REPORTING

The Reporting module is used to generate and print reports related to CLAIMS 4.0. A report query can be initiated to generate reports based on selected criteria. Reports can be requested according to functional areas available to the current user. Each area contains several types of reports, each with unique query criteria selection fields. To enter the Reporting module, click the Reporting button (Exhibit 9–1, Reporting Button) in the CLAIMS 4.0 Main Menu screen.

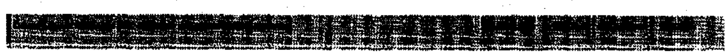
Exhibit 9–1: Reporting Button

Initiating a Report Query

Before a report can be generated in CLAIMS 4.0, you need to initiate a report query in the CLAIMS Reports screen (Exhibit 9–2, CLAIMS Reports). The report query allows you to define the criteria used to generate the report. To initiate a report query, perform the following steps:

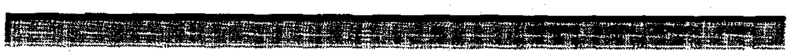
1. Click the (Main Menu) toolbar button to access the CLAIMS Reports main screen (Exhibit 9–2).

Exhibit 9–2: CLAIMS Reports



2. Click on the appropriate folder in the Functional Area section.
3. Double click on the desired report from the list of available report types in the Reports section. The CLAIMS Tracking Report Query Builder screen (Exhibit 9–3, CLAIMS Tracking Report Query Builder) for that report type appears.

Exhibit 9–3: CLAIMS Tracking Report Query Builder

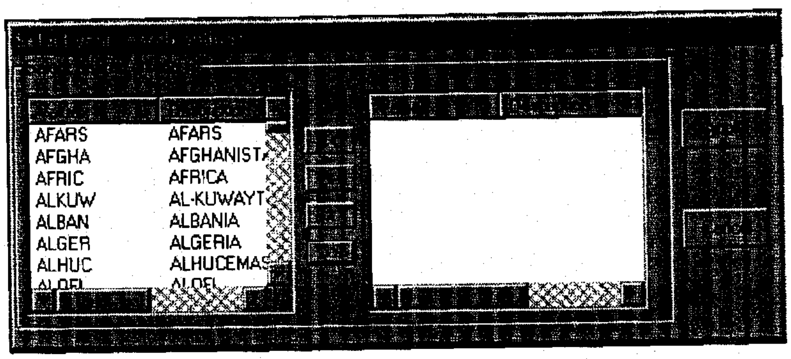


4. In the INS Location section, click to select a description, location code, or service center location.
5. Click in the appropriate field to select criteria to define the report query.

To create new search criteria, perform the following steps:

1. Click . The Select Your Search Options screen (Exhibit 9–4, Select Your Search Options) appears.

Exhibit 9–4: Select Your Search Options



2. In the Select Your Search Options window, click on the desired selection.
3. Click to add the selection. Click to add all the items in the selection list.
4. Click .

To select the sort order, perform the following steps:

1. To select the order of the sort, use the scroll bars on the Available Sorts list boxes.
2. To add a sort criterion, click on the desired selection.
3. Click to add the selection. Click to add all the items in the selection list.

To save a report query script, perform the following steps:

1. Select Save Query from the File menu.
2. Enter a name to identify the report query.
3. Click . When the confirmation box appears, click .

(Follow the procedures in Section 9.2, Report Functions, to generate reports based on the query criteria you have defined.)

Report Functions

After initiating a report query, report functions (Exhibit 9–5, Report Function Options) can be accessed through the Report Query Builder window.

Exhibit 9–5: Report Function Options

Title	Icon	Description
Count		Used to display the current number of records matching the selected query criteria
View		Used to preview a report matching the selected query criteria

Printer		Used to print a report matching the selected query criteria
Batch		Used to create daily, weekly, or monthly batch reports based on the selected query criteria
Save		Used to save the current selection criteria query (where available)
Delete		Used to delete a query script (where available)
Return		Used to exit the Reporting Query screen

To use the Report functions, perform the following steps:

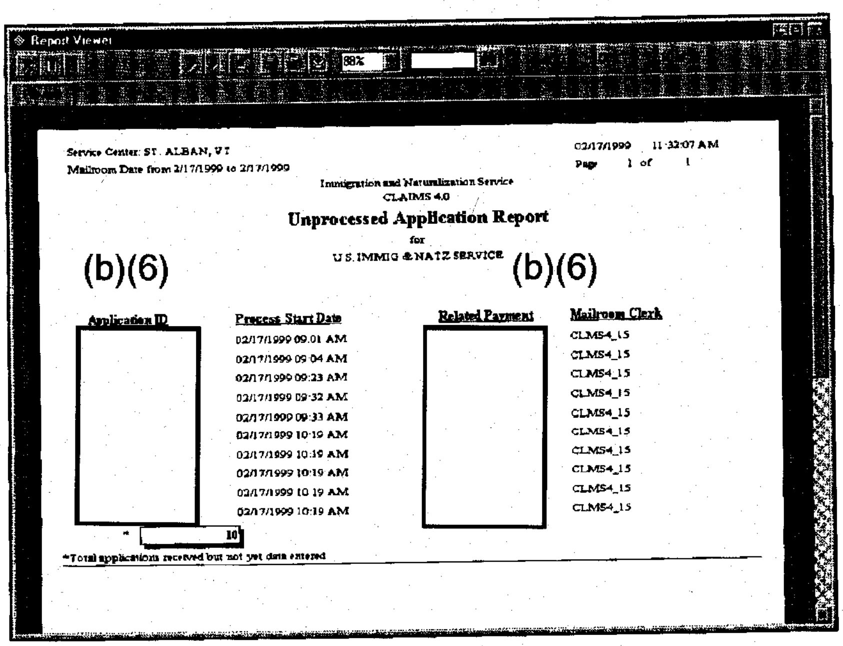
1. Initiate a report query using the procedure described in Section 9.2.1, Using the Report Viewer Screen.
2. Click on the toolbar button that corresponds with the function you want to perform.

Using the Report Viewer Screen

Perform the following steps to use the Report Viewer screen:

1. Click to access the Report Viewer screen (Exhibit 9–6, Report Viewer). The toolbar buttons located along the top of the Report Viewer screen can be used to perform the following actions:
    - Print —Prints the displayed report
    - Printer Setup —Creates printer defaults
    - Export —Exports the displayed report to a disk file or e-mail
    - Find —Searches for specific text within the displayed report

Exhibit 9–6: Report Viewer



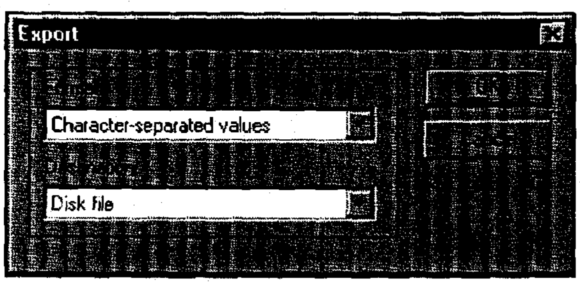
2. If the report is a multiple page report, click the following buttons:

   - to view the first page
   - to view the previous page
   - to view the next page
   - to view the last page
   - or in the scroll bar to scroll through the report

3. To adjust the size of the report on the screen, click in the toolbar and select a size.
4. To search for specific text in the displayed report, enter the text in the field to the left of the (Find) toolbar button. Then click . The first occurrence in the report of the selected text is displayed. (Each click of the button causes the screen to advance to the next occurrence of the selected text.)
5. To export a report, perform the following steps:

   a. Click the (Export) toolbar button. The Export window appears (Exhibit 9–7, Export).

Exhibit 9–7: Export



   b. Click to select an export format.

   c. Click to select a destination. (To save the report as a file and import it into another program, select the Disk File destination.)

   d. Click .

   e. If necessary, enter the characters that will be used to separate the records and/or specify whether or not the date and number field formatting should remain the same.

   f. Select a folder in which to save the file and give the file a descriptive name.

   g. Click . A status message showing the export progress appears. When export is completed, the Report Screen Viewer appears.

6. To exit the Report Viewer, click the control button in the upper left corner of the screen.

7. To exit the Reporting Query screen, click the (Return) toolbar button.
8. To exit the Reporting module, select Exit from the File menu, or click the control button in the upper right corner of the screen.

Using the Batch Option

The Batch option allows you to create daily, weekly, or monthly batch reports based on selected query criteria. Rather than printing reports manually each day, you can have scheduled reports printed in your local ADP rooms during off hours. To use the Batch option, perform the following steps:

1. From the CLAIMS Tracking Report Query Builder screen (Exhibit 9–3), click the (Batch) toolbar button. The Reporting screen (Exhibit 9–8, Reporting) is displayed.

Exhibit 9–8: Reporting

2. Click on a radio button to indicate how often the batch should be run.
3. Click .

DOCUMENT PRODUCTION

The Document Production module is used to print, transfer, void, destroy, and view naturalization certificates. It is also used to view certificate history. To enter the Document Production module, click the Document Production button (Exhibit 10–1, Document Production Button) in the CLAIMS 4.0 Main Menu screen.

Exhibit 10–1: Document Production Button

Exhibit 10–2, Document Production Module Options, list the options available in the Document Production module.

Exhibit 10–2: Document Production Module Options

Title	Icon	Description
Request/Print Batch Certificates		Used to batch print certificate requests, activate the certificate print server, print single certificates, and reprint certificates
QA Check		Used to view certificates to verify that they were printed accurately
Void/Destroy Certificate		Used to void certificates that did not print correctly
View Certificate History		Used to view the history of a certificate number
Void/Destroy Reports		Used to view a list of voided or destroyed certificates by applicant's name only
Transfer Documents		Used to transfer documents from one site to another

Request/Print Batch Certificates

The following options are available in Request/Print Batch Certificates:

- Batch Print Requests
- Certificate Print Server
- Single Print Certificates

- Reprint Certificates

Batch Print Requests

Batch Print Requests is the first step in the certificate batch printing process. This option is used to select an OC location to place in the print queue. Options for sorting, selecting printing instructions, and selecting certificate size are also available.

Note: Before queuing, be sure that the range of certificate numbers has been assigned to your location. Certificate number pools are assigned by the supervisor or ADP staff using the System Maintenance module.

To send a requested batch of certificates to the certificate print server, perform the following steps:

1. Click the  (Request/Print Batch Certificates) toolbar button to access the Certificate Printing and Setup window (Exhibit 10–3, Certificate Printing and Setup).

Exhibit 10–3: Certificate Printing and Setup

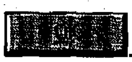
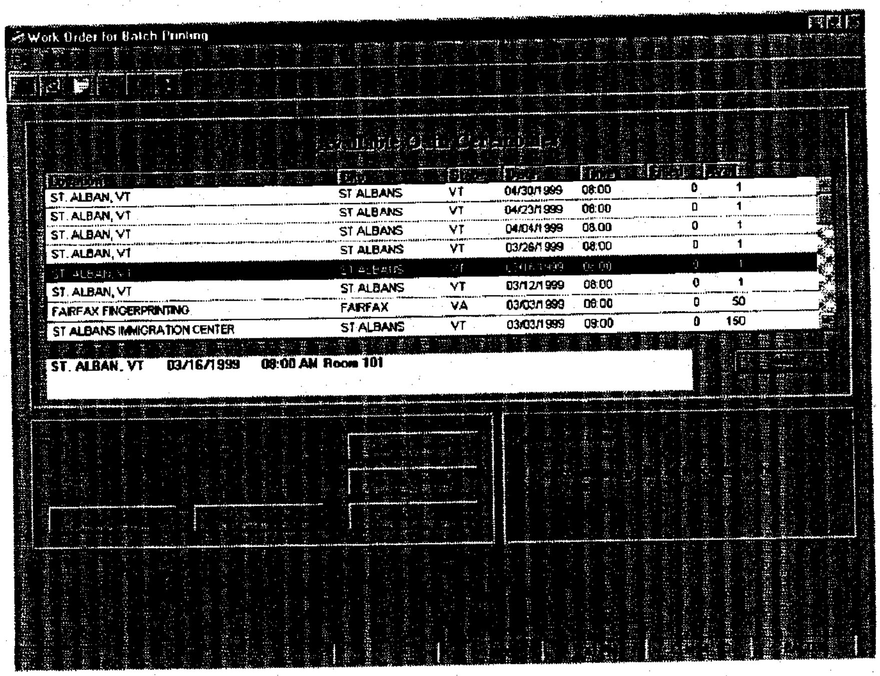
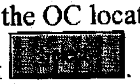
2. Click .
3. Click . The Work Order for Batch Printing screen (Exhibit 10–4, Work Order for Batch Printing) appears.

Exhibit 10–4: Work Order for Batch Printing



4. To select the OC location, double click on the desired location in the list, or click once, and then click .

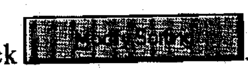
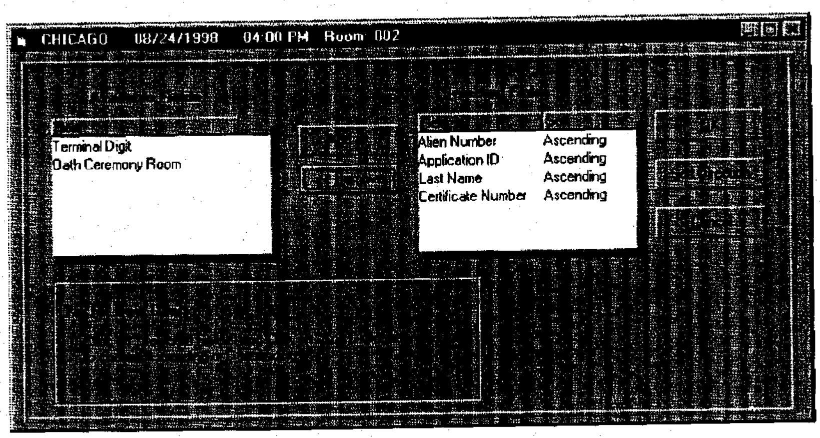
5. To select the order in which the certificates are printed, click . The Modify Sorting window (Exhibit 10–5, Modify Sorting) appears.

Exhibit 10–5: Modify Sorting



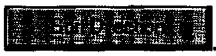
a. By default, all fields are displayed in the Available Fields section. To add a sort field, perform the following steps:

- Click in the desired sort field displayed in the Available Fields section.
- Click . Choose as many sort fields as necessary. The selected field is added to the Selected Fields section.

b. To remove a Sort field, perform the following steps:

- Click in the desired sort field in the Selected Fields section.
- Click . The selected field is removed from this section and returned to the Available Fields section.

c. To change the direction of the sort from ascending to descending, perform the following steps:

- Click in the desired field displayed in the Selected Fields section.
- Click .

d. Click  when complete.

6. To modify the printing instructions, perform the following steps:

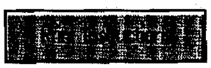
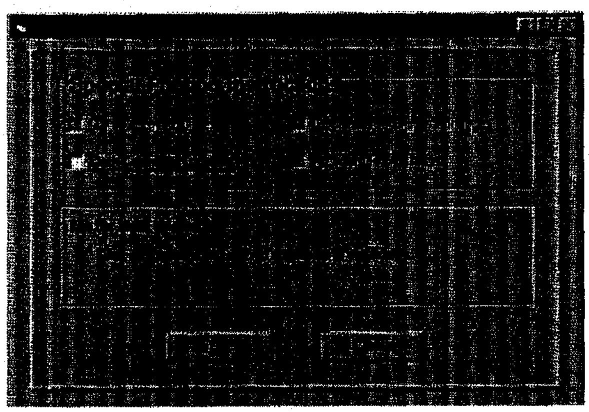
a. Click  to access the special Printing Instructions window (Exhibit 10–6, Special Printing Instructions).

Exhibit 10–6: Special Printing Instructions



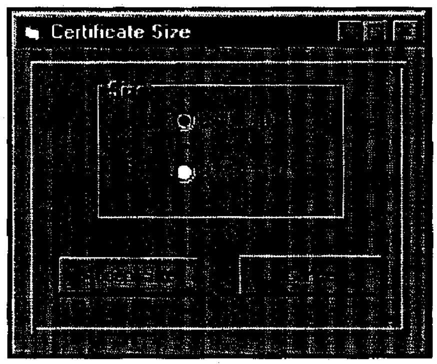
b. Click in a box in the Special Printing Instructions section to select the information that is to be included on the certificate.

c. Click .

7. To select the certificate size, perform the following steps:

a. Click . The Certificate Size window (Exhibit 10–7, Certificate Size) appears.

Exhibit 10–7: Certificate Size



b. Click the appropriate radio button. The size 8" x 10" is selected by default.

c. Click once a selection is made.

8. To save the print request, click . When the Document Production confirmation window appears, click .

9. To update certificates with data changes or account for voided certificates, click .

10. To return to the Document Production screen, select the Close option from the File menu or click the control button.

Certificate Print Server

The printer is activated using the Certificate Print Server option. This option is also used to indicate the number of certificates and batches to print and the actual certificate numbers included in a batch. Certificate numbers are automatically assigned to the application IDs in the batch. To activate the print server, perform the following steps:

1. Click the (Request/Print Batch Certificates) toolbar button to access the Certificate Printing and Setup window (Exhibit 10–3).

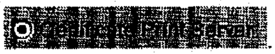
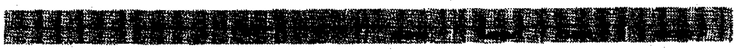
2. Click .
3. Click . A list of requested OCs appears in the NATS Print Server screen (Exhibit 10-8, NATS Print Server).

Exhibit 10–8: NATS Print Server

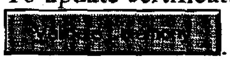


4. To select the OC for which certificates are to be printed, double click on the desired OC, or click once, and then click . The selection appears below the list.

5. To select the order in which the certificates are printed, click . The Modify Sorting window (Exhibit 10–5) appears. (Refer to Section 10.1.1, Batch Print Requests, Step 5, for further instructions.)

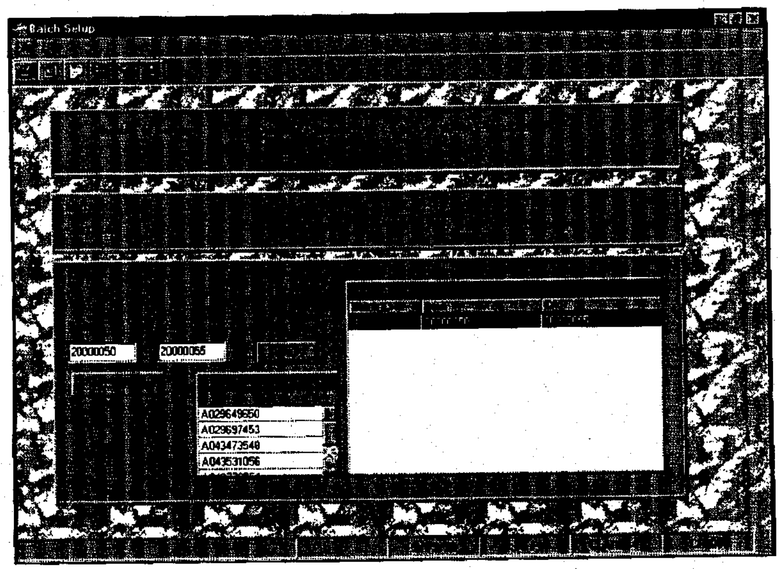
6. To modify the printing instructions, click . The Special Printing Instructions window appears (Exhibit 10–6). (Refer to Section 10.1.1, Batch Print Request, Step 6, for further instructions.)

7. To print a partial batch, enter the number of certificates to be printed in the Number of Certificates to Print field.

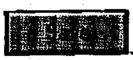
8. To update certificates with data changes and account for voided certificates, click .

9. To set up the batch printing configurations, click . The Batch Setup window (Exhibit 10–9, Batch Setup) appears.

Exhibit 10–9: Batch Setup



a. Enter the certificate number range beginning with the first certificate number in the Start field and ending with the last in the End field. Both fields are eight-digit fields.

b. Click . If the certificate range does not match the original request from the previous screen, an error message appears. If the range matches, the current batch appears in the Current Batches section.

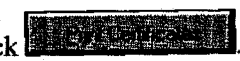
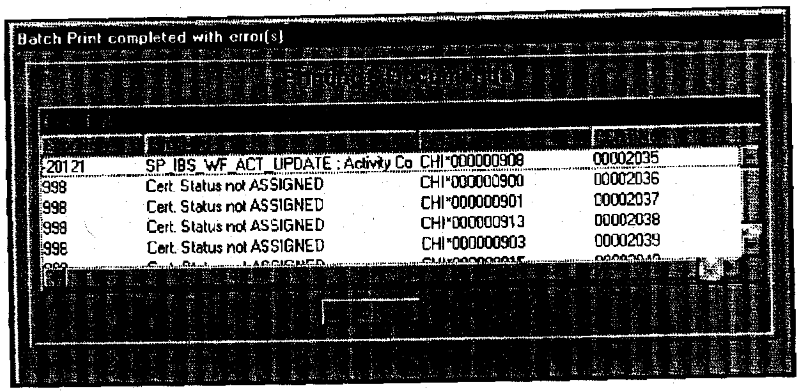
c. To print the certificates, click . The Batch Print window (Exhibit 10–10, Batch Print) appears while the certificates are printing. When the print job is complete, print errors are listed by description, application ID, and certificate number.

Exhibit 10–10: Batch Print


Batch Print completed with error(s)
20121 SP_IBS_WF_ACT_UPDATE : Activity Co CHI*000000908 00002035
998 Cert. Status not ASSIGNED CHI*000000900 00002036
998 Cert. Status not ASSIGNED CHI*000000901 00002037
998 Cert. Status not ASSIGNED CHI*000000913 00002038
998 Cert. Status not ASSIGNED CHI*000000903 00002039

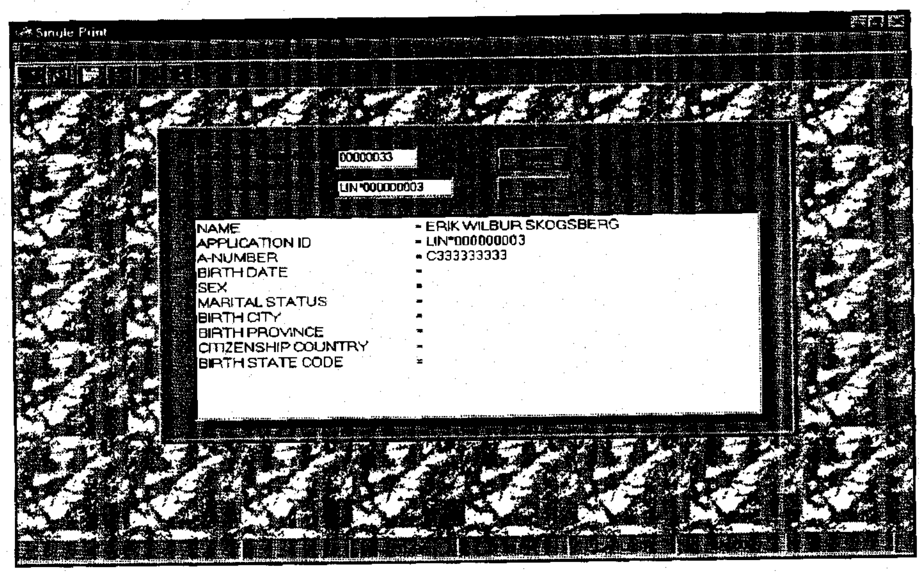
d. Click to close the Batch Print window.

Print Single Certificates

The Print Single Certificates option allows you to print a single certificate. The certificate number is entered and assigned to an application ID. To print single certificates, a batch print request must be queued first. To print a single naturalization certificate, perform the following steps:

1. Click the (Request/Print Batch Certificates) toolbar button to access the Certificate Printing and Setup window (Exhibit 10–3).
2. Click , and click . The Single Print window (Exhibit 10–11, Single Print) appears.

Exhibit 10–11: Single Print



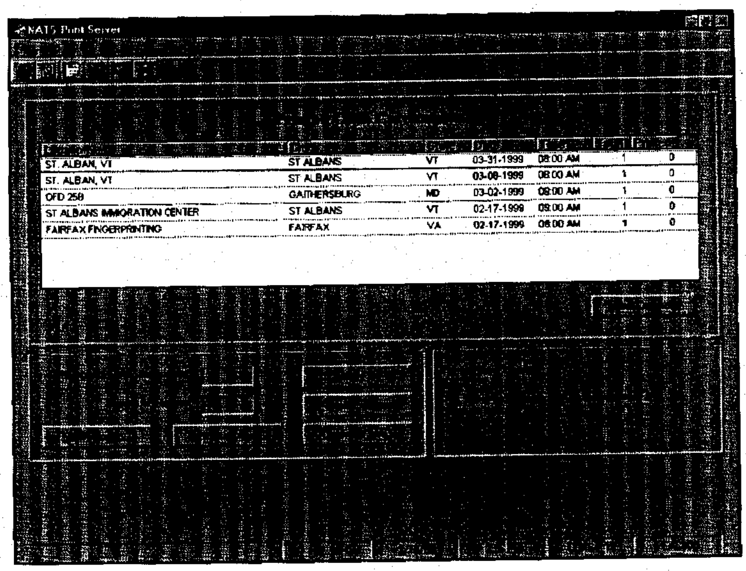
3. Enter the ID of the applicant whose certificate is to be printed.
4. Click . The applicant's certificate information appears in the box below the Applicant ID field.
5. Enter the certificate number if the information is correct and a certificate is to be printed.
6. To print the certificate, click . When the Batch Print window appears, click .

Reprint Certificates

The Reprint Certificates option is used to reprint valid certificates that were printed on the wrong paper. This option also allows you to perform a test print before printing the actual certificate. To reprint certificates, perform the following steps:

1. Click the (Request/Print Batch Certificates) toolbar button to access the Certificate Printing and Setup window (Exhibit 10–3).
2. Click .
3. Click . A list of printed OCs appears in the NATS Print Server screen (Exhibit 10–12, NATS Print Server).

Exhibit 10–12: NATS Print Server

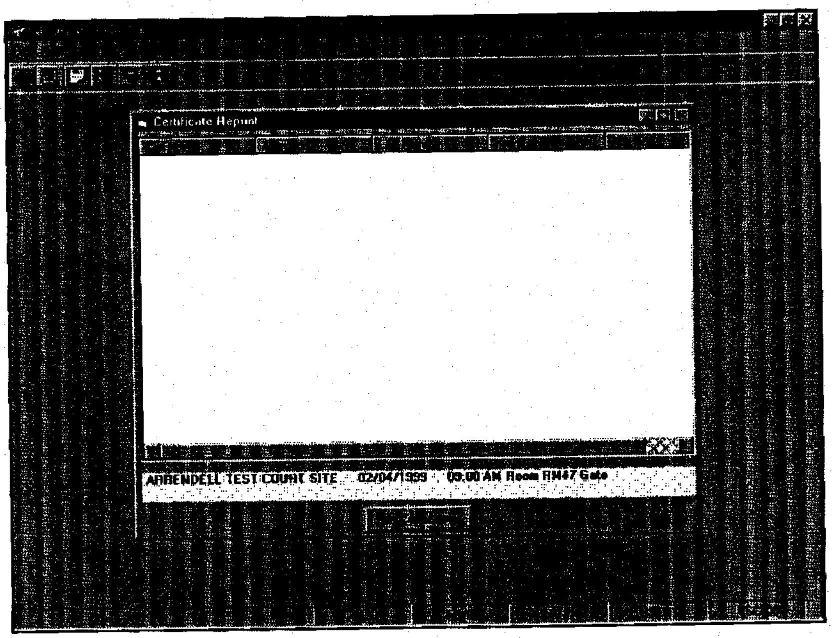


4. To select a ceremony, double click on the desired ceremony, or click once, and then click . The selection appears below the list.
5. If the number in the Printed column is greater than the number in the Total column, click to validate the ceremony data.
6. To select the order in which the certificates are printed, click . The Modify Sorting window (Exhibit 10–5) appears. (Refer to Section 10.1.1, Batch Print Requests, Step 5, for further instructions.)

7. To modify the printing instructions, click . The Special Printing Instructions window (Exhibit 10–6) appears. (Refer to Section 10.1.1, Batch Print Request, Step 6, for further instructions.)

8. To set up the batch printing configurations, click . The Certificate Reprint window (Exhibit 10–13, Certificate Reprint) appears.

Exhibit 10–13: Certificate Reprint



9. To print the certificates, click . The Batch Print window (Exhibit 10–10) appears while the certificates are printing. When the print job is complete, print errors are listed by description, application ID, and certificate number.

10. Click to close the Batch Print window.

QA Check

The Quality Assurance (QA) Check option is used to verify that the batch of certificates printed out correctly. The certificates printed should have the correct certificate numbers attached to the correct names and application IDs if the batch printed correctly. To verify the quality of the document, perform the following steps:

1. Click the  (QA Check) toolbar button to access the Quality Assurance window (Exhibit 10–14, Quality Assurance).

Exhibit 10–14: Quality Assurance

[redacted]

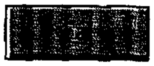
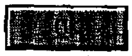
2. Click in the ⊞ box next to a location to display a list of certificate numbers for that location.
3. To view a certificate, double click on the certificate or certificate range to be checked, or click once, and then click [redacted]. A Document Validation (Exhibit 10–15, Document Validation) appears.

Exhibit 10–15: Document Validation

[redacted]

a. Click on a number in the Document List section. The certificate data appear in the section to the left.

b. Click the applicable button. The status appears in the QA status column in the Document List section.

- Click  to indicate Quality Assurance Pass status.
- Click  to indicate Quality Assurance Fail status.
- Click  to indicate that the certificate has been voided but not physically destroyed. When the confirmation windows appear, click  to verify the request, and click  to confirm.
- Click  to indicate that the certificate has been physically destroyed. When the confirmation windows appear, click  to verify the request, and click  to confirm.
- Click  to return to the Document Production screen.

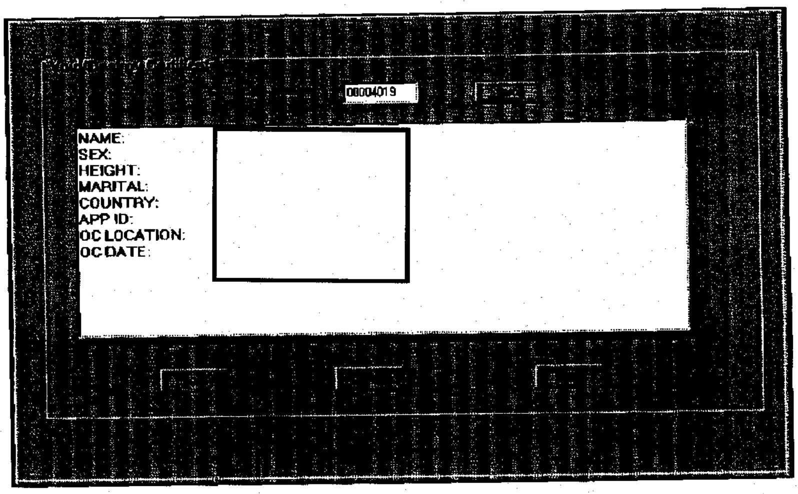
Void/Destroy Certificates

This option is used to void and destroy a certificate. Certificates are voided if an error occurred in the print job, and the certificate printed out incorrectly. After the certificate is voided, it is destroyed. To void/destroy a certificate, perform the following steps:

1. Click the  (Void/Destroy Certificate) toolbar button to access the Void/Destroy Certificate screen (Exhibit 10–16, Void/Destroy Certificate).

Exhibit 10–16: Void/Destroy Certificate

(6)



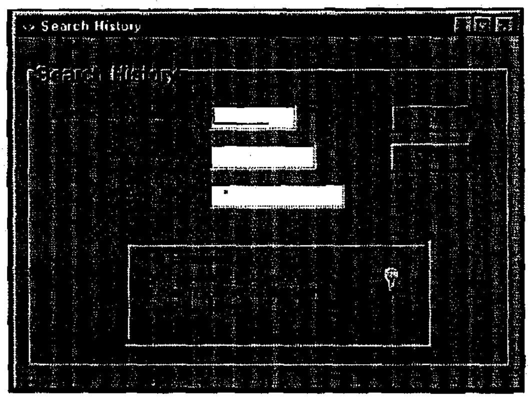
2. In the Certificate Number field, type the certificate number.
3. Click . The certificate data appear in the box below the Certificate Number field.
4. If the certificate is to be voided, click . When the confirmation windows appear, click to verify the request, and click to confirm.
5. If the certificate is to be destroyed, click . The certificate data appear in the box below the Certificate Number field. When the confirmation windows appear, click to verify the request, and click to confirm.
6. Select Close from the File menu to return to the Document Production screen.

View Certificate History

This option is used to view the history of a certificate number. To view the history of a certificate number, perform the following steps:

1. Click the (View Certificate History) toolbar button to display the Search History Menu screen (Exhibit 10–17, Search History Menu).

Exhibit 10–17: Search History Menu



2. Enter a valid applicant ID, A-Number, or certificate number.
3. Click to access the Certificate History screen (Exhibit 10–16, Certificate History).

Exhibit 10–18: Certificate History

4. Select Close from the File menu to return to the Document Production screen.

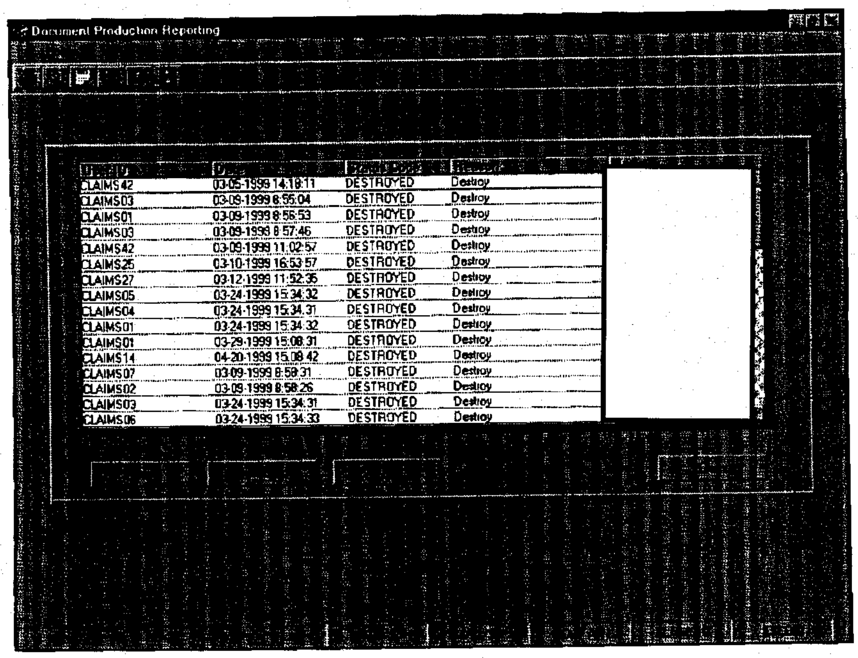
Void/Destroy Report (View Function Only)

This option is used to view a list of all voided or destroyed certificates. To view voided or destroyed reports, perform the following steps:

1. Click the (Void/Destroy Report) toolbar button to access the Document Production Reporting screen (Exhibit 10–19, Document Production Reporting).

Exhibit 10–19: Document Production Reporting

)(6)



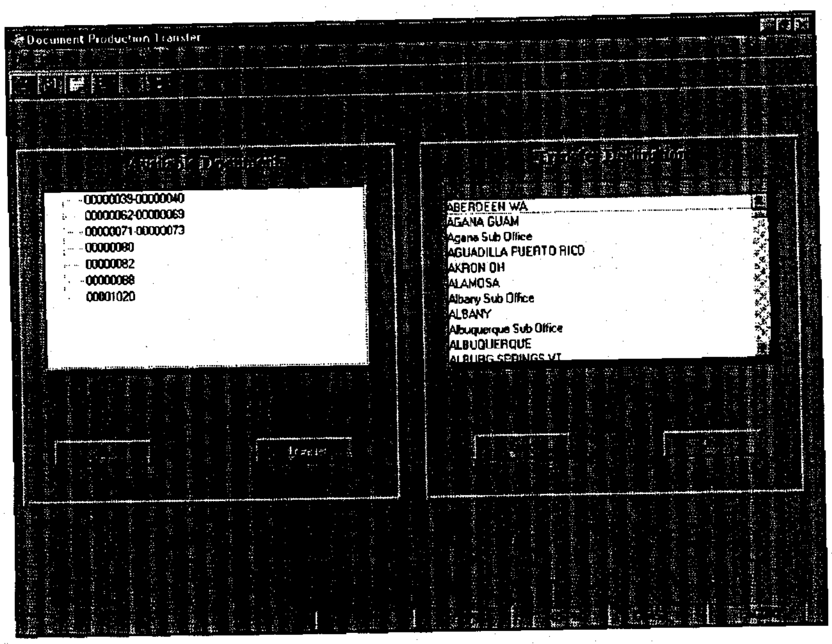
- Click to view only voided certificates.
- Click to view only destroyed certificates.
- Click to view all certificates.
- To return to the Document Production screen, click .

Transfer Documents

This option allows you to transfer documents from one site to another. Only certificates owned by your site appear in the list of available documents. To transfer documents from one site to another, perform the following steps:

1. Click the (Transfer Documents) toolbar button to access the Document Production Transfer window (Exhibit 10–20, Document Production Transfer).

Exhibit 10–20: Document Production Transfer



2. Double click on a certificate number or range of certificate numbers in the Available Documents list, or click once, and then click .
3. Double click on an office in the Transfer Destination List, or click once, and then click .
4. Click to transfer. When the confirmation message informing the user that the selected certificate has been transferred appears, click .
5. To return to the Document Production screen, click .

CASE MANAGEMENT

The Case Management module is used to resolve data discrepancies between CLAIMS 4.0 and CIS, to update case and address information, and to add FBI fingerprint information for an individual case or a group of cases. To enter the Case Management module, click the Case Management button (Exhibit 11–1, Case Management Button) in the CLAIMS 4.0 Main Menu screen.

Exhibit 11–1: Case Management Button

Exhibit 11–2, Case Management Module Options, lists the options available in the Case Management module.

Exhibit 11–2: Case Management Module Options

Title	Icon	Description
Claims Resolution		Used to add missing information to CLAIMS 4.0 and/or resolve mismatched data between CLAIMS 4.0 and CIS
Batch Status Update		Used to update case information for an individual case or a group of cases
Change of Address Request		Used to update address information for an individual case
FBI Fingerprint Result		Used to add FBI fingerprint information for an individual case

CLAIMS Resolution

The CLAIMS Resolution function allows you to resolve data discrepancies between CIS and CLAIMS 4.0 and/or enter missing required data. To open an application, perform the following steps:

1. From the Case Management screen, click the (CLAIMS Resolution) toolbar button. The CLAIMS Resolution main menu appears (Exhibit 11–3, View Activity Queue).

Exhibit 11–3: View Activity Queue

2. Click the appropriate radio button to indicate the correct form:
   - to access the N400 - Application for Naturalization
   - to access the I881 - Application for Suspension of Deportation
3. Select an Activity from the menu.
4. Enter the application ID number and press R. The CLAIMS/CIS A-Number Resolution screen (Exhibit 11–4, CLAIMS/CIS A-Number Resolution) appears. To select an application from a list, perform the following steps:
   a. Click an activity in the Activity box.
      - **CIS/Data Attended Search Processing**—Conduct initial resolution process.
      - **Information Received**—Complete the resolution process based on information provided by the applicant.

   b. Verify the code in the Office field. To view a list of cases in an office other than the one displayed, enter the code, or click to select from a list of office codes. To view a list for all offices, delete the office code in the Office field.

   c. Click . A list of cases that are ready for the activity selected appears in the box on the right side of the screen.

   d. Double click an application ID in the list.

   e. The CLAIMS/CIS A-Number Resolution screen is displayed (Exhibit 11–4).

Exhibit 11-4: CLAIMS/CIS A-Number Resolution

[redacted]

To resolve missing information, perform the following steps:

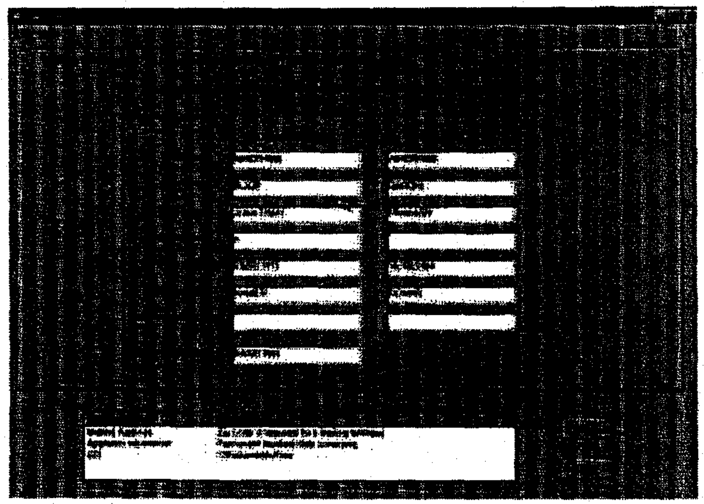
1. A missing or invalid information field is indicated with red labels. An error box will also appear at the bottom of the screen. Tab to those fields, and enter the missing or valid information.
2. Click the Save button after you have made all the necessary corrections.

Note: If the information needed to resolve the case is unavailable the first time, a notice to the applicant is generated (unless the mailing address for the applicant has errors.) The system allows two attempts to resolve missing information.

To resolve mismatched information, perform the following steps:

1. Click on the CIS tab to access the CLAIMS/CIS Data Field Comparison screen (Exhibit 11-5, CLAIMS/CIS Data Field Comparison). Mismatched information appears in fields with red labels.

Exhibit 11–5: CLAIMS/CIS Data Field Comparison



2. Compare and verify information in the fields displayed with red labels.
3. If necessary, go to the corresponding field on the Applicant Information tab to change the mismatched information.
4. Click the Save button to save the case after you have made all the necessary corrections.
5. To exit the application and return to the Case Management main menu select Close from the File menu.

Batch Status Update

The Batch Status Update module is used to update information for an individual case or a group of cases. The following options are available in Batch Status Update:

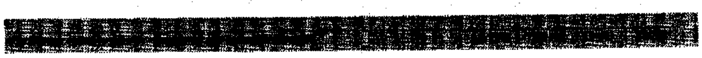
- **Batch Update**—Used to indicate that information or documents have been received, or that an action has occurred for one or more cases
- **Close Out Case**—Used to record that one or more applicants have been naturalized and their cases closed out
- **No-Show**—Used to indicate that one or more applicants did not show up for an OC or an interview and did not request that the appointment be canceled
- **Certificate Withheld**—Used to record certificates that were printed but not issued to applicants

Batch Update

The Batch Update option is used to indicate that information, such as evidence, has been received or that an action has occurred for a case. To update case information, perform the following steps:

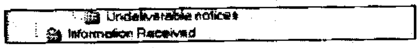
1. From the Case Management screen, click the (Batch Status Update) toolbar button to access the Batch Status Update screen (Exhibit 11–6, Batch Status Update).

Exhibit 11–6: Batch Status Update



2. Click on the Batch Update tab (Exhibit 11–6). A directory structure appears (Exhibit 11–7, Directory Structure) on the left side of the screen.

Exhibit 11–7: Directory Structure



3. Click the folder that contains the information/action to be updated.

   Note: A ⊞ to the left of a folder indicates additional options are available. Continue to click a folder until the desired option is located.

4. Click the appropriate option. The option appears in the Option Selected field.

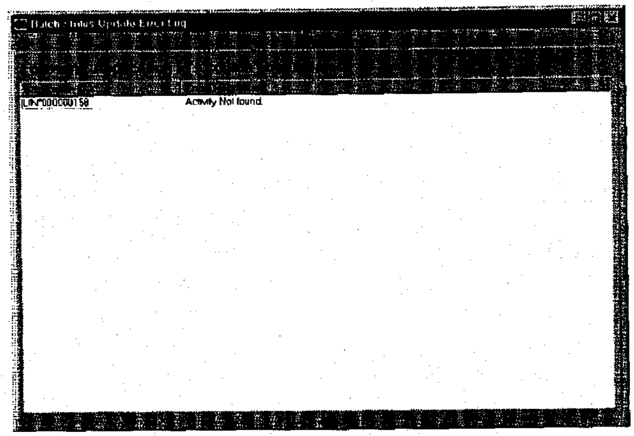
5. Enter the application ID of the case to be updated, and press R. The application ID number appears in the Application ID list.
   or
   In the A-Number field, enter the A-Number of the case to be updated, and press R. A list of cases matching the A-Number appears in an Application Information field at the bottom of the screen. Click on the correct application ID to add it to the Application ID list.

6. To update multiple cases simultaneously, repeat Step 5 until all cases to be updated have been entered.

7. Click  to update the cases. Check the status bar for the following messages: "Begin Update" and "Update Complete." If errors occur during processing, a list of application IDs that did not update successfully and a description of the errors appears in the Batch Status Update Error Log window after processing has been completed.

   Note: The Batch Status Update Error Log window (Exhibit 11–8, Batch Status Update Error Log) should appear automatically when errors occur. To access the Error Log manually, select Error Log from the File menu. If the Error Log option is grayed out, no processing errors have occurred.

Exhibit 11–8: Batch Status Update Error Log



8. To exit, click the control button, or select Exit from the File menu.

Close Out Case

The Close Out Case option is used to record that one or more applicants have been naturalized and their cases closed out. An Administrative or Judicial close Out can be performed using the Close Out Case option. To close out a cases, perform the following steps:

1. From the Case Management screen, click the (Batch Status Update) toolbar button.
2. Click on the Close Out Case tab (Exhibit 11–9, Close Out Case).

Exhibit 11–9: Close Out Case

3. Click the appropriate radio button, , to indicate the type of closure.
4. Tab to the Naturalization Date field, and enter the date of naturalization (MM/DD/YYYY).
5. Do one of the following to indicate which applications are to be closed:
   - Tab over to the Ceremony Date/Location section, and enter the date and location of an OC. Press R. A list of sublocations appears in the Location Information section. Click the sublocation. A list of application IDs for the selected OC will appear in the Application ID section.

- Enter the application ID to be closed out, and press R. The application ID to be processed appears in the list. To close out multiple cases, repeat until all application IDs to be closed out have been entered.
- In the A-Number field, enter the A-Number of the case to be updated, and press R. A list of cases matching the A-Number appears in the Application Information field. Click on the correct application ID to add it to the Application ID list. To close out multiple cases, repeat until all application IDs to be closed out have been entered.

6. Click  to close the cases, or click Clear List to clear the list.
7. To exit, click the  control button, or select Exit from the File menu.

No-Show

The No-Show option is used to indicate that one or more applicants did not appear for an interview or an OC and did not cancel the appointment. To indicate a no-show, perform the following steps:

1. From the Case Management screen, click the  (Batch Status Update) toolbar button.
2. Click on the No-Show tab (Exhibit 11–10, No-Show).

Exhibit 11–10: No-Show

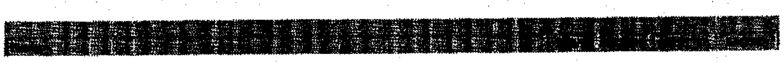
3. Click the appropriate radio button, , to indicate the type of no-show.
4. Enter the application ID of the case that is to be indicated as a no-show, and press R. The application ID number appears in the Application ID list.
5. In the A-Number field, enter the A-Number of the case to be updated, and press R. A list of cases matching the A-Number appears in the Application Information field. Click on the correct application ID to add it to the Application ID list.
6. To update multiple cases simultaneously, repeat Step 4 until all cases to be closed out have been entered.
7. Click to process or Clear List to clear the list.
8. To exit, click the control button, or select Exit from the File menu.

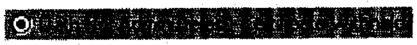
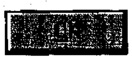
Certificate Withheld

The Certificate Withheld option is used to record certificates that were printed but not issued to applicants. To record that an applicant's certificate was withheld, perform the following steps:

1. From the Case Management screen, click the (Batch Status Update) toolbar button.
2. Click on the Certificate Withheld tab (Exhibit 11–11, Certificate Withheld).

Exhibit 11–11: Certificate Withheld



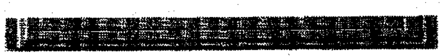
3. Do one of the following:
   - Enter the application ID of the case for which the certificate is to be withheld, and press R. The application ID number appears in the list.
   - In the Enter A-Number field, enter the A-Number of the case for which the certificate is to be withheld, and press R. A list of cases matching the A-Number appears in the Application Information field. Click on the correct application ID to add it to the Application ID list.
   - In the Enter Certificate Number field, enter the number of the certificate that is to be withheld. The case matching the certificate number is listed in the Application Information field. Click on the application ID to add it to the Application ID list.
4. Click on the appropriate radio button in the Oath Ceremony Status section:
   -  to indicate that the oath was administered
   -  to indicate that the oath was not administered
5. To update multiple cases simultaneously, repeat Step 2 until all cases for which certificates were withheld have been entered.
6. Click  to process, or click Clear List to clear the list.
7. To exit, click the  control button, or select Exit from the File menu.

Change of Address Request

The Change of Address Request function allows you to update an applicant's mailing and/or residential address. To update an address, perform the following steps:

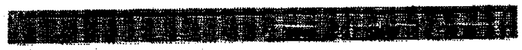
1. From the Case Management screen, click the  (Change of Address Request) toolbar button. The Change of Address window (Exhibit 11–12, Change of Address) appears.

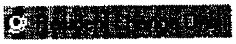
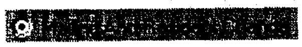
Exhibit 11–12: Change of Address



2. Enter the Application ID and click Search. The Address Change Petition screen (Exhibit 11–13, Address Change Petition) appears.

Exhibit 11–13: Address Change Petition



3. Click the appropriate radio button to indicate the type of address change:
   -  to change the residential address only (the Resident Address section appears)
   -  to change the mailing address only (the Mailing Address section appears)
   -  to change both the residential and mailing addresses (changes can be entered in either address section and both addresses are updated)
4. To clear all fields, click .
5. Click in the appropriate fields and enter the correct information.
6. To enter changes on both fields, click the Copy button.
7. Click .

FBI Fingerprint Result

The FBI Fingerprint Result function allows you to enter FBI fingerprint response codes and dates for an applicant. These results can also be entered into CLAIMS 4.0 automatically through the FD-258 EE interface or by an adjudicator using the Adjudications module. CLAIMS 4.0 maintains a history of responses, which appears in the FBI Fingerprint Card Result History window of the FBI Result—Adding New screen. To add FBI Fingerprint Result information, perform the following steps:

1. From the Case Management screen, click the  (FBI Fingerprint Result) toolbar button. The FBI Fingerprint Result window (Exhibit 11–14, FBI Fingerprint Result) appears.

Exhibit 11–14: FBI Fingerprint Result

[redacted]

2. Enter the application ID.
3. Click Search. The FBI Result—Adding New screen (Exhibit 11–15, FBI Result—Adding New) appears. A list of previously entered responses appears in the FBI Fingerprint Card Result History window. When a list item is selected, any reason for that item's modification entered in the Adjudications module appears in the Reason for Modification field.

Exhibit 11–15: FBI Result—Adding New

[redacted]

4. Enter the following information:
   a. In the Response Code field, enter the response code received from the FBI or click to select the appropriate code from a list.
   b. In the Response Date field, enter the date of the response or click to select the date from a calendar.
   c. Enter the adjudicator's user ID.
5. Click Add to add the information. The information is displayed in the FBI Fingerprint Card Result History window.
6. To modify information before saving, perform the following steps:
   a. In the FBI Fingerprint Card Result History window, click on the information to be modified.
   b. Make necessary changes in the appropriate fields.
   c. Click Update.

   Note: Information can only be modified before it is saved. After information is saved, it cannot be edited.
7. To close the FBI Result—Adding New screen and save changes, click Done.

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CASE STATUS

The Case Status module is used to access the status and history of a case and can be used to search the system to find an application ID using some other search key. A database search must be conducted to retrieve this information. Searches can be based on the applicant's personal information, mailing address, attorney, or other information such as certificate number. When a match is found, the case status and history appear. To enter the Case Status module, click the Case Status button (Exhibit 12–1, Case Status Button) in the CLAIMS 4.0 Main Menu screen.

Exhibit 12–1: Case Status Button

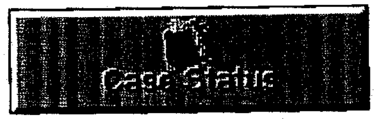


Exhibit 12–2, Case Status Module Options, lists the options available in the Case Status module.

Exhibit 12–2: Case Status Module Options

Title	Icon	Description
New Search		Used to clear the data from a search screen and perform a search on another case
Search		Used to search for information on a case within CLAIMS 4.0

Search

When a case status query is initiated, the system searches the CLAIMS 4.0 database to find a match to the criteria entered. Four categories of search criteria are available. These categories appear as folder tabs on the Case Status Inquiry screen (Exhibit 12–3, Case Status Inquiry):

- **Personal**—Used to search for an application based on the application ID number, A-Number, form number, last name, first name, Social Security number, DOB, or COB
- **Mailing Address**—Used to search for an application based on the applicant's mailing address
- **Attorney**—Used to search for cases based on the attorney assigned to the case
- **Other**—Used to perform a search based on other available information such as owner location code, port of entry, date range of entry, payment ID, certificate number, or DOB range

Searches can be initiated using criteria entered in just one category or in multiple categories.

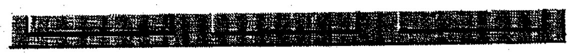
Exhibit 12–3: Case Status Inquiry

[redacted]

To initiate a search, perform the following steps:

1. Click on the applicable tab: Personal, Mailing Address, Attorney, or Other.
2. Enter search criteria in the appropriate fields.
3. To add search criteria from a second category, repeat Steps 1 and 2.
4. Click [redacted]. One of the following search results occurs:
   - **No Match**—The following message appears in a pop-up window: "No Application IDs found in Workflow for this search."
   - **Exact Match**—The Case Status screen (Exhibit 12–5, Case Status) appears. The Status section shows the most recent activity on the case. The History section shows all activity on the case, with the most recent activity at the top of the list.
   - **Multiple Matches**—If there are multiple matches, the Case Search window appears (Exhibit 12–4, Case Search). Click on the applicable option to continue the search. If the option to modify the search is selected, repeat Steps 1 through 4. If either option to view records is selected, a Search Results box with a list of records appears at the bottom of the Case [redacted]iry screen. Click on the application ID number of the desired case and click [redacted]. The Case Status screen (Exhibit 12–5) appears.

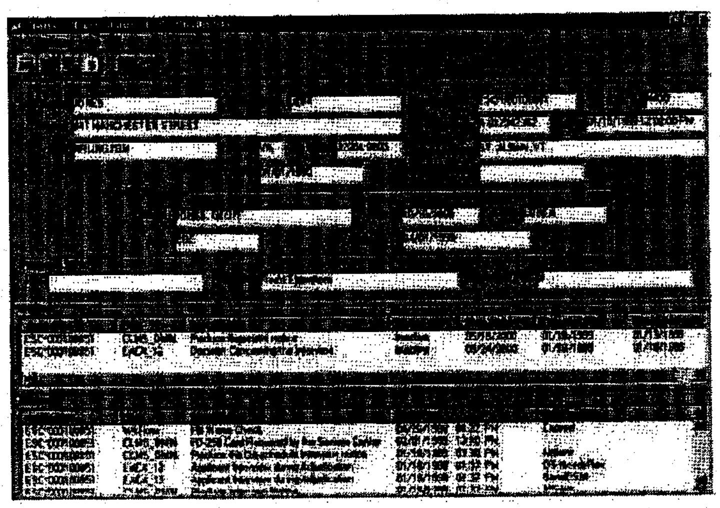
Exhibit 12–4: Case Search



To initiate a new search, perform the following steps:

1. Click in the Case Status Inquiry screen.
2. Repeat Steps 1 through 4 above.

Exhibit 12–5: Case Status



To view case information, perform the following steps:

1. To scroll through the Status or History list, click or in the scroll bar.
2. To view scheduled appointments, click the (Schedule) toolbar button. If there are scheduled appointments, the location, room number, room section, date, and time appear in the Interview Schedule screen (Exhibit 12–6, Interview Schedule).

Exhibit 12–6: Interview Schedule

[redacted]

3. To return to the Case Status screen, click [redacted].

4. To view attorney information, click the (Attorney) toolbar button. If there is attorney information, the Attorney Information screen (Exhibit 12–7, Attorney Information) appears.

Exhibit 12–7: Attorney Information

[redacted]

5. To return to the Case Status screen, select Close from the File menu.

6. To view FBI fingerprint and name check results, click the (FBI Result) toolbar button. If fingerprint and/or FBI name check results have been received, the FBI Result screen (Exhibit 12–8, FBI Result) appears.

Exhibit 12–8: FBI Result

[redacted]

7. To return to the Case Status screen, select Close from the File menu.

8. To view payment information, click the (Payment Details) toolbar button. If there is payment information, the Pay Details screen (Exhibit 12–9, Pay Details) appears.

Exhibit 12–9: Pay Details

[redacted]

9. To return to the Case Status screen, select Close from the File menu.

Print Labels/Print Case Status

If a copy of the case status information is needed, or if additional labels are required for an application ID, they can be printed from the Case Status module. The types of available labels include the following:

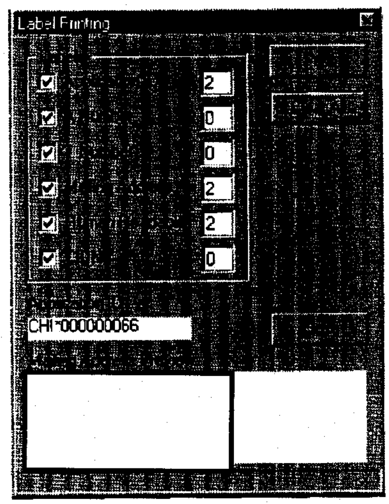
- Application ID
  A-Number
  T-Number
  Mailing address
  Human readable
- CIDN

To print a label, perform the following steps:

1. Click the (Print Labels) toolbar button to access the Label Printing window (Exhibit 12–10, Label Printing).

Exhibit 12–10: Label Printing

(b)(6)



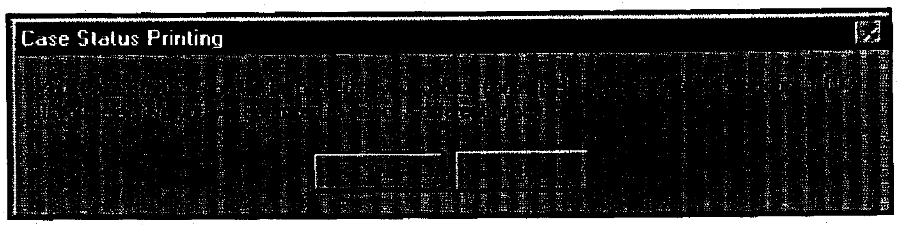
2. Enter the appropriate application ID in the Application ID field. All the label options are selected by default. To deselect a label option, click on the appropriate check box.
3. Click in the amount fields to enter the total number of labels desired for each label option.
4. Click [redacted] to print the labels.
5. Click [redacted] to clear all fields.

6. Click  to return to the Case Status Inquiry screen.

To print case status information, perform the following steps:

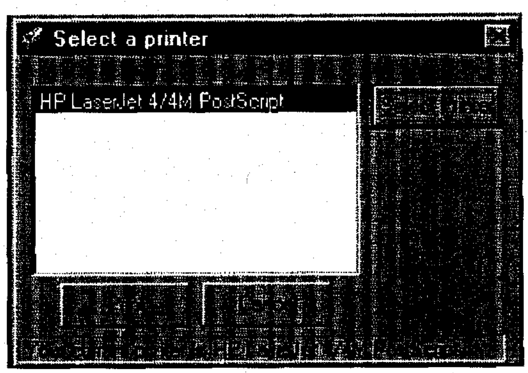
1. From the Case Status window, click the (Print Case Status) toolbar button.
2. When a prompt appears (Exhibit 12–11, Case Status Printing Prompt), click on the appropriate response.

Exhibit 12–11: Case Status Printing Prompt



- If you click Yes, the case status information prints to your default printer.
- If you click No, a prompt appears (Exhibit 12–12, Select a Printer Prompt).

Exhibit 12–12: Select a Printer Prompt



a. Click on a printer in the list, and click .

b. Click . The case status information prints to the selected printer.

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SYSTEM MAINTENANCE

The System Maintenance module is used to update the CLAIMS 4.0 database, set up new locations, and set up all user functions. Most the options within the System Maintenance module are accessed from the menu bar. To access the System Maintenance module, click the System Maintenance button (Exhibit 13–1, System Maintenance Button) in the CLAIMS 4.0 Main Menu screen.

Exhibit 13–1: System Maintenance Button

The following menus are accessible from the System Maintenance menu bar:

- **File**—This menu contains the Exit option, which is used to return to the CLAIMS 4.0 main menu.
- **Profiles**—This menu contains options that are used to set up a location, set up the services offered at that location, and assign user rights.
- **Tables**—This menu contains options that are used to display look-up tables.
- **Status**—This menu contains the workflow option used to view the status of a case at a location, determine the completed elements of the process, and view a workflow diagram of a case.
- **Window**—This menu allows you to arrange the desktop and open windows.
- **Help**—This menu provides access to Online Help and information about this version of CLAIMS 4.0. (Refer to Section 6 for further instruction.)

Profiles Menu

The Profiles menu is used to define a location and the services to be performed at that location. It is also used to create users, define user permissions, and establish application ID, payment ID, A-Number, and certificate number pools for a location. The following options are available from the Profiles menu:

- Select a Location

Location Profile
Services
Workflow Participant Roles
Report Access Groups
Users
Application ID, Payment ID, A-Number

Certificate Numbers

- Forms

Select a Location

The Select a Location option is the first step to setting up a location profile and the services available at that location. To select a location when the location code is known, perform the following steps:

1. Select the Select a Location menu option from the Profiles menu. The Location Profiles window (Exhibit 13–2, Location Profiles) appears.

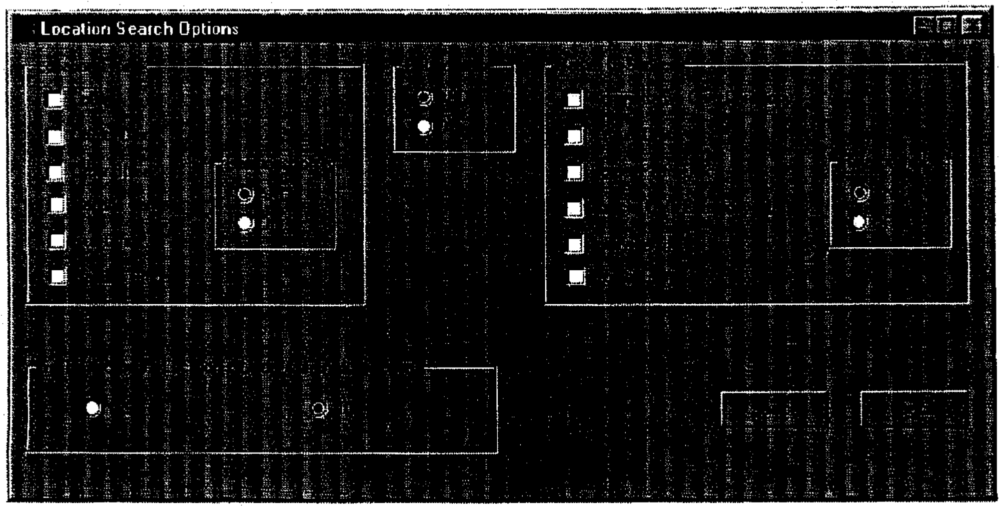
Exhibit 13–2: Location Profiles

2. Verify the location code. Click to view the location type and description.
3. If the location code is correct, click to select the location.

To select a location when the location code is UNKNOWN, perform the following steps:

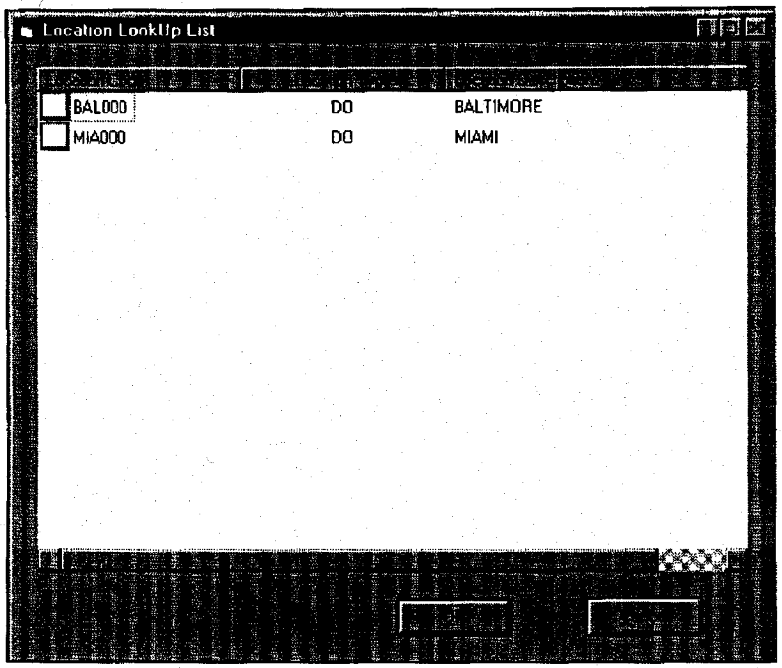
1. Select the Select a Location menu option from the Profile menu. The Location Profiles window (Exhibit 13–2) appears.
2. Click in the Location field to perform a search. The Location Search Options window (Exhibit 13–3, Location Search Options) appears.

Exhibit 13–3: Location Search Options



3. Select one or all of the following to enter the desired search criteria:
   - **Location Type**—Click the appropriate check box to select the location type. When selecting more than one location type, click the radio button if the location is both types. Click the radio button if the location type may be one or the other.
   - **Nature of Service**—Click the appropriate check box to select the nature of service. When selecting more than one service, click the radio button if the location offers both types. Click the radio button if the location may offer one or the other.
   - **Relationship**—If the search is to include criteria selected from both the Location Types and the Nature of Service sections, click the radio button. If the search is to include criteria selected from either the Location Types or the Nature of Service sections, click the radio button.
   - **Set Restriction To Locations Under Current Jurisdiction?**—Click to restrict the search to locations under current jurisdiction; otherwise, click .
4. Click to perform the search. A list of locations that match the search criteria appears in the Location Look-Up List window (Exhibit 13–4, Location Look-Up List).

Exhibit 13–4: Location Look-Up List



a. To select a location, click on the check box to the left of the location, and click . When the Profile Location window appears, verify the code in the Location Code field, and click .

b. If the list is empty or does not display the desired location code, click , and perform Steps 1 through 4 again.

Location Profile

The Location Profile option is used to set up or modify a location's profile. The Location Profile screen is used to enter general information, type of location, location address, jurisdiction information, and branch locations. To set up a location profile, perform the following steps:

1. Select the location for which the profile is to be set up by following the steps described in Section 13.1.1, Select a Location.
2. Select the Location Profile menu option from the Profiles menu to access the Location Profile screen (Exhibit 13–5, Location Profile).

Exhibit 13–5: Location Profile

[redacted]

3. Click on the General Information tab. The location code along with other codes and descriptions that apply to the location appear.
4. Enter the endorsement account number, operating days and times, fingerprint expiration days, estimated interview notice days, and contact officer title, name and phone number in the appropriate fields. Modify the location codes and descriptions, if necessary.
5. Click on the Nature of Services tab (Exhibit 13–6, Nature of Services) to view available services.

Exhibit 13–6: Nature of Services

[redacted]

6. Click in the boxes to indicate the nature of the services provided at the selected location.
7. Click on the Location Address tab (Exhibit 13–7, Location Address).

Exhibit 13–7: Location Address

[redacted]

8. Enter or edit the appropriate information.
9. Click on the Other Information tab (Exhibit 13–8, Other Information).

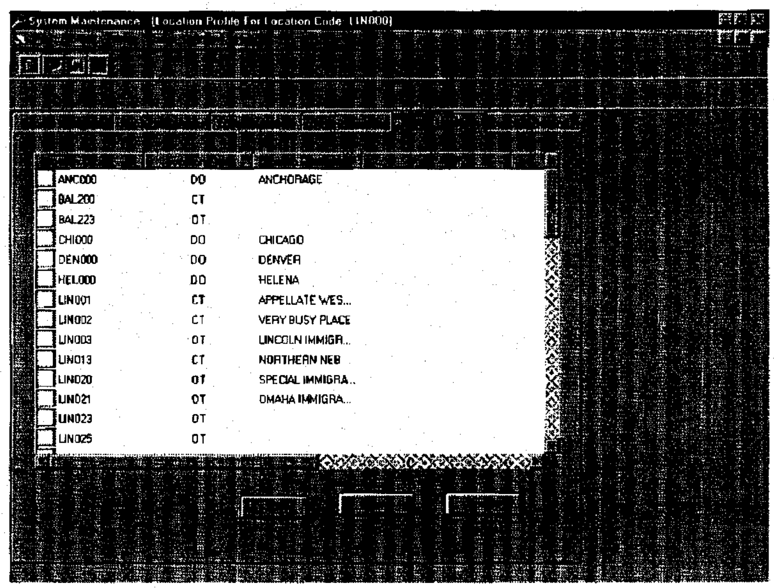
Exhibit 13–8: Other Information

10. Enter or edit the appropriate information.

To add, update, or browse a branch location, perform the following steps:

1. Click on the Branch Locations tab (Exhibit 13–9, Branch Locations). This option allows you to add, update, and browse a branch location.

Exhibit 13–9: Branch Locations

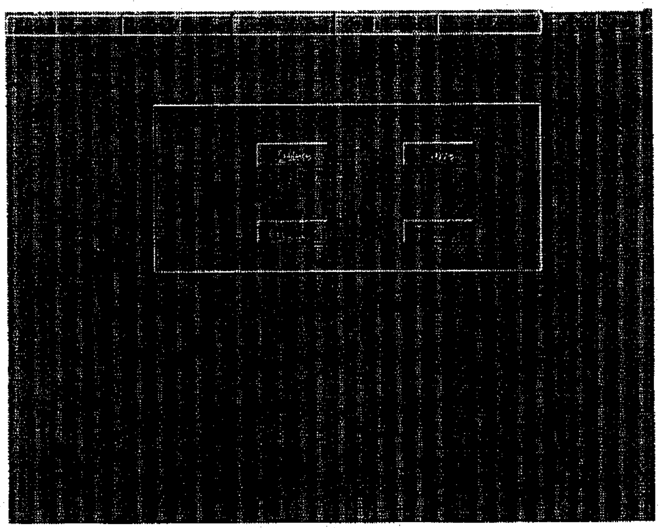


2. To add a new branch location, perform the following steps:
   a. Click .
   b. Select the type of location to be added. Click .
   c. Follow Steps 3 through 10 in the previous section to enter information about the new branch location.
   d. Click on the Function Buttons tab.
   e. Click to save the branch information.
   f. Click to confirm the save, and click .
3. To update a branch location, perform the following steps:
   a. Click on the box to the left of the branch to be updated.
   b. Click .
   c. Click the tabs to view all current information about the selected branch. Edit the information as necessary (refer to Steps 3 through 10 of the previous section).
   d. Click on the Function Buttons tab.
   e. Click to save the branch information.
   f. Click to save updates.
   g. Click .
   h. Click to return to the Location Profile screen for the primary location.
4. To browse a branch location, perform the following steps:
   a. Click on the box to the left of the branch to be browsed.
   b. Click .
   c. Click the folder tabs to view all current information about the selected branch.
   d. Click on the Function Buttons tab, and click to return to the Location Profile screen of the primary location.

To delete, save, refresh, or close a location, perform the following steps:

1. Click on the Branch Locations tab (Exhibit 13–9).
2. Click on the box to the left of the branch to be selected.
3. Click .
4. Click on the Function Buttons tab (Exhibit 13–10, Function Buttons).

Exhibit 13–10: Function Buttons



5. Click one of the following buttons:

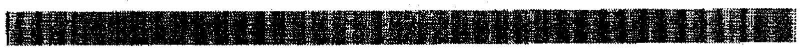
- to delete the location
- to save the location information
- to return the location to its original settings
- to close the Location Profile screen

Services

Before services can be scheduled at a location in the Scheduling module, those services must be defined in System Maintenance. The Services option is used to view and define the service types that the selected location (refer to Section 13.1.1, Select a Location) oversees. Through the Services option, each service is attached to a location referred to as a "service location." When the services option is selected, a list of service locations affiliated with the selected location appears. The following toolbar buttons are available from the List of Services Locations screen (Exhibit 13–11, List of Service Locations):

- **Add** —Adds a new record
- **Edit** —Edits a record
- **Save** —Saves a record
- **Delete** —Deletes a record

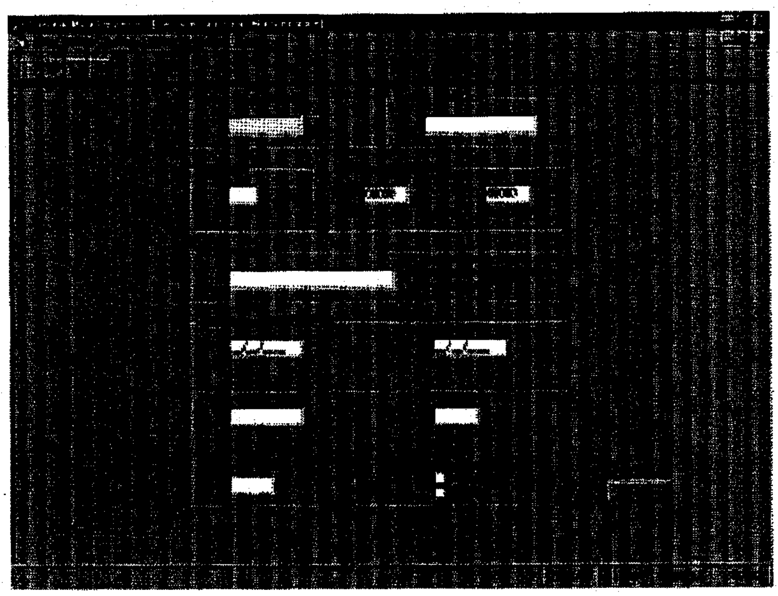
Exhibit 13–11: List of Service Locations



To add a new record, perform the following steps:

1. Select the location for which the service is to be set up by following the steps described in Section 13.1.1.
2. Click on the Services option in the Profiles menu to access the List of Service Locations screen (Exhibit 13–11).
3. Click the (Add New Record) toolbar button to access the Service Location Maintenance screen (Exhibit 13–12, Service Location Maintenance).

Exhibit 13–12: Service Location Maintenance



4. Enter the appropriate information in the following fields:

- **Default Service Location**—Service location, or click to select from a list of locations.
- **Service Type Code**—Service type code, or click to select from a list of codes.
- **State Code**—State abbreviation; click to select from a list of codes.
- **Zip Code Range From**—Beginning ZIP code for which the service location is responsible; click to perform a search of ZIP codes by county or city.
- **Zip Code Range To**—Ending ZIP code for which the service location is responsible; click to perform a search of ZIP codes by county or city. If this field is left blank, it defaults to the value contained in the ZIP Code Range From field.
- **County Name**—Automatically populated when the ZIP code range is entered; currently, this function does not support cross-county ZIP code ranges. This means that only one county can be included in each ZIP code range. Therefore, a ZIP code range for each county provided a service has to be entered.
- **Start Date Range**—Date (MM/DD/YYYY) the service begins at a location
- **End Date Range**—Date (MM/DD/YYYY) the service ends at a location. If the End Date Range is not provided, the date defaults to 01/01/9999.
- **Temporary Location**—Temporary location

- **Rule Code**--Rule code
- **Site Group Indicator**—Site group indicator code

5. If an OC is to occur at the service location, click the appropriate box in the Oath Ceremony Type field.
6. Click the (Save) toolbar button to save.
7. Click to return to the List of Service Locations window.

   Warning: Clicking the Close button before the Save toolbar button clears the information entered and closes the New Record window without saving.

To edit a service location, perform the following steps:

1. Select the location for which the service is to be edited by following the steps described in Section 13.1.1.
2. Select the Services option in the Profiles menu to display the List of Service Locations screen (Exhibit 13–11).
3. From the Service Locations list, select the service location to be changed by clicking in the box to its left.
4. Click the (Edit) toolbar button to access the Service Location Maintenance window. Current information about the service location appears.
5. Edit the information.
6. Click the (Save) toolbar button to save.
7. To return to the List of Service Locations window, click .

   Warning: Clicking the Close button before the Save toolbar button clears the information entered and closes the Edit Record window without saving.

To delete a record, perform the following steps:

1. Select the location for which the service is to be deleted by following the steps described in Section 13.1.1.
2. Select the Services option in the Profiles menu to display the List of Service Locations screen (Exhibit 13–11).
3. Select the service location in the list by clicking in the box to the left of the location.
4. Click the (Edit) toolbar button to access the Service Location Maintenance window. Current information about the service location appears.
5. Click the (Delete) toolbar button. A confirmation box appears. Click to delete the service or to cancel the deletion.

6. To return to the List of Service Locations window, click .
7. To exit the List of Service Locations window, click .

Workflow Participant Roles

When you are given access to CLAIMS 4.0, your privileges within the system are determined by what participant role you are assigned. The Workflow Participant Roles option is used to define the role you take within an office. For example, a small site may need to provide you with access to all the CLAIMS 4.0 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 would create a workflow participant type for each class of user. The windows for the Workflow Participant Roles option contain the following toolbar buttons:

- **Add** —Adds a new record
- **Edit** —Edits a record
- **Save** —Saves a record
- **Delete** —Deletes a record

Select the Workflow Participant Roles option in the Profiles menu to access the Participant Type Codes List screen (Exhibit 13–13, Participant Type Codes List). A list of participant type codes and descriptions appears.

Exhibit 13–13: Participant Type Codes List