of cases past interview date with no action by invoking the reporting function from within the scheduler component.

5.17.0-16 (FR713) The system shall provide the capability to generate Cancel/No-show reports by invoking the reporting function from within the scheduler component.

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5.17.0-17 (FR714) The system shall provide the capability to generate oath ceremony schedules by reporting location by invoking the reporting function from within the scheduler component.

5.17.0-18 (FR715) The system shall provide the capability to generate reports of available oath ceremony slots by invoking the reporting function from within the scheduler component.

5.17.0-19 (FR716) The system shall provide the capability to generate reports of the ready-to-schedule queue for oath ceremonies by invoking the reporting function from within the scheduler component.

5.17.0-20 (FR717) The system shall provide the capability to generate scheduling reports by section by invoking the reporting function from within the scheduler component.

5.17.0-21 (FR718) The system shall provide the capability to generate scheduling reports by form type by invoking the reporting function from within the scheduler component.

2.7 Certificate Generation Process Description

Several INS processes, including naturalization, require the production of certificates. If an N-400 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. This secure document must be produced and handled in a controlled environment, and unusable documents must be explicitly voided and destroyed. The system must void documents that are clearly invalid (for example, certificates that have been printed with a date or oath location, in the event that these have changed.) INS staff must be able to review and verify the information that will appear on the certificates before printing, so as to minimize the number of invalid documents. Typically, certificates are produced at local INS offices in batches for specific oath ceremonies, although individual certificates may be produced on occasion. Specific processes vary somewhat in their details from office to office, so automated support must be flexible enough to support different local practices. (e.g., the order in which certificates are printed, or the specific information that can be pre-printed on them.) Enhancements envisioned for the future include the ability to print applicant photographs and the INS Commissioner's signature on Certificates of Naturalization, and an archive capability Certificate Generation Processing.

6.1.0-1 (FR721) The system shall provide the capability to process a batch of certificates in ascending or descending order.

6.1.0-2 (FR1566) The system shall provide an authorized user the ability to identify and correct cases with missing CCO Codes prior to printing certificates.

6.1.0-3 (FR1567) The system shall allow authorized users to assign specific certificate numbers to individual applicants.

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2.7.1 Print and Reprint Function

6.2.0-1 (FR723) The system shall provide the capability to mass print certificates at authorized offices through batch jobs.

6.2.0-2 (FR724) The system shall provide the capability to individually print certificates at authorized offices in real time.

6.2.0-3 (FR1568) The system shall provide the ability to display all of the applicant biographical information that appears on the certificate prior to printing the certificate.

6.2.0-4 (FR1517) The system shall provide the option to print the Oath Ceremony date on the certificate.

6.2.0-5 (FR1569) The system shall provide the option to print the Oath Ceremony location on the certificate.

6.2.0-6 (FR726) The system shall provide the capability to sort the applicant file before printing, in either ascending or descending order on one or more of the following fields: A-Number; A-Number Terminal Digit; Applicant last name; Reporting location.

6.2.0-7 (FR727) 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.

6.2.0-8 (FR729) The system shall provide the capability to reprint on demand a plain paper copy of the certificate, as originally printed.

6.2.0-9 (FR1515) The system shall provide the ability to reprint a batch of certificates.

6.2.0-10 (FR1516) The system shall provide a warning for users entering batch print request reminding them to check the printer settings.

6.2.0-11 (FR730) The system shall provide the capability to process the certification of citizenship (A and AA types), the replacement Certificate of Citizenship and the replacement Certificate of Naturalization.

6.2.0-12 (FR1570) The system shall provide the capability to reset printed certificates to address possible discrepancies between the printed certificate and CLAIMS 4. (Reset refers to releasing A# and Cert# to be able to be available for printing again.)

6.2.0-13 (FR731) The system shall provide the capability to select 8x10 certificate formats during print time.

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2.7.1.1 VOID LOG FUNCTION

6.3-1 (FR738) The system shall provide the capability to void certificates in CLAIMS 4.

6.3-2 (FR1571) The system shall perform a "system void" when a certificate is printed with the ceremony location and the applicant is subsequently rescheduled for a ceremony at a different ceremony location.

6.3-3 (FR1572) The system shall perform a "system void" when a certificate is printed with the date on it and the applicant is rescheduled into a new ceremony for a different date.

6.3-4 (FR739) The system shall provide the capability to view a history of printed, reset and voided certificates.

2.7.1.2 TRACKING AND REPORTING FUNCTION

6.4-1 (FR744) The system shall provide a query function to view certificate history by A-Number, and certificate number.

6.4-2 (FR745) The system shall provide the capability to query CLAIMS 4 by using the global find function and other additional criteria to view certificate history.

6.4-3 (FR1573) The system shall delete ceremonies from the Requested Ceremonies List view upon Oath Ceremony close out.

6.4-4 (FR746) The system shall provide the capability to request the following daily and monthly reports from within the Document Production function: Number of Certificates Prepared; Number of Certificates Voided; Number of Certificates Destroyed.

2.7.1.3 IMAGE PROCESSING FUNCTION

6.5.0-1 (FR748) The system shall provide the capability to print the applicant's photograph image and the commissioner's signature image onto certificates.

2.7.1.4 SECURITY FUNCTION

6.6.0-1 (FR753) The system shall provide the capability to allow only authorized users to perform a subset of certificate functions.

2.7.1.5 ARCHIVAL FUNCTION

6.7.0-1 (FR755) The system shall provide the capability to archive certificate production related data.

2.8 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

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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.

2.8.1 Notice Creation Processing

- 7.1.0-1 (FR758) The system shall provide the capability to produce N-400 Receipt Notices
- 7.1.0-2 (FR759) The system shall generate a receipt notice informing the primary person of the group balance.
- 7.1.0-3 (FR760) 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.
- 7.1.0-4 (FR761) The system shall generate receipt notices for N-400 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.
- 7.1.0-5 (FR762) The system shall provide the capability to produce N-400 Suspense Notices.
- 7.1.0-6 (FR763) The system shall provide the capability to produce N-400 Exception Notices.
- 7.1.0-7 (FR764) The system shall provide the capability to produce N-400 Invalid Payment Notices.
- 7.1.0-8 (FR765) The system shall provide the capability to produce N-400 Underpayment Notices.
- 7.1.0-9 (FR766) The system shall provide the capability to produce N-400 Bounced Check Notices.
- 7.1.0-10 (FR767) The system shall provide the capability to produce Overpayment Notices.
- 7.1.0-11 (FR768) The system shall provide the capability to produce N-400 Interview Notices.
- 7.1.0-12 (FR769) The system shall provide the capability to produce N-400 Re-interview Notices.
- 7.1.0-13 (FR770) The system shall provide the capability to produce N-400 Interview Cancellation Notices.

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- 7.1.0-14 (FR771) The system shall provide the capability to produce N-400 Interview De-scheduling Notices.
- 7.1.0-15 (FR772) The system shall provide the capability to produce Continuance Notices.
- 7.1.0-16 (FR773) The system shall provide the capability to produce Intent-to-Deny Notices.
- 7.1.0-17 (FR774) The system shall provide the capability to produce N-400 Oath Ceremony Notices.
- 7.1.0-18 (FR775) The system shall provide the capability to produce N-400 Oath Ceremony Cancellation Notices.
- 7.1.0-19 (FR776) The system shall provide the capability to produce N-400 Oath Ceremony De-scheduling Notices.
- 7.1.0-20 (FR777) The system shall provide the capability to produce Memos.
- 7.1.0-21 (FR778) The system shall provide the capability to produce N-400 Interview No-show Notices.
- 7.1.0-22 (FR779) The system shall provide the capability to produce N-400 Oath Ceremony No-show Notices.
- 7.1.0-23 (FR780) The system shall provide the capability to produce Intent-to-Revoke Notices.
- 7.1.0-24 (FR781) The system shall provide the capability to produce Request for Evidence Notices.
- 7.1.0-25 (FR1335) The system shall provide the capability to produce N-400 Withdrawal Acknowledgment Notices.
- 7.1.0-26 (FR783) The system shall provide the capability to produce Approval Notices.
- 7.1.0-27 (FR784) The system shall provide the ability to produce Administrative Close Notices.
- 7.1.0-28 (FR785) The system shall provide the ability to produce notices when cases have been reopened.
- 7.1.0-29 (FR786) The system shall produce FD-258 Fingerprint schedule notices directing applicants to the appear on an appointed date and time, at an ASC, Designated Law Enforcement Agency (DLEA) or Mobile Station (Temporary Outreach Station).

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7.1.0-30 (FR787) The system shall provide the capability to produce FD-258 Fingerprint rescheduling notices directing applicants to an ASC on the first occasion when their fingerprint cards have been returned as unclassifiable.

7.1.0-31 (FR788) The system shall provide the capability to produce a notice of rescheduling when an applicant has been rescheduled due to jurisdiction change.

7.1.0-32 (FR789) 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.

7.1.0-33 (FR790) 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 Refugee, Asylum, and Parole System (RAPS) application..

7.1.0-34 (FR791) 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.

7.1.0-35 (FR792) The system shall produce applicant notices with a 2-D bar-code containing FD-258 biographic (masthead) data.

7.1.0-36 (FR793) The system shall provide the ability for SC locations to produce OMR markings on notices to support automated mail handling operations.

7.1.0-37 (FR794) The system shall print notices for scheduled events (for example, N-400 interviews or oath ceremonies) in advance of the event, with lead times specified by the local office.

7.1.0-38 (FR795) The system shall produce a duplicate copy of every applicant notice produced, if a representative such as attorney or CBO representative exists for the applicant, with representative name and mailing address.

7.1.0-39 (FR1381) The system shall provide the ability to create and maintain notice templates.

7.1.0-40 (FR797) The system shall provide the capability to reproduce any notice that has been generated.

7.1.0-41 (FR1337) The system shall provide the capability to prioritize the creation of Fingerprint Scheduling Notices based on form type.

7.1.0-42 (FR1338) The system shall generate a notice advising an N-400 applicant that his/her case has been denied on the basis of abandonment for the following reasons: failure to appear for

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fingerprinting; failure by an applicant residing abroad to submit fingerprints; failure to submit the correct fee for fingerprinting; non- payment of the fee for fingerprinting; and undeliverable notices.

2.8.2 Notice Creation Processing – Form I-485

7.2.0-1 (FR1342) The system shall generate Fingerprint Schedule Notices for each I-485 applicant who has been scheduled for fingerprinting.

2.8.3 Notice Creation Processing – Form I-589

7.3-1 (FR1343) The system shall generate Fingerprint Notices for each I-589 applicant who has been identified for fingerprinting.

2.8.4 Notice Creation Processing – Form I-881

7.4-1 (FR1344) The system shall generate Fingerprint Notices for each I-881 applicant who has been identified for fingerprinting.

7.4-2 (FR1345) The system shall generate Fingerprint Schedule Notices for each I-881 applicant who has been scheduled for fingerprinting.

2.8.5 Batch Print Processing

7.5.0-1 (FR801) The system shall provide the capability to mass print N-400 Receipt Notices at the SCs.

7.5.0-2 (FR802) The system shall provide the capability to mass print N-400 Suspense Notices at the SCs.

7.5.0-3 (FR803) The system shall provide the capability to mass print N-400 Exception Notices at the SCs.

7.5.0-4 (FR804) The system shall provide the capability to mass print N-400 Invalid Payment Notices at the SCs.

7.5.0-5 (FR805) The system shall provide the capability to mass print N-400 Underpayment Notices at the SCs.

7.5.0-6 (FR806) The system shall provide the capability to mass print N-400 Bounced Check Notices at the SCs.

7.5.0-7 (FR807) The system shall provide the capability to mass print N-400 Interview Notices at the SCs.

7.5.0-8 (FR808) The system shall provide the capability to mass print N-400 Re-interview Notices at the SCs.

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- 7.5.0-9 (FR809) The system shall provide the capability to mass print N-400 Interview Cancellation Notices at the SCs.
- 7.5.0-10 (FR810) The system shall provide the capability to mass print N-400 Interview De-scheduling Notices at the SCs.
- 7.5.0-11 (FR811) The system shall provide the capability to mass print N-400 Oath Ceremony Notices at the SCs.
- 7.5.0-12 (FR812) The system shall provide the capability to mass print N-400 Oath Ceremony Cancellation Notices at the SCs.
- 7.5.0-13 (FR813) The system shall provide the capability to mass print N-400 Oath Ceremony De-scheduling Notices at the SCs.
- 7.5.0-14 (FR1382) The system shall provide the capability to produce Data Suspense Notices.
- 7.5.0-15 (FR1383) The system shall provide the capability to produce FBI Suspense Notices.
- 7.5.0-16 (FR782) The system shall provide the capability to produce N-400 Withdrawal Acknowledgment Notices.
- 7.5.0-17 (FR816) The system shall provide the capability to produce N-400 Interview No-Show Notices.
- 7.5.0-18 (FR817) The system shall provide the capability to produce N-400 Oath Ceremony No-Show Notices.
- 7.5.0-19 (FR818) The system shall provide the capability to produce Internal A-File Notices.
- 7.5.0-20 (FR819) Provide the capability to reprint all or part of a batch to recover from printer errors.
- 7.5.0-21 (FR820) Provides an error recovery function to restart a batch job from the last notice printed.
- 7.5.0-22 (FR821) Provides the capability to print notices in ZIP code-sorted order to minimize mailing costs.
- 7.5.0-23 (FR822) Provides the capability to print notices by notice type or location (i.e., service center or district jurisdiction).
- 7.5.0-24 (FR823) The system shall provide a notice monitor for authorized Service Center staff to indicate the print status of notices.
- 7.5.0-25 (FR824) Provides a display of the notices being created as the batch notices print job executes, with a progress indicator.

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7.5.0-26 (FR1384) The system shall move printed notice records to another table.

7.5.0-27 (FR1346) The system shall provide the capability to mass print N-400 Denial Based on Abandonment Notices.

7.5.0-28 (FR825) The system shall provide the capability to mass print 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).

2.8.5.1 BATCH NOTICES - I-485

7.6.0-1 (FR1350) The system shall provide the capability to mass print Fingerprint Schedule Notices for I-485 applicants who have been scheduled for fingerprinting.

2.8.5.2 Batch Notices - I-589

7.7.0-1 (FR1351) The system shall provide the capability to mass print Fingerprint Notices for I-589 applicants who have been identified for fingerprinting.

2.8.5.3 Batch Notices – I-881

7.8.0-1 (FR1352) The system shall provide the capability to mass print Fingerprint Notices for I-881 applicants who have been identified for fingerprinting.

7.8.0-2 (FR1353) The system shall provide the capability to mass print Fingerprint Schedule Notices for I-881 applicants who have been scheduled for fingerprinting.

2.8.5.4 Local Batch Printing

7.9.1.1.0-1 (FR1387) The system shall allow an authorized user to create a batch print request of one or more notices.

7.9.1.1.0-2 (FR1512) The system shall allow an authorized user to transfer print jobs to the INS Service Center with jurisdiction.

2.8.5.5 By Event

7.9.1.2.0-1 (FR1389) The system shall allow an authorized user upon completion of interview scheduling to generate and print Interview Notices locally.

7.9.1.2.0-2 (FR1390) The system shall allow an authorized user upon completion of re-interview scheduling to generate and print Re-interview Notices locally.

7.9.1.2.0-3 (FR1391) The system shall allow an authorized user upon completion of canceling an interview to generate and print Interview Cancellation Notices locally.

7.9.1.2.0-4 (FR1392) The system shall allow an authorized user upon completion of de-scheduling an interview to generate and print De-scheduling Notices locally.

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7.9.1.2.0-5 (FR1393) The system shall allow an authorized user upon completion of oath ceremony scheduling to generate and print Oath Ceremony Notices locally.

7.9.1.2.0-6 (FR1394) The system shall allow an authorized user upon completion of canceling an Oath Ceremony to generate and print Oath Ceremony Cancellation Notices locally.

7.9.1.2.0-7 (FR1395) The system shall allow an authorized user upon completion of de-scheduling an Oath Ceremony to generate and print Oath Ceremony De-scheduling Notices locally.

7.9.1.2.0-8 (FR1396) The system shall allow an authorized user upon completion of recording a No-Show to generate and print Oath Ceremony No-Show Notices locally.

2.8.5.6 By Notice Type

7.9.1-1 (FR829) The system shall provides the capability to individually print notices by authorized users to print locally.

7.9.1-2 (FR830) The system shall provide an interface to the N-400 Adjudication function to customize Approval Notices and print them locally.

7.9.1-3 (FR831) The system shall provide an interface to the N-400 Adjudication function to customize Continuance Notices and print them locally.

7.9.1-4 (FR832) The system shall provide an interface to the N-400 Adjudication function to customize Intent-to-Deny Notices and print them locally.

7.9.1-5 (FR833) The system shall provide an interface to the N-400 Adjudication function to customize Denial Notices and print them locally.

7.9.1-6 (FR834) The system shall provide an interface to the N-400 Adjudication function to customize Request for Evidence Notices and print them locally.

7.9.1-7 (FR835) The system shall provide an interface to the N-400 Adjudication function to customize Intent-to-Revoke Notices and print them locally.

7.9.1-8 (FR836) The system shall provide an interface to the N-400 Adjudication function to customize Motion to Reopen Notices and print them locally.

7.9.1-9 (FR837) The system shall provide an interface to the N-400 Adjudication function to customize Motion to Reconsider Notices and print them locally.

7.9.1-10 (FR838) The system shall provide an interface to the Scheduling function to print Interview Notices locally.

7.9.1-11 (FR839) The system shall provide an interface to the Scheduling function to print Re-interview Notices locally.

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7.9.1-12 (FR840) The system shall provide an interface to the Scheduling function to print Interview Cancellation Notices locally.

7.9.1-13 (FR841) The system shall provide an interface to the Scheduling function to print Interview De-scheduling Notices locally.

7.9.1-14 (FR842) The system shall provide an interface to the Scheduling function to print Interview No-Show Notices locally.

7.9.1-15 (FR843) The system shall provide an interface to the Scheduling function to print Oath Ceremony Notices locally.

7.9.1-16 (FR844) The system shall provide an interface to the Scheduling function to print Oath Ceremony Cancellation Notices locally.

7.9.1-17 (FR845) The system shall provide an interface to the Scheduling function to print Oath Ceremony De-scheduling Notices locally.

7.9.1-18 (FR846) The system shall provide an interface to the Scheduling function to print Oath Ceremony No-Show Notices locally.

2.8.5.7 Print Format Processing

7.10.0-1 (FR848) The system shall provide the capability to produce notices using standardized templates/text.

7.10.0-2 (FR849) The system shall provide the capability to produce notices using a word processor for customized text.

7.10.0-3 (FR850) The system shall provide the capability to produce notices using a combination of standardized and customized text.

7.10.0-4 (FR851) The system shall provide the capability to produce notices addressed to the applicant.

7.10.0-5 (FR852) The system shall produce addresses on notices to applicants and petitioners that conform to USPS guidelines.

7.10.0-6 (FR1385) The system shall provide the capability to print notices addressed to other additional authorized parties, such as the CBO representative and attorney/VOLAG.

7.10.0-7 (FR854) The system shall provide the capability to add a 1-D bar code of the applicant's application ID to all printed N-400 notices.

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2.8.5.8 Nonstandard Template Processing

7.11.0-1 (FR856) The system shall provide the capability for any office to use its own notice templates, with Office of Information Resources Management permission, to support local requirements.

2.8.5.9 Utility Processing

7.12.0-1 (FR858) The system shall provide the capability to route designated notices to a review process prior to printing and distribution.

7.12.0-2 (FR859) The system shall provide the capability to preview local print notices before printing.

7.12.0-3 (FR860) The system shall provide the capability to view and reprint notices that have been previously printed, from the same location.

7.12.0-4 (FR861) The system shall provide the capability to view and reprint notices that have been previously printed for notices, from any service center office location.

7.12.0-5 (FR862) The system shall provide the ability to specify a printer other than the default office printer for the production of notices.

7.12.0-6 (FR1354) The system shall provide the ability to add, remove, and edit printers, and to assign paper types to printers for Notices printing.

2.8.5.10 Tracking and Reporting Processing

7.13-1 (FR1374) 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.

7.13-2 (FR865) The system shall allow the user to display notices awaiting production.

7.13-3 (FR1375) The system shall provide a daily production reports of total notices printed by notice type, form type, destination (batch or local), and office.

2.8.5.11 Security Processing

7.14-1 (FR868) The system shall provide notice template level security to authorize or restrict users to specific notice templates.

7.14-2 (FR869) The system shall provide notice function security to authorize or restrict users to specific notice functions.

2.8.5.12 Archival Processing

7.15.0-1 (FR871) The system shall provide the capability to archive Notice Production-related data.

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2.9 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.

2.9.1 Reporting Processing

8.1.0-1 (FR874) The system shall provide access to the Reporting function from the screens of any of the main processing areas.

8.1.0-2 (FR875) The system shall provide capability to produce reports online or in hard copy.

8.1.0-3 (FR876) The system shall provide for report storage on disk.

8.1.0-4 (FR877) The system shall provide menu-driven standardized reports with optional selection criteria, including location, date, and sort.

8.1.0-5 (FR878) 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).

8.1.0-6 (FR879) The system shall support the generation of ad hoc reports with flexibility in the designation of fields for selection and sorting.

8.1.0-7 (FR880) The system shall provide the ability to sort reports on multiple fields.

8.1.0-8 (FR881) 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.

8.1.0-9 (FR882) The system shall produce weekly manifests with a 2-D bar code for all cases scheduled at ASCs during the week.

8.1.0-10 (FR883) The system shall provide the ability to reprint application labels, displaying name and application ID prominently to minimize the risk of keying error.

8.1.0-11 (FR884) The system shall provide the capability to select a printer, other than the office default, using standard paper for report printing.

8.1.0-12 (FR885) The system shall provide report level security to authorize or restrict users to specific reports, using Report Access Groups.

2.9.2 Certificate Tracking Reporting Function

8.2.0-1 (FR887) The system shall provide a Certificates Prepared report to support the Certificate Tracking function.

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8.2.0-2 (FR888) The system shall provide a Certificates Voided/Destroyed report to support the Certificate Tracking function.

8.2.0-3 (FR889) The system shall provide a report of Cases Without Certificate Numbers to support the Certificate Tracking function.

8.2.0-4 (FR890) The system shall provide a Certificate Accountability report to support the Certificate Tracking function.

8.2.0-5 (FR891) The system shall provide a Certificate Issuance report to support the Certificate Tracking function.

8.2.0-6 (FR892) The system shall provide a report of the Number of Certificates Prepared to support the Certificate Tracking function.

2.9.3 Adjudication Reporting Processing

8.3-1 (FR894) The system shall provide a report of Applicant Current Status to support the adjudication function.

8.3-2 (FR895) The system shall provide a report of Applicants Naturalized by the Court to support the adjudication function.

8.3-3 (FR896) The system shall provide an Applicant Status report to support the adjudication function.

8.3-4 (FR897) The system shall provide a Cases on Hold report to support the adjudication function.

8.3-5 (FR898) The system shall provide report of Cases Pending to support the adjudication function.

8.3-6 (FR899) The system shall provide a report of Cases Without A-Numbers to support the adjudication function.

8.3-7 (FR900) The system shall provide a report of Continued Cases to support the adjudication function.

8.3-8 (FR901) The system shall provide a report of Expired Requests for Additional Information to support the adjudication function.

2.9.4 File Room Operation Reporting Function

8.4-1 (FR903) The system shall provide a Daily RAFACS Report (CLAIMS 4) of A-Files Received to support the file room operation function.

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8.4-2 (FR904) The system shall provide the following report to support the file room operation function. a report of A-File movement to CLAIMS4 Responsible Parties.

8.4-3 (FR905) The system shall provide a CIS File Transfer Request Report to support the file room operation function.

8.4-4 (FR906) The system shall provide a CLAIMS 4 A-File Request Status Report to support the file room operation function.

8.4-5 (FR907) The system shall provide a report of T-Files Created to support the file room operation function.

8.4-6 (FR908) The system shall provide a File Consolidation Report to support the file room operation function.

8.4-7 (FR909) The system shall provide a File Consolidation and Shipment Report to support the file room operation function.

8.4-8 (FR910) The system shall provide a File Movement and Shipment Report to support the file room operation function.

8.4-9 (FR911) The system shall provide a report of OF-11 Requests to support the file room operation function.

8.4-10 (FR912) The system shall provide a Ship A-File (Transfer Out) report to support the file room operation function.

8.4-11 (FR913) The system shall provide a Ship T-File (Transfer Out) report to support the file room operation function.

8.4-12 (FR914) The system shall provide an Examination/Case Review Pick List to support the file room operation function.

8.4-13 (FR1358) The system shall display the CBO code on the Pick List report.

8.4-14 (FR915) The system shall provide a CIS Name/DOB/COB Change Audit Report to support the file room operation function.

8.4-15 (FR916) The system shall provide a User Audit Trail report to support the file room operation function.

8.4-16 (FR917) The system shall provide an A-File Activity Report to support the file room operation function.

8.4-17 (FR918) The system shall provide a report for the SC identifying, for a specified date, all local offices with scheduled cases requiring that SC to ship A-Files.

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8.4-18 (FR919) The system shall provide a report for the SC identifying, for a specified date, local offices not associated with that SC, that have scheduled cases requiring that SC to ship A-Files.

8.4-19 (FR920) The system shall provide a report for the SC identifying, for a specified date, local offices associated with that SC, that have scheduled cases requiring that SC to ship A-Files.

2.9.5 Finance Reporting Function

8.5.0-1 (FR922) The system shall provide a Bank Transmittal Sheet in support of the Finance function, allowing selection of audited cash boxes to be included.

8.5.0-2 (FR923) The system shall provide a Bounced Check Report in support of the Finance function.

8.5.0-3 (FR924) The system shall provide a Detail Audited Cash Box Report in support of the Finance function.

8.5.0-4 (FR925) The system shall provide a Detail Audited Cash Box Report for Supervisors in support of the Finance function.

8.5.0-5 (FR926) The system shall provide a Detail Cash Box Report in support of the Finance function.

8.5.0-6 (FR927) The system shall provide a Detail Cash Box Report for Supervisors in support of the Finance function.

8.5.0-7 (FR928) The system shall provide a Detail Fee Register in support of the Finance function.

8.5.0-8 (FR929) The system shall provide a Detail Register Transaction Report in support of the Finance function.

8.5.0-9 (FR930) The system shall provide a Detail Register Transaction Report for Supervisors in support of the Finance function.

8.5.0-10 (FR931) The system shall provide an Office Fee Register by Payment Type in support of the Finance function.

8.5.0-11 (FR932) The system shall provide an Open Payment Report in support of the Finance function.

8.5.0-12 (FR933) The system shall provide a Refund Due Report in support of the Finance function.

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8.5.0-13 (FR934) The system shall provide a Refund Paid Report in support of the Finance function.

8.5.0-14 (FR935) The system shall provide a Summary Active Cash Box Report in support of the Finance function.

8.5.0-15 (FR936) The system shall provide a Summary Active Cash Box. Report for Supervisors in support of the Finance function.

8.5.0-16 (FR937) The system shall provide a Summary Audited Cash Box Report in support of the Finance function.

8.5.0-17 (FR938) The system shall provide a Summary Audited Cash Box Report for Supervisors in support of the Finance function.

8.5.0-18 (FR939) The system shall provide a Summary Cash Box Report in support of the Finance function.

8.5.0-19 (FR940) The system shall provide a Summary Cash Box Report for Supervisors in support of the Finance function.

2.9.6 Mailroom Reporting Function

8.6.0-1 (FR942) The system shall provide a Daily Mailroom Remittance Reconciliation Report in support of the Mailroom function.

8.6.0-2 (FR943) The system shall provide a Daily Mailroom Remittance Reconciliation Report for Supervisors in support of the Mailroom function.

8.6.0-3 (FR944) The system shall provide a Mailroom Remittance Reconciliation Report in support of the Mailroom function.

8.6.0-4 (FR945) The system shall provide a Mailroom Remittance Reconciliation Report for Supervisors in support of the Mailroom function.

8.6.0-5 (FR946) The system shall provide a Mailroom Remittance/Application Reconciliation Report for Supervisors in support of the Mailroom function.

8.6.0-6 (FR947) The system shall provide a report of Unprocessed Applications in support of the Mailroom function.

8.6.0-7 (FR948) The system shall provide a report of Unprocessed Payments in support of the Mailroom function.

2.9.7 Management Reporting Function

8.7.0-1 (FR950) The system shall provide an Access Authorization List in support of the Management function.

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- 8.7.0-2 (FR951) The system shall provide a Cases Pending Aging Report in support of the Management function.
- 8.7.0-3 (FR952) The system shall provide a Cases Pending Summary Report in support of the Management function.
- 8.7.0-4 (FR953) The system shall provide a CIS/CLAIMS Mismatch Report in support of the Management function.
- 8.7.0-5 (FR954) The system shall provide a CLAIMS 4 User List in support of the Management function.
- 8.7.0-6 (FR1336) The system shall provide a Data Entry Production Report in support of the Management function.
- 8.7.0-7 (FR955) The system shall provide a Data Entry Production Report 1 in support of the Management function.
- 8.7.0-8 (FR956) The system shall provide an FD-258 Manifest in support of the Management function.
- 8.7.0-9 (FR957) The system shall provide a report of Location Relationships in support of the Management function.
- 8.7.0-10 (FR958) The system shall provide a report of New N-400 Cases in support of the Management function.
- 8.7.0-11 (FR959) The system shall provide a report of Notices In Error State in support of the Management function.
- 8.7.0-12 (FR960) The system shall provide a report of Notices Print Production in support of the Management function.
- 8.7.0-13 (FR961) The system shall provide a report of Notices Ready To Create in support of the Management function.
- 8.7.0-14 (FR962) The system shall provide a report of Notices Ready to Print in support of the Management function.
- 8.7.0-15 (FR963) The system shall provide a report of Workflow Status in support of the Management function.
- 8.7.0-16 (FR964) The system shall provide supervisory staff with the option of querying for statistical summary data, as a way of identifying bottlenecks in the process.

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- 8.7.0-17 (FR965) The system shall extract process-related information captured by the Workflow function for reports on Workflow metrics.
- 8.7.0-18 (FR966) The system shall report information about the volumes involved for all tasks in the process.
- 8.7.0-19 (FR967) The system shall provide RNACS Interface Audit reports.
- 8.7.0-20 (FR968) The system shall provide a Workflow Current Activity Report in support of the Management function.
- 8.7.0-21 (FR969) The system shall provide a Workflow Current Activity Report for Service Center in support of the Management function.
- 8.7.0-22 (FR970) The system shall provide a Receipting System FBI Response Override report to monitor the FBI (FD-258) response overrides.
- 8.7.0-23 (FR971) The receipting system shall provide a Cases Granted—Awaiting Override report to report on N-400 cases that have been granted, but that are pending an FBI (FD-258) response override before they can proceed to oath ceremony.
- 8.7.0-24 (FR972) The system shall generate on demand an aging report on N-400 cases which have been administratively closed.
- 8.7.0-25 (FR973) The system shall generate a G-325A FBI Name Check Aging Report to inform the INS of those applicants/petitioners that have not received an FBI response.
- 8.7.0-26 (FR974) The system shall generate on demand an Address Errors Detail Report displaying, in those cases that have encountered address errors in the initial address edit: Last name; First name; Middle name; A-Number; Mailroom-received date; Error number; Error text.
- 2.9.7.1 Scheduling Exam (Interview) Reporting Function**
- 8.8.0-1 (FR976) The system shall provide a report of Available Appointment Slots for Examiners in support of the Scheduling Exam function.
- 8.8.0-2 (FR977) The system shall provide a report of Available Appointment Slots in support of the Scheduling Exam function.
- 8.8.0-3 (FR978) The system shall provide a Cancel/No Show Report in support of the Scheduling Exam function.
- 8.8.0-4 (FR979) The system shall provide a report of Cases With Interview Past Due in support of the Scheduling Exam function.
- 8.8.0-5 (FR980) The system shall provide a Daily Itinerary for INS Facilities in support of the Scheduling Exam function.

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- 8.8.0-6 (FR981) The system shall provide a Daily Schedule for Examiner in support of the Scheduling Exam function.
- 8.8.0-7 (FR982) The system shall provide a Demographic Report by Interview Date in support of the Scheduling Exam function.
- 8.8.0-8 (FR983) The system shall provide a Demographic Report by Mail Date in support of the Scheduling Exam function.
- 8.8.0-9 (FR984) The system shall provide a report of Examiner Appointment Slots Booked Statistics in support of the Scheduling Exam function.
- 8.8.0-10 (FR985) The system shall provide an Interview Schedule by Attorney in support of the Scheduling Exam function.
- 8.8.0-11 (FR986) The system shall provide an Interview Schedule by Examiner in support of the Scheduling Exam function.
- 8.8.0-12 (FR987) The system shall provide an Interview Schedule by Location and Examiner in support of the Scheduling Exam function.
- 8.8.0-13 (FR988) The system shall provide a report of Interview Sections Booked Statistics in support of the Scheduling Exam function.
- 8.8.0-14 (FR989) The system shall provide a List of Assigned Examiners in support of the Scheduling Exam function.
- 8.8.0-15 (FR990) The system shall provide a Pick List by Interview and Schedule Date (including FBI control number) in support of the Scheduling Exam function.
- 8.8.0-16 (FR991) The system shall provide a report of the Ready to Schedule Queue for Interview in support of the Scheduling Exam function.
- 8.8.0-17 (FR992) The system shall provide a report of Scheduler Status by Section in support of the Scheduling Exam function.
- 8.8.0-18 (FR993) The system shall provide a report of Scheduler Status by Form Type in support of the Scheduling Exam function.

2.9.7.2 Scheduling Oath Ceremony Function

- 8.9.0-1 (FR995) The system shall provide a report of Card Accountability by Oath Ceremony Location in support of the Scheduling Oath Ceremony function.
- 8.9.0-2 (FR996) The system shall provide a report of Cases With Ceremony Past Due in support of the Scheduling Oath Ceremony function.

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- 8.9.0-3 (FR997) The system shall provide a Completed Oath Ceremony Report in support of the Scheduling Oath Ceremony function.
- 8.9.0-4 (FR998) The system shall provide a Daily Schedule by Oath Ceremony Facility Room in support of the Scheduling Oath Ceremony function.
- 8.9.0-5 (FR999) The system shall provide a report of Oath Ceremony by Applicant in support of the Scheduling Oath Ceremony function.
- 8.9.0-6 (FR1000) The system shall provide a report of Oath Ceremony Cases With No Certificate Numbers in support of the Scheduling Oath Ceremony function.
- 8.9.0-7 (FR1001) The system shall provide an Oath Ceremony Data Validation Report in support of the Scheduling Oath Ceremony function.
- 8.9.0-8 (FR1002) The system shall provide an Oath Ceremony Demographic Report in support of the Scheduling Oath Ceremony function.
- 8.9.0-9 (FR1003) The system shall provide Court Lists for Oath Ceremonies (Forms N-646/N-647) in support of the Scheduling Oath Ceremony function.
- 8.9.0-10 (FR1004) The system shall provide an Oath Ceremony Schedule by Reporting Location in support of the Scheduling Oath Ceremony function.
- 8.9.0-11 (FR1005) The system shall provide a list of the Ready to Schedule Queue for Oath Ceremony by Interview and Receipt Date in support of the Scheduling Oath Ceremony function.
- 8.9.0-12 (FR1006) The system shall provide a list of the Ready to Schedule Queue for Oath Ceremonies in support of the Scheduling Oath Ceremony function.
- 8.9.0-13 (FR1007) The system shall provide a report of Available Oath Ceremony Slots in support of the Scheduling Oath Ceremony function.
- 8.9.0-14 (FR1008) The system shall provide a report of Oath Ceremony No Shows in support of the Scheduling Oath Ceremony function.
- 8.9.0-15 (FR1373) The system shall provide the Certificate Tracking Log report to identify status and usage of certificates processed.

2.9.7.3 Scheduling Fingerprints

- 8.10.0-1 (FR1010) The system shall provide a report for each ASC that has Unscheduled Fingerprint Appointment Requests showing the following: Received date (sort order: oldest first); Reason fingerprinted; Originating system; Originating system record identifier; A-Number or Social Security number (SSN); Name (last, first, and middle).

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8.10.0-2 (FR1011) The system shall generate a report listing applicants/petitioners whose FD-258 cards have not been received in the SC within 97 days of the first date scheduled to appear for re-fingerprinting

2.9.7.4 G22 Function

8.11.0-1 (FR1013) The system shall provide the G-22 Place Pipeline report in support of the G-22 function.

8.11.0-2 (FR1014) The system shall provide the G-22 Place report in support of the G-22 function.

2.10 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.

2.10.1 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.

9.1.0-1 (FR1017) 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.

9.1.0-2 (FR1018) 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.

2.10.1.1 Office Profile Function

9.2.0-1 (FR1020) The system shall provide the capability to configure and maintain information on INS Offices/Locations/Sites/Courts.

9.2.0-2 (FR1021) The system shall maintain an office profile for each office to accurately characterize the resources available in the office to perform specific functions.

9.2.0-3 (FR1022) The system shall provide the capability to add DOs to the system.

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- 9.2.0-4 (FR1023) The system shall provide the capability to add suboffices to the system.
- 9.2.0-5 (FR1024) The system shall provide the capability to add satellite offices to the system.
- 9.2.0-6 (FR1025) The system shall provide the capability to update DO profiles.
- 9.2.0-7 (FR1026) The system shall provide the capability to update suboffice profiles.
- 9.2.0-8 (FR1027) The system shall provide the capability to update satellite office profiles.
- 9.2.0-9 (FR1028) The system shall provide the capability to delete DOs from the system.
- 9.2.0-10 (FR1029) The system shall provide the capability to delete suboffices from the system.
- 9.2.0-11 (FR1030) The system shall provide the capability to delete satellite offices from the system.
- 9.2.0-12 (FR1031) The system shall provide the capability to view DO profiles.
- 9.2.0-13 (FR1032) The system shall provide the capability to view suboffice profiles.
- 9.2.0-14 (FR1033) The system shall provide the capability to view satellite office profiles.
- 9.2.0-15 (FR1034) The system shall maintain a location profile for each INS or court location containing information to associate the applicant's place of residence with INS locations and courts where an applicant may have an examination or oath ceremony.
- 9.2.0-16 (FR1035) The system shall determine the INS locations for an examination or oath ceremony for an applicant based upon the relationship between an applicant's ZIP code and the INS administrative location, unless overridden by a specific request.
- 9.2.0-17 (FR1036) The system shall maintain the ZIP code to service type relationship at the national level.
- 9.2.0-18 (FR1037) The system shall allow authorized users to add temporary sites locally for specific events.
- 9.2.0-19 (FR1038) The system shall prevent saving changes until all the ZIP codes have been reassigned if the user intends to delete a site or to remove ZIP codes from the system.
- 9.2.0-20 (FR1039) The system shall allow authorized users to add a location to the system.
- 9.2.0-21 (FR1040) The system shall allow authorized users to update location profiles.

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- 9.2.0-22 (FR1041) The system shall allow authorized users to delete a location from the system.
- 9.2.0-23 (FR1042) The system shall allow authorized users to view location profiles.
- 9.2.0-24 (FR1043) The system shall maintain a site profile for each site where interviews or Oath Ceremonies are performed.
- 9.2.0-25 (FR1044) The system shall allow authorized users to add sites to the system.
- 9.2.0-26 (FR1045) The system shall allow authorized users to update site profiles.
- 9.2.0-27 (FR1046) The system shall allow authorized users to delete sites from the system.
- 9.2.0-28 (FR1047) The system shall allow authorized users to view site profiles.
- 9.2.0-29 (FR1048) The system shall maintain court profiles, which shall define the contained essential information for each court within an office jurisdiction.
- 9.2.0-30 (FR1049) The system shall allow authorized users to add court profiles to the system.
- 9.2.0-31 (FR1050) The system shall allow authorized users to update court profiles.
- 9.2.0-32 (FR1051) The system shall allow authorized users to delete court profiles from the system.
- 9.2.0-33 (FR1052) The system shall allow authorized users to view court profiles.
- 9.2.0-34 (FR1053) The system shall provide the capability to create and maintain officer contact information (for example, title, telephone number and name).
- 9.2.0-35 (FR1054) The system shall store the required INS customer service telephone number on the printed notices in the database.
- 9.2.0-36 (FR1055) The system shall provide the ability to create and maintain ASC profiles for the following: address, associated INS Office, etc.
- 9.2.0-37 (FR1056) The system shall maintain ZIP code ranges handled by each ASC location.

2.10.1.2 User Profile Function

- 9.3-1 (FR1058) The system shall provide the capability to maintain information on CLAIMS 4 users.
- 9.3-2 (FR1059) The system shall provide the capability to maintain the access authorization profile for each category of user (participant type code).

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9.3-3 (FR1060) 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.

9.3-4 (FR1061) The system shall provide the capability to add a new CLAIMS 4 user to the system.

9.3-5 (FR1062) The system shall provide the capability to update user profiles.

9.3-6 (FR1063) The system shall provide the capability to delete a user.

9.3-7 (FR1064) The system shall provide the capability to view CLAIMS 4 user information.

9.3-8 (FR1065) The system shall provide the capability to request a report of all the users at a given site, sorted by user ID and name, with columns for the following: user ID, last name, first name, middle name, Sublocation code, report access group, start date, and end date.

9.3-9 (FR1066) The system shall provide the capability to maintain a Report Access Group profile for each site (Report Access Group code).

9.3-10 (FR1067) The system shall provide the capability to determine and define the reports a user is permitted to generate based on the Report Access Group profile that maps the user to a set of reports.

9.3-11 (FR1068) The system shall provide the capability to create Report Access Group codes and assign at least one report to each of them.

9.3-12 (FR1069) The system shall provide the capability to create and maintain participant type roles that, when associated with a user, allow that user to perform all activities associated with that role.

9.3-13 (FR1070) The system shall provide the capability to assign multiple roles to a user.

9.3-14 (FR1071) The system shall assign roles to a participant and allow display of all activities for the selected role.

9.3-15 (FR1072) The system shall provide the capability to enter multiple A-Number blocks during the same session.

9.3-16 (FR1073) 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.

9.3-17 (FR1074) The system shall provide a GUI to assist authorized users to perform each specific task.

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2.10.1.3 Fingerprint Scheduler Profile

9.4-1 (FR1076) 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.

2.10.1.4 Certificate Number Maintenance Function

9.5.0-1 (FR1078) The system shall provide the means to maintain the Certificate Number pool.

9.5.0-2 (FR1079) The system shall provide authorized users the capability to add Certificate pool information.

9.5.0-3 (FR1080) The system shall provide authorized users the capability to update Certificate pool information.

9.5.0-4 (FR1081) The system shall provide authorized users the capability to void Certificate pool information.

9.5.0-5 (FR1082) The system shall provide authorized users the capability to view the Certificate pool information.

9.5.0-6 (FR1083) The system shall set the date on which the last document status code is assigned.

2.10.1.5 Application ID and Payment ID Maintenance Function

9.6.0-1 (FR1085) The system shall provide authorized users the capability to view the last application ID.

9.6.0-2 (FR1086) The system shall provide authorized users the capability to add last application ID.

9.6.0-3 (FR1087) The system shall provide authorized users the capability to update the last application ID.

9.6.0-4 (FR1088) The system shall provide authorized users the capability to delete the last application ID.

9.6.0-5 (FR1089) The system shall provide authorized users the capability to view the last payment ID.

9.6.0-6 (FR1090) The system shall provide authorized users the capability to add the last payment ID.

9.6.0-7 (FR1091) The system shall provide authorized users the capability to update the last payment ID.

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9.6.0-8 (FR1092) The system shall provide authorized users the capability to delete the last payment ID.

2.10.1.6 Form Maintenance Function

9.7.0-1 (FR1094) The system shall allow authorized users the capability to view local profile information on INS forms.

9.7.0-2 (FR1095) The system shall allow authorized users the capability to add local profile information on INS forms.

9.7.0-3 (FR1096) The system shall allow authorized users the capability to update local profile information on INS forms.

9.7.0-4 (FR1097) The system shall allow authorized users the capability to delete local profile information on INS forms.

9.7.0-5 (FR1098) The system shall maintain information for each location to control the processing of each form type it supports.

9.7.0-6 (FR1099) The system shall allow the A-Number counts to be maintained in the local forms profile table for each form.

9.7.0-7 (FR1100) The system shall allow the temporary A-Number counts to be maintained in the local forms profile table for each form.

9.7.0-8 (FR1101) The system shall allow the Government agency FBI ID numbers to be maintained in the local forms profile table for each form.

9.7.0-9 (FR1102) The system shall allow the minimum processing days value to be maintained in the local forms profile table for each form.

9.7.0-10 (FR1103) The system shall allow the maximum processing days to be maintained in the local forms profile table for each form.

9.7.0-11 (FR1104) The system shall allow the values to be maintained in the local forms profile table for each form indicating whether to automatically queue to batch or to alert a clerk instead.

9.7.0-12 (FR1105) The system shall allow the number of readable labels to produce to be maintained in the local forms profile table for each form.

9.7.0-13 (FR1106) The system shall allow the numbers of bar-code labels to produce to be maintained in the local forms profile table for each form.

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9.7.0-14 (FR1107) The system shall allow the number of address labels to produce to be maintained in the local forms profile table for each form.

9.7.0-15 (FR1108) The system shall allow the check evidence in processing or bypass value to be maintained in the local forms profile table for each form.

9.7.0-16 (FR1109) The system shall allow the number of A-Number labels to produce to be maintained in the local forms profile table for each form.

9.7.0-17 (FR1110) The system shall allow the number of T-File labels to be produced to be maintained in the local forms profile table for each form.

2.10.1.7 Table Lookup Function

9.8.0-1 (FR1112) The system shall provide the capability to maintain all application look-up tables.

9.8.0-2 (FR1113) The system shall allow authorized users to view a look-up table.

9.8.0-3 (FR1114) The system shall allow authorized users to add records to a look-up table.

9.8.0-4 (FR1115) The system shall allow authorized users to update records in a look-up table.

9.8.0-5 (FR1116) The system shall allow authorized users to delete records from a look-up table.

9.8.0-6 (FR1117) The system shall allow authorized users to perform search in a look-up table.

9.8.0-7 (FR1118) The system shall allow authorized users to sort data in a look-up table.

9.8.0-8 (FR1119) The system shall provide the capability to view data in standard tables (read-only access).

9.8.0-9 (FR1120) The system shall provide the capability to perform searches in standard tables.

9.8.0-10 (FR1121) The system shall provide the capability to sort data in standard tables.

9.8.0-11 (FR1122) The system shall provide the capability to validate user Role or Report Group for authorization when providing access to look-up tables and descriptions.

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2.11 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 received 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 received 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.

2.11.1 External Interface Processing

10.1.0-1 (FR1125) The system shall provide the capability to access multiple systems for resolution of required data discrepancies in the SC.

10.1.0-2 (FR1126) The system shall provide the capability to accommodate multiple system access during adjudication in DO.

10.1.0-3 (FR1127) The system shall 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.

2.11.1.1 Interface with RNACS Mainframe

10.2.0-1 (FR1129) 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.

10.2.0-2 (FR1130) The system shall provide a means of updating RNACS with N-400 data sufficiently to identify duplicate application filings.

10.2.0-3 (FR1131) The system shall provide a means for identifying groups in RNACS.

10.2.0-4 (FR1132) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Initial data entry (following validation of A-Number)

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10.2.0-5 (FR1133) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Completion of background checks in initial processing

10.2.0-6 (FR1134) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Examination scheduling

10.2.0-7 (FR1135) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Approval for oath ceremony (following Re-verification of Grant).

10.2.0-8 (FR1136) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Oath ceremony scheduling

10.2.0-9 (FR1137) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Issuance of naturalization certificate

10.2.0-10 (FR1138) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Denial

10.2.0-11 (FR1139) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Administrative close-out of case

10.2.0-12 (FR1140) The system shall provide a means to update RNACS with case status at the following point in the processing cycle: Change of Address case status change.

10.2.0-13 (FR1141) The system shall provide a means of querying RNACS to determine whether a given A-Number is associated with a prior application.

10.2.0-14 (FR1142) The system shall provide a means to facilitate the transfer of applications from one office to another by using the RNACS mainframe interface.

2.11.1.2 Interface with CIS

10.3-1 (FR1144) The system shall automatically check CIS to determine whether the A-Number associated with each naturalization application exists in CIS.

10.3-2 (FR1145) The system shall validate the A-Number and DOB against the existing information in CIS.

10.3-3 (FR1146) The system shall provide the capability to access and update CIS online.

10.3-4 (FR1147) The system shall provide the CIS online lookup capability to facilitate efforts to supply missing A-Numbers and at Adjudication.

10.3-5 (FR1148) The system shall update CIS with the certificate numbers, dates of naturalization, and court codes (where provided) for applications that have been closed out.

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10.3-6 (FR1149) The system shall update CIS with any other subsequent status changes, such as denaturalization and/or expatriation.

10.3-7 (FR1150) The system shall provide a means of updating name changes in case history data in CIS.

2.11.1.2 INTERFACE WITH RAFACS/CIS

10.4-1 (FR1152) The system shall provide a means of updating RAFACS as application folders are created.

10.4-2 (FR1153) The system shall 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.

10.4-3 (FR1154) The system shall initiate a file transfer request if the A-File is not in the office where the application is entered.

10.4-4 (FR1155) The system shall generate a pick list and route it to the office's printer if the A-File is already in the office.

10.4-5 (FR1156) The system shall initiate the A-File location check through an interface to the Workflow function.

10.4-6 (FR1157) The system shall invoke the interface to request transfers of applications from the SC to local offices in preparation for interviews.

10.4-7 (FR1158) The system shall generate a pick list.

10.4-8 (FR1159) The system shall provide for a continued use of RAFACS to track the physical files locally.

10.4-9 (FR1160) The system shall track progress of critical file-handling processes through RAFACS interface with Workflow.

2.11.1.3 Interface with PAMS

10.5.0-1 (FR1162) The system shall provide the capability to access and update attorney information held in PAMS.

10.5.0-2 (FR1163) The system shall create a local attorney file using valid PAMS data for the local office, as well as the local attorney files.

10.5.0-3 (FR1164) The system shall support queries for attorney information during application receipting and adjudication, including Attorney State License numbers and lists of attorneys for a given office.

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2.11.1.4 Interface with FD-258 Fingerprint Card tracking system

10.6.0-1 (FR1166) The system shall extract information from the tracking system for the FD-258 and update CLAIMS 4 with status information.

10.6.0-2 (FR1167) The system shall support the electronic submission of FD-258 fingerprint and biographical data to the FBI via an interface with IDENT.

10.6.0-3 (FR1168) The system shall provide the ability to reschedule applicants/petitioners for fingerprint processing whose FD-258 cards are returned from the FBI as unclassifiable.

10.6.0-4 (FR1169) The system shall generate rescheduled fingerprint appointment requests containing a code (request type identifier) distinguishing it from the initial scheduling request.

10.6.0-5 (FR1170) The system shall enforce a limit of one on the automatic generation of rescheduling requests for applicants/petitioners whose FD-258s have been returned as unclassifiable.

10.6.0-6 (FR1171) 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.

2.11.1.5 Interface with FBI Name Check system

10.7.0-1 (FR1173) The system shall provide the capability to generate requests for G-325A FBI Name/DOB checks for each N-400 applicant.

10.7.0-2 (FR1174) The system shall transmit the request to the mainframe or other enterprise platform for shipment to the FBI.

10.7.0-3 (FR1175) The system shall capture the date and time when each G-325A Name/DOB check request was issued.

10.7.0-4 (FR1176) 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.

10.7.0-5 (FR1177) The system shall identify each G-325A Name/DOB check request using a unique 10-character customer identification number.

10.7.0-6 (FR1178) The system shall record the status of the G-325A Name/DOB check associated with the application, distinguishing the following cases: Awaiting submission of the name check; Awaiting responses from the FBI; Satisfied by the FBI.

10.7.0-7 (FR1179) The system shall provide an interface capable of reading the magnetic tape returned by the FBI in response to the G-325A Name/DOB check request.

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10.7.0-8 (FR1180) In the event of an FBI response to a G-325A name check request, the system shall 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.

10.7.0-9 (FR1181) In the event of an FBI response to a G-325A name check request, the system shall read the no-hit records downloaded by the mainframe or other enterprise platform, and record a no-hit response for the relevant applications.

10.7.0-10 (FR1182) In the event of an FBI response to a G-325A name check request, the system shall read the indices popular records downloaded by the mainframe or other enterprise platform, and record an indices popular response for the relevant applications.

10.7.0-11 (FR1183) The system shall process the file of G-325A error responses downloaded from the mainframe or other enterprise system.

10.7.0-12 (FR1184) The system shall alert the adjudicator when an applicant's name search has returned an indices popular response (a hit) indication, so that he or she can check the A-File for the proper disposition of the rap sheet.

10.7.0-13 (FR1185) The system shall provide the capability to transmit requests for G-325A FBI Name/DOB checks for N-400 applicants electronically (rather than by tape) to the FBI.

2.11.1.6 Interface with IVRS

10.8.0-1 (FR1187) The system shall provide basic application status information to the IVRS on a regular periodic basis to allow applicants to obtain application status telephonically.

10.8.0-2 (FR1188) The system shall provide all standard application status codes/information to the IVRS on real-time basis to allow applicants to obtain application status telephonically.

2.11.1.7 Interface with Financial System

(FR1190) The system shall generate a transaction file for the INS payment processing system with information on overpayments. Interface With Change of Address Module (Telephone Center)

10.11.0-1 (FR1199) The system shall accept a National Customer Service Center (NCSC) change of address (CoA) request file for processing.

10.11.0-2 (FR1200) The system shall generate a detail summary file for the INS HQ Exception Broker team.

10.11.0-3 (FR1201) The system shall only update cases for which it receives a verified flag.

10.11.0-4 (FR1202) The system shall update all records in which a combination of the A-Number, last name and first name match the record in the CoA request file. If there is no match

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on the A-Number/name combination, the system shall attempt to match and update the record using the A-Number combined with the DOB from the CoA request file.

10.11.0-5 (FR1203) The system shall update all verified CoA request file records for which it finds a matching record regardless of whether the case is a CLAIMS 4 or RNACS case.

10.11.0-6 (FR1204) The system shall update verified, matching CoA requests provided the CoA request does not result in a change of jurisdiction when the case is scheduled or in the queue for scheduling for fingerprint, interview, or oath. A jurisdiction change occurs when the new residential ZIP code matches a CCO that differs from the applicant's currently assigned CCO.

10.11.0-7 (FR1205) The system shall update verified, matching CoA requests provided the applicant is not a member of a Super group or CBO group.

10.11.0-8 (FR1206) The system shall update verified, matching CoA requests when a case is in a closed state, but will set an exception code in the detail summary file to reflect the case status (Administratively Closed, Deny Closed, or Grant Closed).

10.11.0-9 (FR1207) The system shall check an updated record for the presence of a G-28. If a G-28 is present, the system shall copy the corresponding attorney address into the detail summary file.

10.11.0-10 (FR1208) The system shall apply the appropriate exception code to records in the detail summary file to indicate data and update exceptions and/or errors.

10.11.0-11 (FR1210) The system shall post a date/time stamp in each record indicating that a CoA has been posted.

10.11.0-12 (FR1211) The system shall generate a transaction summary file for NCSC containing the record count received from NCSC and record count updated as a result of the CoA request file.

10.11.0-13 (FR1212) The system shall maintain a history record indicating when a CoA was applied to a case.

2.11.1.8 Interface with PAS

10.12.0-1 (FR1214) The system shall provide a means to update PAS with data tracked on the G-22.3 Report of Field Operations for the N-400 application.

10.12.0-2 (FR1215) The system shall provide a means to update PAS with data for the remaining INS Adjudications and Naturalization applications tracked on the G-22.2 and G-22.3 Report of Field Operations.

10.12.0-3 (FR1216) The system shall provide the capability to generate a monthly interface file to PAS.

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10.12.0-4 (FR1217) The system shall send a header record that will contain the date of the file (YYYYMMDD) and a 9 digit numeric field of the total number of records excluding the header record.

10.12.0-5 (FR1218) The system shall send zero-filled data fields for an office that has no data for a particular month.

2.11.1.9 Interface With Complete File Review module

10.13-1 (FR1220) The system shall communicate to the Complete File Review Intranet application which cases are ready for review according to the following criteria: An FBI response has been received; The applicant's A-File has been received (or due diligence has been exercised in searching for it); The G-325 name check response has been received.

10.13-2 (FR1221) The system shall communicate which cases are ready for review to Complete File Review application prior to the scheduling of these cases for initial interview.

10.13-3 (FR1222) The system shall provide read-only access to the following information in CLAIMS 4 about cases that are ready for Complete File Review: Office (in which the applicant will be interviewed) 3 bytes, character; SC 3 bytes, character; A-Number 10 bytes, character; Application ID 13 bytes, character; A-File or qualifying T-File 1 byte, character; Male or female 1 byte, character; Is there an N-648 1 byte, character; FBI response 1 byte, character; FBI response date 8 bytes, date format MM/DD/YY; Eligibility 1 byte, character; DOB 8 bytes, date format MM/DD/YY; Legal permanent resident date 8 bytes, date format MM/DD/YY; File receipt date (mailroom stamp) 8 bytes, date format MM/DD/YY; Is copy of green card (or Form I-90 present) 1 byte, character; Part 7, Question 15B marked "yes" 1 byte, character; Two photographs 1 byte, character; G-28 filed with the application 1 byte, character; Attorney name 66 bytes, character; Attorney address 1 34 bytes, character; Attorney address 2 78 bytes, character; Attorney city 28 bytes, character; Attorney state 2 bytes, character; Attorney postal code 9 bytes, character; Name (of applicant) 69 bytes, character; Address 1 44 bytes, character; Address 2 34 bytes, character; City 28 bytes, character; State 2 bytes, character; Postal code 9 bytes, character; Attorney postal code 9 bytes, character; Name (of applicant) 69 bytes, character; Address 1 44 bytes, character; Address 2 34 bytes, character; City 28 bytes, character; State 2 bytes, character; Postal code 9 bytes, character.

10.13-4 (FR1224) The system shall prevent cases from being scheduled for initial interview once they are ready for Complete File Review, until the review has been successfully completed.

2.12 Workflow Management Process Description

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

2.12.1 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.

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2.12.1.1 Control and Process Function

11.1.0-1 (FR1227) The system shall control and direct the processing of applications through the update of activity states that subsequently initiate or allow other activities.

11.1.0-2 (FR1228) The system shall validate whether the user has the proper role and/or authority to perform the activity requested.

11.1.0-3 (FR1229) The system shall ensure that users can only perform activities on cases assigned to them or to their role.

11.1.0-4 (FR1230) The system shall ensure that activities are processed in the correct chronological and business requirement order.

11.1.0-5 (FR1231) The system shall have the capability to control case processing based on a user-initiated activity or event.

11.1.0-6 (FR1232) The system shall have the capability to control case processing based on a system-initiated or a time-controlled activity or event.

11.1.0-7 (FR1233) The system shall provide a list of all recent cases submitted to the Workflow Management System at a given site, showing the following: Process name; Process identifier; Status; Start time; End time for each case.

11.1.0-8 (FR1234) The system shall provide a list of all activities performed on a case (selected using a list or text box) displaying the following: Activity name; Status; Expected start time; Expected expiration time; User ID of the person completing the activity.

11.1.0-9 (FR1235) The system shall provide a historical list of activities performed on a selected case, displaying the following for each activity: Activity identifier; Activity name; Start time; User ID of the person who completed the activity.

11.1.0-10 (FR1236) The system shall provide the end conditions that resulted from processing a selected activity.

11.1.0-11 (FR1237) The system shall produce a graphical representation of the status of case processing (a Workflow activity monitor) that shows the state of all activities performed on the case.

11.1.0-12 (FR1238) The system shall update the activity and case status of the Workflow activity monitor information upon user request.

11.1.0-13 (FR1239) The Workflow management system shall clean up scheduler tables after a scheduled event has expired. A scheduled event is defined as an applicant appointment created by the automated CLAIMS 4 scheduler.

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11.1.0-14 (FR1240) The system shall provide the capability to zoom in on an N-400 Data Entry to Scheduling tab within the Workflow activity monitor that provides a detailed view of a Workflow process flowchart graphic with vertical and horizontal scroll bars.

11.1.0-15 (FR1241) The system shall provide a Workflow management tool to view and modify the Workflow status of a case.

11.1.0-16 (FR1242) The system shall provide the capability to complete an expired activity and push the process to the next logical step.

11.1.0-17 (FR1243) The system shall provide the capability to evaluate the need for the insertion of expired activities.

11.1.0-18 (FR1244) The system shall provide the capability to track ad hoc or unexpected activities that are not process driven.

11.1.0-19 (FR1245) The system shall provide the capability to establish expected start time and expiration time for time-sensitive activities.

11.1.0-20 (FR1246) The system shall provide the capability to perform parallel activities on a case when necessary.

11.1.0-21 (FR1247) The system shall provide the capability to suspend case processing based on business rules.

11.1.0-22 (FR1248) The system shall provide the capability to perform exclusive processing on a case for specified activities.

2.12.1.2 Metrics and Statistics Function

11.2.0-1 (FR1250) The system shall provide accurate time stamps and audit trail (case history) of all activities performed for a single case.

11.2.0-2 (FR1251) The system shall indicate where an application is located in the process at any given time.

11.2.0-3 (FR1252) The system shall maintain composite statistics of the time spent performing activities.

11.2.0-4 (FR1253) The system shall maintain composite statistics of the time spent between activities waiting for a task to be performed.

11.2.0-5 (FR1254) The system shall maintain production statistics that satisfy the requirements of G-22 accounting.

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2.13 Case Status Process Description

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

2.13.1 Case Status Processing

12.1.0-1 (FR1257) The system shall provide a GUI for the Case Status sub-system.

12.1.0-2 (FR1258) The system shall provide the capability to enter search criteria to locate one or more applications.

12.1.0-3 (FR1259) The system shall display in list format those applications that satisfy specified search criteria.

12.1.0-4 (FR1260) The system shall, if only one application satisfies the search criteria, automatically display the following: Workflow history; Status; RAFACS A-File location.

12.1.0-5 (FR1261) The system shall provide the capability, when more than one application satisfies the search criteria, of selecting an application from a displayed list and viewing the following: ;Workflow history; Status; RAFACS A-File location; Any scheduled event.

12.1.0-6 (FR1262) The system shall display the following for each selected case: Name; Application ID; A-Number; Form number; Last name; First name; DOB; COB; Mailing address; Case location; Mailroom date received; CIS match information; Payment ID; Payment status; Fee; Workflow status; Workflow history.

12.1.0-7 (FR1263) If no applications satisfy the query, the system shall display an appropriate message.

12.1.0-8 (FR1264) 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; SSN; DOB; COB; 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; DOB range; Payment ID; Certificate number.

12.1.0-9 (FR1265) The system shall provide the capability to invoke case status display from other modules or components of the system, including: Adjudication; Batch Status Update; Scheduler.

12.1.0-10 (FR1266) The system shall provide the capability to view the following subforms: Scheduling; Fingerprint; Attorney; Payment details.

12.1.0-11 (FR1267) The system shall display a Scheduling screen within the Case Status sub-system that shows the following, for interviews and oath ceremonies: Interview location address; Interview room and section number; Interview date and time; Ceremony location address;

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Ceremony room and gate number; Ceremony date; Ceremony gate time and start time; Ceremony type; Certificate history.

12.1.0-12 (FR1268) The system shall display a Fingerprint screen within the Case Status sub-system that shows the following: Last name; First name; Middle name; Aliases (up to three); Contributor identification number; A-Number; SSN; FBI number; Local originating agency identification (ORI); Regional ORI; Eye color; Hair color; Height; Weight; Sex; Place of birth; DOB; Race.

12.1.0-13 (FR1269) The system shall display an Attorney screen within the Case Status sub-system that shows the following: 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.

12.1.0-14 (FR1270) The system shall display a Payment screen within the Case Status sub-system that shows the following: Workflow status; Workflow history; Applicants with the same payment ID; Remittances.

12.1.0-15 (FR1271) The system shall provide the capability to print out the case status as well as various labels.

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3. OPERATIONAL REQUIREMENTS

3.1 Security

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 sub-functions and by providing audit trails for all system actions.

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.

All system users are required to have a password with the following standards:

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3.1.1 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.

3.2 Audit Trail

3.2.1 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

3.3 Data Currency

Reliability 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.

3.4 Reliability

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

3.5 Recoverability

Standard operating procedures to troubleshoot and maintain system operation were followed.

3.6 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.

3.7 Fault Tolerance

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

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- **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.

3.7.1 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.

3.8 Performance

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

3.9 Capacity

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.

3.10 Data Retention

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.

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4. REQUIREMENTS TRACEABILITY MATRIX

The CLAIMS 4 RTM is located in the Enterprise Library under NCY01.10019-00.F*0-CSC. A release-specific RTM has been created for CLAIMS 4 Release 5.13 and can be located in the Enterprise Library under NCY00.10019-02.F*0-CSC.

APPENDIX A—GLOSSARY

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
COB	Country of Birth
CR	CLAIMS Resolution
DAO	District Adjudication Officer
DLL	dynamic link library
DO	District Office
DOB	Date of Birth
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
FP	Fingerprint
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
NCSC	National Customer Service Center
N-400	Application for Naturalization
N-426	Request for Certification of Military or Naval Service

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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
PAMS	Private Attorney Maintenance System
PAS	Performance Analysis System
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

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