A Deliverable to the
U.S. Immigration & Naturalization Service

User Manual

CLAIMS 4.0 Service Center User Manual

Project No. K00PP015S00 (G519): CLAIMS 4 Development Support

Subtask 7: Documentation Support

DRAFT

June 30, 2000

NCY00.70000-00.D*0-EDS

TABLE OF CONTENTS

1. INTRODUCTION 1–1
1.1 Purpose and Scope 1–1
1.2 Organization 1–1
1.3 Points of Contact 1–1
1.4 Project References 1–1
1.5 Primary Business Functions 1–2
1.6 Acronyms and Glossary 1–2

2. SYSTEM CAPABILITIES 2–1
2.1 Purpose of CLAIMS 4.0 2–1
2.2 General Description 2–1
2.3 Privacy Act Considerations 2–2
2.4 Graphical User Interface 2–3

3. DESCRIPTION OF SYSTEM FUNCTIONS 3–1
3.1 Mailroom Entry 3–1
3.1.1 Detailed Description of Mailroom Entry 3–1
3.1.2 Prerequisites for MailRoom Entry 3–1
3.1.3 Results of Mailroom Entry 3–1
3.2 Finance 3–2
3.2.1 Detailed Description of Finance 3–2
3.2.2 Prerequisites for Finance 3–2
3.2.3 Results of Finance 3–2
3.3 Data Entry 3–2
3.3.1 Detailed Description of Data Entry 3–2
3.3.2 Prerequisites for Data Entry 3–3
3.3.3 Results of Data Entry 3–3
3.4 Notices 3–3
3.4.1 Detailed Description of Notices 3–3
3.4.2 Prerequisites for Notices 3–3

3.4.3 Results of Notices 3–3
3.5 Reporting 3–4
3.5.1 Detailed Description of Reporting 3–4
3.5.2 Prerequisites for Reporting 3–4
3.5.3 Results of Reporting 3–4
3.6 Case Management 3–4
3.6.1 Detailed Description of Case Management 3–4
3.6.2 Prerequisites for Case Management 3–4
3.6.3 Results of Case Management 3–4
3.7 Case Status 3–5
3.7.1 Detailed Description of Case Status 3–5
3.7.2 Prerequisites for Case Status 3–5
3.7.3 Results of Case Status 3–5
3.8 System Maintenance 3–6
3.8.1 Detailed Description of System Maintenance 3–6
3.8.2 Prerequisites for System Maintenance 3–6
3.8.3 Results of System Maintenance 3–6
3.9 Workflow Admin. 3–6
3.9.1 Detailed Description of Workflow Admin. 3–6
3.9.2 Prerequisites for Workflow Admin. 3–7
3.9.3 Results of Workflow Admin. 3–7

4. OPERATION PROCEDURES 4–1
4.1 Launching CLAIMS 4.0 4–1
4.2 Using CLAIMS 4.0 4–2
4.2.1 Menu Commands 4–2
4.2.2 Navigation 4–2
4.2.3 Ellipsis Buttons 4–3
4.3 System Settings and Password 4–3
4.4 Entering an Application ID 4–5
4.5 Exit/Restart CLAIMS 4.0 4–5

5. ERROR HANDLING 5–1

6. CLAIMS 4.0 ONLINE HELP 6–1
6.1 Using Context-Sensitive Help 6–1
6.2 Accessing Help Using the Contents Topic List 6–1
6.3 Searching or Finding Help Topics 6–1
6.4 Using Help Index 6–1
6.5 Using the CLAIMS 4.0 Help Navigator 6–2
6.6 Using the Glossary 6–2

7. MAILROOM 7–1
7.1 Print Labels/Transfer Payments 7–2
7.2 Correct Payment 7–4
7.3 Void Application 7–5
7.4 Adjust Date 7–6
7.5 Reprint Labels 7–7
7.6 Test Labels Printer/Test Check Franker 7–8

8. FINANCE 8–1
8.1 Payment 8–2
8.2 Cash Box 8–5
8.2.1 Close Cash Box 8–5
8.2.2 Reconcile Cash Box 8–6
8.2.3 Audit Cash Box 8–8
8.2.4 Transfer Cash Box 8–10
8.3 Bounced Check 8–12
8.4 Invalid Payment Notice 8–12
8.5 Print Labels 8–13
8.6 Test Printer 8–14
8.7 Pay Override 8–15

9. DATA ENTRY 9–1
9.1 N400 Application (Application for Naturalization) 9–1
9.1.1 New Application 9–2
9.1.2 Payment Not Received 9–26

9.1.3 Update Application 9–27
9.1.4 Find 9–28
9.1.5 Group Management 9–29
9.1.6 Print Labels 9–36
9.1.7 Print Attorney Label 9–37
9.1.8 Test Printer 9–37
9.2 I881 Data Entry 9–37
9.2.1 New Application 9–38
9.2.2 Payment Not Received 9–49
9.2.3 Update Application 9–50
9.2.4 Find 9–50
9.2.5 Print Labels 9–51
9.2.6 Print Attorney Label 9–52
9.2.7 Test Printer 9–52

10. REPORTING 10–1
10.1 Initiating a Report Query 10–1
10.2 Report Functions 10–3
10.2.1 Using the Report Viewer Screen 10–4
10.2.2 Using the Batch Option 10–6

11. NOTICES 11–1
11.1 Notices Awaiting Creation 11–1
11.2 Batch Print Server 11–3
11.2.1 Print Notice 11–3
11.2.2 Reprint Notice 11–5
11.2.3 Find Notice 11–6
11.2.4 Database Maintenance 11–7
11.2.5 Configure Printers 11–8
11.3 Current Print Job Status 11–9
11.4 View Notice History 11–11

12. CASE MANAGEMENT 12–1

12.1 CLAIMS Resolution 12–1
12.2 Status Update 12–4
12.2.1 Batch Update 12–5
12.2.2 Close Out Case 12–7
12.2.3 No-Show 12–8
12.2.4 Certificate Withheld 12–9
12.3 Change of Address Request 12–11
12.4 FBI Fingerprint Result 12–12

13. CASE STATUS 13–1
13.1 Search 13–1
13.2 Print Labels/Print Case Status 13–6

14. SYSTEM MAINTENANCE 14–1
14.1 Profiles Menu 14–1
14.1.1 Select a Location 14–2
14.1.2 Location Profile 14–4
14.1.3 Services 14–9
14.1.4 Workflow Participant Roles 14–12
14.1.5 Report Access Groups 14–15
14.1.6 User Profile Record 14–18
14.1.7 Application ID, Payment ID, Alien Number 14–22
14.1.8 Certificate Numbers 14–25
14.1.9 Forms 14–28
14.2 Tables 14–31
14.3 Status 14–36
14.4 Window and File 14–39
14.4.1 Arranging the Desktop 14–39

15. WORKFLOW ADMIN. 15–1
15.1 Process Information 15–1
15.2 Pending Activities 15–3
15.3 Process History 15–4

16. ADJUDICATIONS 16–1
16.1 Preview/Open 16–3
16.1.1 N400 16–6
16.1.2 Address 16–6
16.1.3 Attorney (Att'y) 16–8
16.1.4 Evidence/Background 16–9
16.1.5 Relatives 16–12
16.1.6 Marriages 16–14
16.1.7 Employment 16–15
16.1.8 Other Names 16–17
16.1.9 Eligibility 16–18
16.1.10 Organization Memberships 16–20
16.1.11 Absences From the United States 16–21
16.1.12 Residential History 16–22
16.1.13 Fingerprints 16–24
16.1.14 325 16–27
16.2 Save Options 16–30
16.3 Exam 16–31
16.3.1 INS Location Testing 16–31
16.3.2 Test Center Test Results 16–34
16.4 Decisions 16–35
16.4.1 Approve 16–36
16.4.2 Continue 16–39
16.4.3 Continue With Intent to Deny 16–41
16.4.4 Deny/Withdrawal/Admin. Close 16–43
16.4.5 Denial Due to Abandonment 16–46
16.4.6 Service and Applicant Motions to Reopen and Reconsider 16–51
16.4.7 Decision Concerning Interview/Oath Ceremony 16–52
16.4.8 Supervisor Review 16–55
16.4.9 Reverify Grant 16–56
16.4.10 Undo Decision 16–56
16.5 Application List 16–58
16.6 Name Change Petition 16–59
16.7 Application History 16–60

16.8 Prior Exam Results 16–61
16.9 Prior Decision Results 16–62
16.10 Notices 16–63
16.11 Find/Case Status 16–64
16.12 Preferences 16–65

APPENDIX A—GLOSSARY AND ACRONYMS

APPENDIX B—REPORT DESCRIPTIONS

EXHIBITS

Exhibit 2–1: CLAIMS 4.0 Service Center 2–1
Exhibit 2–2: Operating Environment Functions 2–3
Exhibit 4–1: CLAIMS 4.0 Main Menu 4–1
Exhibit 4–2: Security Menu 4–3
Exhibit 4–3: System Settings 4–4
Exhibit 4–4: System Setting With Value Selected 4–4
Exhibit 4–5: Change Password 4–5
Exhibit 7–1: Mailroom Button 7–1
Exhibit 7–2: Mailroom Module Options 7–1
Exhibit 7–3: Print Labels 7–2
Exhibit 7–4: Confirmation Window 7–3
Exhibit 7–5: Correct Payment 7–4
Exhibit 7–6: Void Application 7–5
Exhibit 7–7: Adjust Date 7–6
Exhibit 7–8: Reprint Label 7–7
Exhibit 7–9: Confirmation Window 7–8
Exhibit 7–10: Confirmation Request 7–8
Exhibit 7–11: Test Check Request 7–9
Exhibit 8–1: Finance Button 8–1
Exhibit 8–2: Finance Module Options 8–1
Exhibit 8–3: Payment 8–2
Exhibit 8–4: Claims Finance Application—Remittance 8–4
Exhibit 8–5: Cash Box Operations—Close 8–6
Exhibit 8–6: Closed Cash Box Confirmation 8–6
Exhibit 8–7: Cash Box Operations—Reconcile 8–7
Exhibit 8–8: Reconcile Cash Box 8–7
Exhibit 8–9: Cash Box Operations—Audit 8–9
Exhibit 8–10: Audit Cash Box 8–9
Exhibit 8–11: Cash Box Operations—Transfer Cash Box 8–10
Exhibit 8–12: Transfer Cash Box 8–11
Exhibit 8–13: Confirmation Message 8–11
Exhibit 8–14: Bounced Check 8–12

Exhibit 8–15: Invalid Payment Notice 8–13
Exhibit 8–16: Print Bar-Code Label 8–14
Exhibit 8–17: Test Printer Message 8–14
Exhibit 8–18: Pay Override 8–15
Exhibit 9–1: Data Entry Button 9–1
Exhibit 9–2: Data Entry Module Options 9–1
Exhibit 9–3: N400 Button 9–2
Exhibit 9–4: N400 Data Entry Options 9–2
Exhibit 9–5: New Application 9–3
Exhibit 9–6: N400—Parts 1 and 2 9–4
Exhibit 9–7: N400—Part 3 9–5
Exhibit 9–8: N400—Part 4A 9–7
Exhibit 9–9: N400—Part 4B 9–8
Exhibit 9–10: N400—Part 5: Current Marriage 9–10
Exhibit 9–11: N400—Part 5: Marriage History 9–11
Exhibit 9–12: N400—Part 6 9–12
Exhibit 9–13: N400—Part 7: Questions 1 to 10 9–14
Exhibit 9–14: N400—Part 7: Questions 11 to 15 9–15
Exhibit 9–15: N400—Part 8: Plus Details of Crime 9–15
Exhibit 9–16: N400—Part 9 9–17
Exhibit 9–17: N400—Part 10 9–18
Exhibit 9–18: N400—Signature 9–20
Exhibit 9–19: G28 Form 9–21
Exhibit 9–20: Attorney Search Results 9–22
Exhibit 9–21: Required/Provided Evidence 9–23
Exhibit 9–22: Other 9–24
Exhibit 9–23: Details 9–25
Exhibit 9–24: N400 Data Entry With Lead Applicant List 9–26
Exhibit 9–25: N400 Data Entry—Warning 9–27
Exhibit 9–26: Update Application 9–28
Exhibit 9–27: Find Application 9–29
Exhibit 9–28: Group Management Options 9–30
Exhibit 9–29: Add Group Definition 9–30
Exhibit 9–30: Add Group Description 9–31

Exhibit 9–31: Group Information 9–32
Exhibit 9–32: Application ID to Add 9–33
Exhibit 9–33: Group ID 9–33
Exhibit 9–34: Group ID 9–34
Exhibit 9–35: Group Selection 9–34
Exhibit 9–36: Group Information 9–35
Exhibit 9–37: Label Printing 9–36
Exhibit 9–38: I881 Button 9–37
Exhibit 9–39: I881 Menu Options 9–37
Exhibit 9–40: I881 Data Entry Options 9–38
Exhibit 9–41: Application ID for I881 9–39
Exhibit 9–42: I881—Part 1 9–39
Exhibit 9–43: I881—Part 2 9–41
Exhibit 9–44: I881—Part 2 With Relative Fields 9–42
Exhibit 9–45: I881—G28 9–43
Exhibit 9–46: Attorney Search Results 9–44
Exhibit 9–47: Required/Provided Evidence 9–45
Exhibit 9–48: Evidence—Other 9–46
Exhibit 9–49: Evidence—Details 9–47
Exhibit 9–50: I881 Data Entry With Applicant List 9–48
Exhibit 9–51: I881 Data Entry Warning 9–49
Exhibit 9–52: Update Application 9–50
Exhibit 9–53: Find Application 9–51
Exhibit 9–54: Label Printing 9–52
Exhibit 10–1: Reporting Button 10–1
Exhibit 10–2: CLAIMS Reports 10–1
Exhibit 10–3: CLAIMS Tracking Report Query Builder 10–2
Exhibit 10–4: Select Your Search Options 10–2
Exhibit 10–5: Report Function Options 10–3
Exhibit 10–6: Report Viewer 10–4
Exhibit 10–7: Export 10–5
Exhibit 10–8: Reporting 10–6
Exhibit 11–1: Notices Button 11–1
Exhibit 11–2: Notices Module Options 11–1

Exhibit 11–3: Notices Awaiting Creation 11–2
Exhibit 11–4: Priority Sets for NT Server 11–2
Exhibit 11–5: Batch Print Server 11–4
Exhibit 11–6: Print New Notices 11–4
Exhibit 11–7: Reprint Notices 11–5
Exhibit 11–8: Find Notice 11–6
Exhibit 11–9: Maintenance 11–7
Exhibit 11–10: Reset Oracle 11–8
Exhibit 11–11: Configure Batch Printers 11–8
Exhibit 11–12: Print Job Status 11–10
Exhibit 11–13: Prompt 11–10
Exhibit 11–14: Prompt 11–11
Exhibit 11–15: View Notice History 11–11
Exhibit 12–1: Case Management Button 12–1
Exhibit 12–2: Case Management Module Options 12–1
Exhibit 12–3: View Activity Queue 12–2
Exhibit 12–4: CLAIMS/CIS A-Number Resolution 12–3
Exhibit 12–5: CLAIMS/CIS Data Field Comparison 12–4
Exhibit 12–6: Batch Status Update 12–5
Exhibit 12–7: Directory Structure 12–6
Exhibit 12–8: Batch Status Update Error Log 12–7
Exhibit 12–9: Close Out Case 12–7
Exhibit 12–10: No-Show 12–9
Exhibit 12–11: Certificate Withheld 12–10
Exhibit 12–12: Change of Address 12–11
Exhibit 12–13: Address Change Petition 12–11
Exhibit 12–14: FBI Fingerprint Result 12–12
Exhibit 12–15: FBI Result—Adding New 12–13
Exhibit 13–1: Case Status Button 13–1
Exhibit 13–2: Case Status Module Options 13–1
Exhibit 13–3: Case Status Inquiry 13–2
Exhibit 13–4: Case Search 13–3
Exhibit 13–5: Case Status 13–3
Exhibit 13–6: Interview Schedule 13–4

Exhibit 13–7: Attorney Information 13–4
Exhibit 13–8: FBI Result 13–5
Exhibit 13–9: Pay Details 13–5
Exhibit 13–10: Label Printing 13–6
Exhibit 13–11: Case Status Printing Prompt 13–7
Exhibit 13–12: Select a Printer Prompt 13–7
Exhibit 14–1: System Maintenance Button 14–1
Exhibit 14–2: Location Profiles 14–2
Exhibit 14–3: Location Search Options 14–3
Exhibit 14–4: Location Look-Up List 14–4
Exhibit 14–5: Location Profile 14–5
Exhibit 14–6: Nature of Services 14–6
Exhibit 14–7: Location Address 14–6
Exhibit 14–8: Other Information 14–7
Exhibit 14–9: Branch Locations 14–7
Exhibit 14–10: Function Buttons 14–9
Exhibit 14–11: List of Service Locations 14–10
Exhibit 14–12: Service Location Maintenance 14–10
Exhibit 14–13: Participant Type Codes List 14–13
Exhibit 14–14: Participant Roles 14–13
Exhibit 14–15: Report Access Group Code for a Site 14–15
Exhibit 14–16: Report Data Profile—New Record 14–16
Exhibit 14–17: Report Data Profile—Edit/Delete Record 14–17
Exhibit 14–18: User Profile List 14–19
Exhibit 14–19: User Profile Record 14–20
Exhibit 14–20: Number Pool Profile Menu 14–22
Exhibit 14–21: APP_ID Maintenance 14–22
Exhibit 14–22: PAYMENT_ID Maintenance 14–23
Exhibit 14–23: EAD's A_NUMBER Maintenance 14–24
Exhibit 14–24: Naturalization Certificate Number Maintenance 14–26
Exhibit 14–25: List of Naturalization Certificate Numbers for the Location 14–26
Exhibit 14–26: List of INS Forms 14–28
Exhibit 14–27: INS Form Data—By Location 14–29
Exhibit 14–28: Table List 14–31

Exhibit 14–29: Table List With Selected Table 14–32
Exhibit 14–30: Table Look-Up Scan 14–33
Exhibit 14–31: Insert a New Record 14–34
Exhibit 14–32: Update a Record 14–35
Exhibit 14–33: Workflow Case Status—By Case 14–37
Exhibit 14–34: Workflow Case Status—Activity History 14–37
Exhibit 14–35: Workflow Activity Monitor 14–38
Exhibit 15–1: Workflow Admin. Button 15–1
Exhibit 15–2: Workflow Process Instance—Process Info 15–2
Exhibit 15–3: Workflow Process Instance—Pending Activities 15–3
Exhibit 15–4: Workflow Process Instance—Process History 15–4
Exhibit 16–1: Adjudications Button 16–1
Exhibit 16–2: Adjudications Module Options 16–1
Exhibit 16–3: Preview/Open 16–3
Exhibit 16–4: Application ID 16–5
Exhibit 16–5: Warning Message 16–5
Exhibit 16–6: N400 Information 16–6
Exhibit 16–7: Address Information 16–7
Exhibit 16–8: Attorney Information 16–9
Exhibit 16–9: Evidence/Background Information 16–10
Exhibit 16–10: Possible Evidence List 16–11
Exhibit 16–11: Error Message 16–12
Exhibit 16–12: Evids/Bkgds Screen Tabs 16–12
Exhibit 16–13: Relative Information 16–13
Exhibit 16–14: Edit Relative Information 16–13
Exhibit 16–15: Marriage Information 16–14
Exhibit 16–16: Edit Marital Information 16–15
Exhibit 16–17: Employer Information 16–16
Exhibit 16–18: Edit Employment Information 16–16
Exhibit 16–19: Other Names Information 16–17
Exhibit 16–20: Edit Alias Name Information 16–18
Exhibit 16–21: Eligibility Information 16–18
Exhibit 16–22: Selective Service Details 16–19
Exhibit 16–23: Arrest Information Details 16–20

Exhibit 16–24: Organization Information 16–20
Exhibit 16–25: Absences From the United States Information 16–21
Exhibit 16–26: Absence Reasons 16–22
Exhibit 16–27: Residential History Information 16–23
Exhibit 16–28: Edit Residential Address 16–23
Exhibit 16–29: Fingerprint Information 16–24
Exhibit 16–30: Edit Fingerprint Information 16–24
Exhibit 16–31: Modify Fingerprint 16–25
Exhibit 16–32: Edit Fingerprint Information 16–26
Exhibit 16–33: Save Options for Ordering New Fingerprints 16–26
Exhibit 16–34: 325 Information 16–27
Exhibit 16–35: Edit 325 Information 16–28
Exhibit 16–36: Modify 325 16–28
Exhibit 16–37: Edit 325 Information With Modification Fields 16–29
Exhibit 16–38: Save Options for Adjudications 16–30
Exhibit 16–39: Warning Message 16–31
Exhibit 16–40: Test Results 16–32
Exhibit 16–41: Test Center Test Results 16–34
Exhibit 16–42: Approval Choices 16–36
Exhibit 16–43: Adjudicator's Decision Notes 16–37
Exhibit 16–44: Decision Review Results 16–37
Exhibit 16–45: Oath Ceremonies 16–38
Exhibit 16–46: Continue Reasons 16–39
Exhibit 16–47: Adjudicator's Decision Notes Tab 16–40
Exhibit 16–48: Decision Review Results Tab 16–40
Exhibit 16–49: Continue With Intent to Deny Choices 16–41
Exhibit 16–50: Adjudicator's Decision Notes Tab 16–42
Exhibit 16–51: Decision Review Results Tab 16–43
Exhibit 16–52: Deny/Withdrawal/Admin. Close Choices 16–44
Exhibit 16–53: Sample Denial Due to Abandonment Warning Screen 16–44
Exhibit 16–54: Record of Administrative Close Options 16–45
Exhibit 16–55: Adjudicator's Decision Notes Tab 16–45
Exhibit 16–56: Decision Review Results Tab 16–46
Exhibit 16–57: Denial Choices 16–47

Exhibit 16–58: Denial Due to Abandonment General Warning 16–48
Exhibit 16–59: Payment Menu Option 16–49
Exhibit 16–60: Payment Menu Option 16–49
Exhibit 16–61: Confirmation Message 16–50
Exhibit 16–62: Failure to Appear for Fingerprinting Warning 16–50
Exhibit 16–63: Service Motion to Reopen and Reconsider 16–51
Exhibit 16–64: Adjudicator's Decision Notes Tab 16–52
Exhibit 16–65: Application ID 16–53
Exhibit 16–66: Interview Decision 16–53
Exhibit 16–67: Oath Decision 16–54
Exhibit 16–68: Save Options to Verify Grant 16–56
Exhibit 16–69: Case Review Screen With Undo Decision Icon 16–57
Exhibit 16–70: Save Options for Undo Prior (Last) Decision 16–57
Exhibit 16–71: Application History 16–58
Exhibit 16–72: Application List 16–58
Exhibit 16–73: Case Status 16–59
Exhibit 16–74: Name Change Petition 16–60
Exhibit 16–75: Application History 16–61
Exhibit 16–76: Prior Test Results List 16–61
Exhibit 16–77: Prior Adjudication Results List 16–62
Exhibit 16–78: Notices Options for Decision Notice 16–63
Exhibit 16–79: Case Status Inquiry 16–65
Exhibit 16–80: Options Menu Options—Preferences 16–66

This page is intentionally left blank.

INTRODUCTION

The Immigration and Naturalization Service (INS) developed the Computer-Linked Application Information Management System (CLAIMS) Version 4.0 to assist in the processing of applications related to naturalization or attaining U.S. citizenship. Designed to meet the sharp increase in naturalization applications over the past few years, CLAIMS—a reengineering of prior computerized naturalization systems—provides a more efficient and effective process for handling these cases. CLAIMS 4.0 makes use of newer and more efficient technology based on a graphical user interface (GUI). CLAIMS 4.0 enables the INS to process cases more efficiently by tracking each case through all aspects of the naturalization and citizenship process, from application submission to close out.

Purpose and Scope

This user manual provides an overview of CLAIMS 4.0 and its workflow process. It provides general information regarding CLAIMS 4.0 and detailed instruction on how to use CLAIMS 4.0 functions available at the INS service centers (SCs). A detailed description of the naturalization process using CLAIMS 4.0 is also provided. This manual also serves as a reference guide to the system functionality of CLAIMS 4.0 to aid INS representatives responsible for handling naturalization cases.

Organization

This user manual is divided into 16 sections. Section 1, Introduction, presents an overview of the CLAIMS 4.0 project, lists points of contact and reference documents, and describes primary business functions. Section 2, System Capabilities, describes the capabilities of CLAIMS 4.0. Section 3, Description of System Functions, provides a detailed description of each CLAIMS 4.0 function. The following sections contain step-by-step instructions for operating within CLAIMS 4.0: Section 4, Operation Procedures; Section 5, Error Handling; Section 6, CLAIMS 4.0 Online Help; Section 7, MailRoom Entry; Section 8, Finance; Section 9, Data Entry; Section 10, Reporting; Section 11, Notices; Section 12, Case Management; Section 13, Case Status; Section 14, System Maintenance; Section 15, Workflow Admin.; and Section 16, Adjudications.

Points of Contact

(b)(6)
(b)(6)

The primary point of contact is [redacted] Deputy Director Benefit Systems Division, [redacted]

Project References

The following references were used to create this user manual:

- Systems Development Life Cycle Manual, August 25, 1995, Volume II (CRY00.90000-02.F*0)

- Functional Requirements Document for CLAIMS 4, April 12, 2000 (NCY00.10000-00.DC1-EDS)

Primary Business Functions

The CLAIMS 4.0 reengineering project will eventually replace the Reengineered Naturalization Automated Casework System (RNACS) to more effectively support the naturalization process. The capabilities supported by CLAIMS 4.0 include MailRoom Entry, Data Entry, Finance, Scheduling, Case Management, Adjudications, Notices, Reporting, Document Production, Case Status, System Maintenance, and Workflow Admin. functions.

Acronyms and Glossary

Appendix A, Acronyms and Glossary, provides a list of the acronyms and terms used in this document. Appendix B, Report Descriptions, contains a list of reports accessible through the Reporting module of CLAIMS 4.0, together with a brief description of each report.

SYSTEM CAPABILITIES

CLAIMS 4.0 tracks cases and assists in processing applications for naturalization and citizenship. The system is capable of tracking a case from the time it enters the mailroom until the naturalization certificate is printed and given to the applicant and the case is closed out.

Purpose of CLAIMS 4.0

CLAIMS 4.0 provides the INS with an efficient and effective automated system to help with tracking and processing naturalization and citizenship applications. These applications are adjudicated by the INS in accordance with U.S. naturalization law. CLAIMS 4.0 serves as a repository of case data used at the local level to manage the naturalization caseload. CLAIMS 4.0 also provides statistics and composite profiles of naturalization activities at the national level.

General Description

CLAIMS 4.0 is divided into 12 modules. Exhibit 2–1, CLAIMS 4.0 Service Center Modules, lists the functions for the 10 modules used in the SCs.

Exhibit 2–1: CLAIMS 4.0 Service Center

Module	Functions
Mailroom Entry	The Mailroom Entry module of CLAIMS 4.0 allows users at INS SCs to clock in applications, assign each application a system-generated application ID number, and print the application ID number on a bar-code label. This module is also used to clock in, endorse, and assign payment ID numbers to payments included with applications.
Data Entry	The Data Entry module allows the user to enter application information into CLAIMS 4.0. At present, data from the N400 Application for Naturalization and the I881 Application for Suspension of Deportation can be entered. Groupings of applicants can also be created and updated in the Data Entry module.
Finance	The Finance module is used to process payments and perform accounting functions in CLAIMS 4.0. Payments are recorded using the Payment option of the Finance module. The Cash Box option is used to reconcile and audit payment accounts.
Notices	The Notices module is used to print or reprint notices created to inform applicants of scheduled appointments and the status of their applications. This module allows users to view a list of notices that are waiting to be created, to search for a notice by application ID, and to view a list of previously printed notices for an individual application. Users can also view the status of print jobs, reset print jobs, and configure printers using

Module	Functions
	this module.

Exhibit 2–1: CLAIMS 4.0 Service Center (continued)

Module	Functions
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.
Case Management	The Case Management module is used to resolve data discrepancies between CLAIMS 4.0 and the Central Index System (CIS), to update case and address information, and to add Federal Bureau of Investigation (FBI) fingerprint information for an individual case or a group of cases.
Case Status	The Case Status module enables users to view case information. This module displays all past workflow activities through which a case has progressed as well as the current status of the case.
System Maintenance	The System Maintenance module enables a system administrator (SA) to assign individual user privileges and determine local maintenance settings.
Workflow Admin.	The Workflow Admin. module enables an SA to monitor and reset activities for a case.

Privacy Act Considerations

The CLAIMS 4.0 automated data processing (ADP) system captures and processes non-U.S. citizen data that are sensitive-but-unclassified information about individuals. You must access CLAIMS 4.0 with a user identification (ID) and a unique password. This information is covered by the Privacy Act and, therefore, must be protected against disclosure and tampering. The criminal penalties are as follows:

- Any officer or employee of an agency, who by virtue of employment or official position, has possession of, or access to, agency records which contain individually identifiable information, the disclosure of which is prohibited by U.S. Code Section 552a or by rules or regulations established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.
- Any officer or employee of any agency who willfully maintains a system of records without meeting the requirement to publish a notice in the Federal Register regarding the existence and character of the system of records, shall be guilty of a misdemeanor and fined not more than $5,000.
- Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000.

Graphical User Interface

CLAIMS 4.0 operates in the Windows 95 system environment. Windows 95 supports a GUI that enables you to perform CLAIMS 4.0 operations in a user-friendly environment by using menus, icons, and dialog boxes. It also employs mouse and keyboard commands. Exhibit 2–2, Operating Environment Functions, lists the terms used to describe functions within the Windows 95 operating environment referred to in this manual.

Exhibit 2–2: Operating Environment Functions

Term	Definition
Cascade	Overlapping arrangement of open windows displaying the title bar of each
Click	Single tap on a mouse button
Click and drag	Click on an object and hold down the left mouse button while moving the mouse to move or copy the selected object to another location
Clipboard	Temporary memory used to transfer data from one application to another or within the same application
Close	Click on the Close icon, ■, in the title bar to close either the current file or window or exit the current application or module
Cursor	Standard pointer: Appears when the cursor is over an object or button for launching an application or performing a function I "I" beam: Appears when the cursor is over a location where text may be entered Hour glass: May appear when the central processing unit (CPU) is processing or performing a function
Desktop	Workspace screen area containing programs and icons
Dialog box	Message window containing options required to perform a selected command
Disk	Medium on which electronic data can be stored and retrieved
Diskette	Removable or portable medium on which electronic data can be stored and retrieved
Double click	Two taps on a mouse button in rapid succession; often used to start a program or to open a folder
Folder	graphical representation of a container that stores files; also a directory
Folder tab	Top portion of the folder that carries the name of that folder
Hard drive	Disk inside a CPU to which data can be stored or retrieved at a single workstation; often referred to as the C:\ drive
Icon	Graphical image used to represent an application, for example, , or a function, for example, (Save). Clicking or double clicking on an icon activates the associated application or performs a function within an application

Exhibit 2-2: Operating Environment Functions (continued)

Term	Definition
Insertion point	Vertical flashing line, " | ", to indicate the point within a textual document or a field where the user may enter information
Keyword	Word or term used to search for related topics
Maximize	Click on the Maximize icon, [redacted], in the title bar to expand the current window to fill the entire screen
Menu bar	Horizontal list of choices located below the title bar in a window
Menu	List of command options for a specific program or application
Minimize	Click on the Minimize icon, [redacted], in the title bar to reduce the current window to a button in the Windows Taskbar without closing the application
Notepad	Windows application used to create or edit text files of less than 64KB in text-only format
Paint	Windows application used to create, modify, or view pictures (replaces Paintbrush from Windows Version 3.1)
Point	Position cursor over a screen object
Print queue	List of documents pending printing indicating size, originator, and status of the print job
Pull-down list	Field containing a list of items to be selected from by clicking the downward pointing arrow, [redacted]
Radio button	Button used to select only one of several available options, for example, [redacted]
Restore	Click on the Restore icon, [redacted], in the title bar to return the current window to its original size
Right click	Single tap on the right mouse button
Scroll bar	Gray bar that contains arrows at either end for moving the items within a window into view located vertically on the right side of a window or horizontally across the bottom of a window [redacted]
Shortcut menu	Click the right mouse button on a file or folder to display a menu with the most frequently used commands for the file or folder
Start	Button on one side of the taskbar used to open programs or documents and to restart or shut down the computer [redacted]
Submenu	Menu within a main menu; accessed by choosing an item with a right arrow (**Open** ▸) to the side of it that contains specific programs, files, or groups
Taskbar	Gray section on the bottom edge of the screen containing the Start button, buttons for other applications or modules currently running, a clock, and icons to access other custom accessories [redacted]

Exhibit 2–2: Operating Environment Functions (continued)

Term	Definition
Text	Characters, including letters, numbers, and symbols typed into a document
Text file	File containing characters only with no formatting
Tile	Arrangement of all open windows dividing the screen into equal-sized sections
Title bar	Bar across the top of a window indicating the application or file name contained within the window [redacted]
Toolbar	Bar with buttons that perform the most common tasks in an application with a single click [redacted]
Tooltips	Pop-up text field that appears when the cursor is moved over a toolbar button; the text usually relates to the menu item name that performs the same function [redacted]

This page is intentionally left blank.

DESCRIPTION OF SYSTEM FUNCTIONS

The subsequent sections describe the functions of each CLAIMS 4.0 module used in the SCs.

Mailroom Entry

Detailed Description of Mailroom Entry

Users can perform the following activities in the Mailroom Entry module:

- Acknowledge that an application has been received in the mailroom
- Print labels for identifying physical application files
- Enter and adjust the date and time the application was received
- Generate an application ID, which is used to track the case throughout the naturalization process
- Indicate whether payment was included
- Endorse a payment and generate a payment ID
- Void a label created by mistake
- Reprint a label that printed incorrectly
- Record additional remittances submitted by an applicant in response to a deficient payment notice
- Change the status of new remittances and allow for payment processing

Prerequisites for MailRoom Entry

The following prerequisites are necessary to perform the activities in the Mailroom Entry module:

- The application paperwork must be physically received in the mailroom.
- I881 applications must complete a prescreening process before being entered into CLAIMS 4.0.
- A payment, waiver, or evidence that a payment was received elsewhere, must accompany the application.
- To void or reprint a label, an application ID must be generated.

Results of Mailroom Entry

The following results occur upon completion of the Mailroom Entry module:

- All cases entered are assigned an application ID number.

All cases entered are marked with the correct clock-in date and time.
All cases for which payment has been remitted are assigned a payment ID number.
Any labels that needed to be voided are voided.

- Any labels that needed to be reprinted are reprinted.

Finance

Detailed Description of Finance

Users can perform the following activities in the Finance module:

- Record lists of payments according to payment ID

Reconcile computerized payment lists with tallied lists of checks
Transfer payment accounts to another user
Audit reconciled payment accounts
Record bounced checks
Request Invalid Payment notices
Print cash box labels

- Override CLAIMS 4.0 to accept eligible insufficient payments

Prerequisites for Finance

The following prerequisites are necessary to perform the activities in the Finance module:

- A payment must be received and clocked in the mailroom.

A payment ID must be generated for the payment.

- The payment must be endorsed.

Results of Finance

The following results occur upon completion of the Finance module:

- All payments received with applications are recorded into CLAIMS 4.0 according to payment ID.
- The amounts of payments recorded are reconciled against a tally of actual payments.
- All reconciled accounts are audited and accepted.

Data Entry

Detailed Description of Data Entry

Users can perform the following activities in the Data Entry module:

- Enter an N400 or I881 application
- Update an application within 24 hours of initial data entry
- View an application history
- Create or modify groups of applicants for N400 applications
- Use the Find command to search for and open an application

Prerequisites for Data Entry

The application must complete the Mailroom Entry process before the activities in the Data Entry module can be performed.

Results of Data Entry

The following results occur upon completion of the Data Entry module:

- The application information is entered into CLAIMS 4.0 and saved.
- Users are able to view a case history.
- I881 applications are transferred to the Refugee, Asylum, and Parole System (RAPS) for further processing.

Notices

Detailed Description of Notices

Users can perform the following activities in the Notices module:

- View a list of notices that are waiting to be created

View the notice history of an application

- Print individual notices or batch print notices sorted by type or location

Prerequisites for Notices

The following prerequisites are necessary to perform activities in the Notices module:

- An applicant must be scheduled for fingerprinting, an interview, or an oath ceremony (OC).
- The user must have the appropriate authorization to view or print the notice or to run batch print jobs.
- An action or decision that warrants a notice to be printed and mailed to the applicant must occur and be recorded in CLAIMS 4.0.

Results of Notices

The following results occur upon completion of the Notices module:

- All standard notices are generated.
- All customized notices are created and generated.
- All printed notices are stored electronically.

- All printed notices are addressed to applicants and other designated parties, such as applicants' attorneys or representatives.

Reporting

Detailed Description of Reporting

The following CLAIMS 4.0 reports can be generated in the Reporting module:

- Standardized
Management
Workflow
- Ad hoc

Prerequisites for Reporting

The following prerequisites are necessary to generate reports in the Reporting module:

- A printer must be available and defined to the user's configuration.
The user must have the appropriate authorization to run a specific report.
- The user must enter the criteria upon which the report is to be based.

Results of Reporting

CLAIMS 4.0 reports are printed to the default printer upon completing the Reporting module.

Case Management

Detailed Description of Case Management

Users can perform the following activities in the Case Management module:

- Update a case or cases with the most current information or action
- Close a case or group of cases by performing either an OC Close Out or an Administrative Close Out
- Record no-shows for interviews or OCs
- Record that naturalization certificates have been withheld from one or more applicants
- Record a change of address for an individual case
- Record fingerprint results for an individual case

Prerequisites for Case Management

A case must complete the Mailroom and Data Entry processes before the activities in the Case Management module can be performed.

Results of Case Management

The following results occur upon completion of the Case Management module:

- All information received on cases is updated.
- All actions performed on cases are recorded.
- All no-shows are recorded.
- All cases that needed to be closed out are closed out using one of the following types of close-out procedures:
  - OC
  - Administrative
- All certificates withheld are recorded.
- The mailing and/or residential address is updated for a case.
- Fingerprint results are updated for a case.

Case Status

Detailed Description of Case Status

In the Case Status module, users can search for case information located in CLAIMS 4.0 using the following search options:

- Search by personal information
- Search by mailing address
- Search by attorney
- Search by other information
- View a case status and history
- View scheduled appointments, attorney information, fingerprint results, and payment information for a case

Prerequisites for Case Status

A case must complete the Mailroom and Data Entry functions before the activities in the Case Status module can be performed.

Results of Case Status

The following results occur upon completion of the Case Status module:

- Searches for cases using one or more types of search criteria are performed.
- Case status and history screens are viewed.
- Scheduled appointments, attorney information, fingerprint results, and payment information for a case are viewed.

System Maintenance

Detailed Description of System Maintenance

Users can perform the following activities in the System Maintenance module:

- Set up a location profile (that is, general information, address, nature of services, jurisdiction information, and branch sites)
- Identify the services offered at the location
- Assign certificate numbers and alien numbers (A-Numbers) to be used by the location
- Set up user access privileges to CLAIMS 4.0
- View the workflow process of an application and identify where the selected application is within the process
- View the history of an application
- Set up user profiles
- Set up default operational procedures for processing INS forms
- View and browse database tables (editing or deleting tables requires specific access privileges)
- Form community-based organization (CBO) groups

Prerequisites for System Maintenance

The user must have SA access privileges to perform activities in the System Maintenance module.

Results of System Maintenance

The user will accomplish the following upon completion of the System Maintenance module:

- A location for service is set up.
- User profiles and access privileges are assigned.
- An application's history and status within the workflow process are viewed.
- Database tables (edited or deleted tables if access privileges allow) are viewed.

Workflow Admin.

Detailed Description of Workflow Admin.

Users can perform the following activities in the Workflow Admin. module:

- View the current workflow processing status of an application or a payment
- View all the workflow activities that a case is awaiting or that are currently active
- Reset an activity status to inactive, suspended, canceled, or error
- View merging points (special internal workflow activities)
- View a history of all states of all workflow activities for a case

Prerequisites for Workflow Admin.

The user must have SA access privileges to perform activities in the Workflow Admin. module.

Results of Workflow Admin.

The user will accomplish the following upon completion of the Workflow Admin. module:

- Current workflow status of an application or payment is viewed.

The workflow activities that are currently active or that a case is awaiting are reviewed.
An activity is reset to inactive, suspended, canceled, or error.
Merging points are viewed.

- A history of all states of all workflow activities for a case are viewed.

This page is intentionally left blank.

OPERATION PROCEDURES

The procedures for CLAIMS 4.0 include the following basic operations:

- Logging on to CLAIMS 4.0
- Using the menus and toolbars
- Using the mouse and keyboard to navigate within CLAIMS 4.0
- Terminating and restarting operations

Launching CLAIMS 4.0

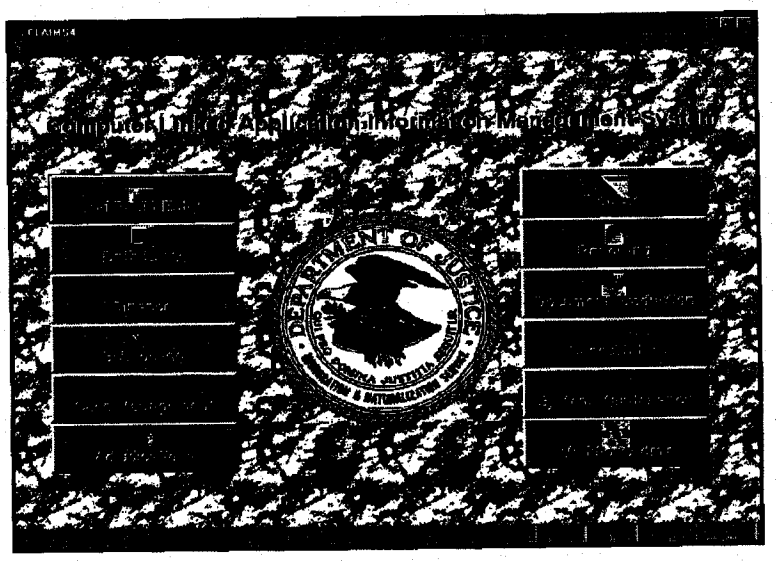
If your computer is powered down, perform the following steps:

1. Turn on the computer.
2. Log on to the local area network (LAN).

To launch and log on to CLAIMS 4.0, perform the following steps:

1. Double click on the CLAIMS 4.0 icon displayed on the desktop: .
2. Enter the appropriate user ID, and press T.
3. Enter the password, and click . The CLAIMS 4.0 main menu screen (Exhibit 4–1, CLAIMS 4.0 Main Menu) appears.
4. Click the appropriate button to enter the desired module of CLAIMS 4.0.

Exhibit 4–1: CLAIMS 4.0 Main Menu


CLAIMS4
Computer Linked Application Information Management System
DEPARTMENT OF JUSTICE

Using CLAIMS 4.0

CLAIMS 4.0 incorporates many Windows 95 features that make system navigation easy. Each module of CLAIMS 4.0 has a menu bar that contains command options. The command options can be selected by using the mouse or the keyboard. The CLAIMS 4.0 screens also have toolbars that access many of the system's functions.

Menu Commands

All program windows have a menu bar on which user commands can be found. Although this manual deals primarily with using toolbar buttons to perform commands, the same commands can also be executed by using the menu bar. The menu bar is located below the title bar of the active window and above the toolbar buttons. The names of available commands appear on the menu bar.

To access commands from the menu bar using the mouse, follow these guidelines:

- Click on the name of the menu to be opened. A drop-down command menu appears.
- Click on the appropriate command. Some commands lead to submenus. If a submenu appears, click on the desired command within that submenu.

To access commands from the menu bar using the keyboard, follow these guidelines:

- Press and hold A. Press the key that corresponds with the underlined letter in a menu bar item to display the drop-down menu.
- Continue by pressing A again and the underlined letter of the desired command, or use t and b on the keyboard to move up and down that menu's commands. When the desired option is highlighted, press R.
- To exit a drop-down menu without selecting a command, press E, or move the cursor away from the drop-down menu.

Navigation

All functions within each CLAIMS 4.0 module can be accessed from the toolbar using the mouse or with shortcut keys using the keyboard. The left mouse button is the primary button used when navigating with the mouse and is used for most point-and-click commands.

To navigate using the mouse, follow these guidelines:

- To place text in a field, move the cursor to the desired field, and click in the field.
- To activate a button, move the cursor to the desired button, and click the button.
- To access a pull-down list, click the downward pointing arrow m, and select the desired option.

To navigate using the keyboard, follow these guidelines:

- To activate a button, press T until the button is framed by a dotted outline, and press R.
- To move forward from screen to screen, press and hold C, and press T.
- To move forward from field to field, press T.
- To move backward from field to field, press and hold S, and press T.
- To access a pull-down list (identified by a m to the right of a field), use t and b on the keyboard to move through the list until the desired option is highlighted, and press T.
- To check a box, tab to the field, and press the space bar.

Ellipsis Buttons

Some of the fields in CLAIMS 4.0 are linked to tables that contain a list of valid entries for that field. When the cursor is in such a field, an [redacted] (ellipsis) button appears. To access a window that displays a list of entries, click [redacted], or press @. When the window appears, click the desired entry, and click [redacted]. The entry is placed in the appropriate field.

System Settings and Password

The Security option on the menu bar of the CLAIMS 4.0 switchboard allows users to modify system settings and change passwords (Exhibit 4–2, Security Menu).

Exhibit 4–2: Security Menu

[redacted]

Perform the following steps to change system settings for CLAIMS 4.0 (**Note:** Only SAs should change system settings. Please consult your SA before modifying any of these values.):

1. Select System Settings from the Security menu. The System Settings screen opens (Exhibit 4–3, System Settings).

Exhibit 4–3: System Settings

2. Click on a folder to see the specific settings that can be modified. (Exhibit 4–4, System Setting With Value Selected)

Exhibit 4–4: System Setting With Value Selected

3. Each key represents a system setting that can be changed. Click on a key to modify the setting. When a key is selected, its setting appears in the Current Value field (Exhibit 4–4).
4. To change the setting, type a new value in the New Value field and click [redacted].
5. After making all necessary changes, click the [redacted] control button to close the system settings window and return to the main menu.

Perform the following steps to change your CLAIMS 4.0 password:

1. Select Change Password from the Security menu (Exhibit 4–5, Change Password).

Exhibit 4–5: Change Password

[redacted]

2. Enter the current password in the Old Password field and press T.
3. Enter the new password in the New Password field and press T.
4. Enter the new password again in the Verify New Password field.
5. Click [redacted].
6. Click [redacted] at any time to exit the Change Password screen and return to the CLAIMS 4.0 main menu screen.

Entering an Application ID

Whenever a process requires entering the application ID, the nine-digit number either can be entered into the system manually, or the bar code, which contains the application ID, can be scanned.

Exit/Restart CLAIMS 4.0

To exit from the application using the menu bar, select Exit from the File menu. To exit from the application using the command button, click the [redacted] in the right side of the title bar.

To restart the application, refer to Section 4.1, Launching CLAIMS 4.0.

This page is intentionally left blank.

ERROR HANDLING

Perform the following steps if a system failure or error occurs while performing an activity in CLAIMS 4.0:

1. Log off, and then log on to CLAIMS 4.0. Access the module where the system failure or error occurred. The Unfinished Activities window (Exhibit 5–1, Unfinished Activities) appears.

Exhibit 5–1: Unfinished Activities

[redacted]

   a. To reset all activities, click [redacted].
   b. To reset a specific activity, perform the following steps:
      1) Click on the activity in the list.
      2) Click [redacted].
   c) To close the screen, click [redacted].
2. Repeat the steps that were being performed when the system failure or error occurred. If the error occurs again, go to Step 3.
3. Report the problem to the SA. If the SA cannot help or is unavailable, go to Step 4.
4. Report the problem to the CLAIMS 4.0 help desk at [redacted] After business hours, call an emergency pager number [redacted]

(b)(2)
(b)(2)

This page is intentionally left blank.

CLAIMS 4.0 ONLINE HELP

Online help is available at all times in CLAIMS 4.0. The subsequent sections outline the several methods available to access the Help module in CLAIMS 4.0. All available Help topics are identified as hotspots (green, underlined text). To access a topic, click on a hotspot. Information about the topic appears. If the topic is broad, a list of subtopics appears. To view the Help topics in order, click the >> button to view the next topic, or click the << button to view the previous topic. Click [redacted] to view previously viewed topics in the order reviewed.

Using Context-Sensitive Help

Context-sensitive help provides information about fields and buttons throughout CLAIMS 4.0. To access context-sensitive help, place the cursor over a field or button, and press 1. Information about the use and function of the field or button appears.

Accessing Help Using the Contents Topic List

The Help Contents Topic list is an index list of topics available within the current module. Clicking on a topic hotspot displays a pop-up window containing the related information. There are three ways to access a Help Contents Topic list, as follows:

- Click the [redacted] (Help) button in the toolbar of any module, if available.
  Select Contents from the Help menu.
- From within a Help topic, click the Help Topics button at the top of the topic window.

Once in the Help Contents Topic list, click a topic hotspot to view a related topic. Information about the topic or, if the topic is broad, a list of subtopic hotspots appears. Continue to click on hotspot topics until the required information is found.

Searching or Finding Help Topics

The Help Find search tool uses an alphabetical list of topics available in the Help system for the current module. The two methods to perform a search are as follows:

- Select Search for Help on... from the Help menu.
- Click on the Find tab from the Index window.

The Find window, which provides an in-depth list of terms and topics covered in the Help system for this module, appears. To use the Find window, enter the term or phrase in the first field in the window. A list containing the topics most closely matching the entry appears. Click on the desired topic. A list containing all available topics and related topics appears. Select a topic by clicking on it. Then click [redacted] to view the related topic.

Using Help Index

The Help Index tool uses a more extensive list of terms than is available in the Find tool. The list of terms may include abbreviations or terms similar in wording (for example, A-Number and Alien Number).
To access the Index tool, select Index from the Help menu. The Index window listing terms and topics covered in the Help system for this module appears. To use the Index window, enter in the field provided the term or phrase you are looking for. The list below automatically scrolls to the topic most closely matching the entry. Click [redacted] to view the related information. If a list of topics appears in the Index window, click on the desired topic, and click [redacted]. Information for the selected topic appears.

Using the CLAIMS 4.0 Help Navigator

The Help Navigator provides a graphical map of the main Help system for CLAIMS 4.0. The map identifies the topic currently being viewed and provides access to other topics within the Help system.

To use the navigator, access the Contents topic, and click on the CLAIMS hotspot. Once in the CLAIMS Help system, click on the CLAIMS Navigator hotspot or icon to view the map. Use the map buttons or the hotspots in the Help topic to view the desired topic. To close the Help Navigator, click [redacted] at the top of the map window.

Using the Glossary

The glossary is a component of the main Help system. The glossary contains definitions of nonsystem terminology and acronyms related to INS naturalization processes.

To use the glossary, access the Contents topic, and click [redacted] at the top of the Help topic window. A list of terms and acronyms appears. Click on the desired hotspot to view information on the term chosen. The glossary is available from the Contents topic and all topics under the CLAIMS hotspot in the Contents topic. To return to the previous topic viewed, click [redacted] at the top of the topic window. Continue clicking [redacted] until the desired topic appears.

MAILROOM

The Mailroom module of CLAIMS 4.0 allows users to acknowledge the receipt of applications and payments. When an application is received at an INS SC, it is clocked in, assigned a system-generated application ID number, and a bar-code label is printed. If a payment is included with the application, it is clocked in, endorsed, and assigned a payment ID number. The check or money order is endorsed using a franker that is connected to the computer.

Note: When an incorrect payment is received with an application, do not continue processing. Under current INS policy, the payment and application must be returned to the applicant.

Click the MailRoom Entry button (Exhibit 7–1, Mailroom Button) in the Main Menu screen to enter the Mailroom module.

Exhibit 7–1: Mailroom Button

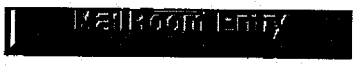


Exhibit 7–2, Mailroom Module Options, lists the available options in the Mailroom module.

Exhibit 7–2: Mailroom Module Options

Title	Icon	Description
Print Labels/ Transfer Payments		Generates an application ID number and prints a label for an application; when payment is included with the application, this option endorses checks and generates a payment ID
Correct Payment		Adds additional remittances to a deficient payment that was processed previously
Void Application		Voids an application ID when the application ID has not yet been data entered and associated payments have not been processed
Adjust Date		Adjusts the mailroom received date and time
Reprint Labels		Reprints a label when an error occurs
Test Labels Printer		Generates a test label to verify that the bar-code printer is working correctly
Test Check Franker		Allows user to verify that the check franker is working correctly

Print Labels/Transfer Payments

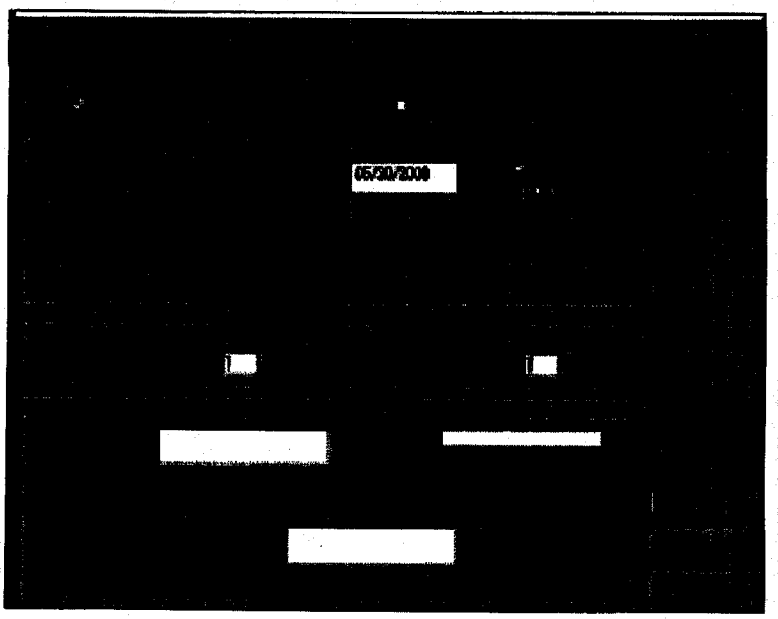
The Print Labels option is used to record the receipt of applications and payments. An application ID is generated during this process and printed on a label. If a payment is included with the application, a payment ID is also generated and the payment ID is printed on the application ID label. A check printer, known as a franker, is used to endorse and print a payment ID on the back of the check/money order.

Note: If the payment ID is not printed correctly during the endorsement process, manually enter the payment ID on the back of the check or money order.

To record the receipt of an application with payment, perform the following steps:

1. Click the (Print Labels/Transfer Payments) toolbar button to access the Print Labels screen (Exhibit 73, Print Labels).

Exhibit 7–3: Print Labels



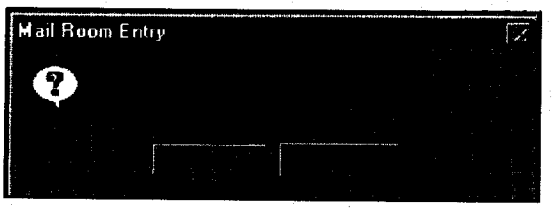
2. Click on the radio button.
3. In the Mail Deliver Date/AM-PM section, enter the date the application was received in the mailroom or click to select the date from a calendar.
4. Click on the or radio button to indicate the time of day the application was received.

5. Click z or m in the Number of Applications field to indicate the number of applications covered by the payments.
6. Click z or m in the Number of Remittances field to indicate the number of remittances received.
7. Click [redacted]. A system-generated application ID number is printed on a label. The application ID appears in the Application IDs field in the Last Printed section, and a confirmation window appears.
8. If the labels have printed correctly, click [redacted], otherwise click [redacted] to reprint.

   Note: If multiple applications are received with a single payment, a window with a prompt to confirm the print request appears. A separate application ID is generated for each application, and separate labels are printed. Each application ID number generated appears in the Application IDs field in the Last Printed section.
9. Insert the check or money order into the franker, and click [redacted]. The check or money order is endorsed, and a system-generated payment ID is printed on its reverse side. The payment ID appears in the Payment ID field in the Last Printed section.

   Note: If an application with multiple remittances is received, a window with a prompt to confirm the print request appears. A single payment ID is generated, and each remittance is assigned a sequence number. The payment ID is printed on the reverse side of each check or money order, followed by the sequence number in parentheses.
10. To transfer payment IDs for further processing, click [redacted]. The payment IDs appear in the Ready for Transfer section, and a confirmation window (Exhibit 7–4, Confirmation Window) appears.

Exhibit 7–4: Confirmation Window



11. Click [redacted] to confirm the transfer and return to the Print Labels screen.
12. Click [redacted] to return to the Mailroom main menu screen.

To record the receipt of an application only, perform the following steps:

1. Click the [redacted] (Print Labels/Transfer Payments) toolbar button to access the Print Labels screen (Exhibit 73).

2. Click the [redacted] radio button.
3. Enter the receipt date of the applications.
4. Click the [redacted] or [redacted] radio button to indicate the time of day the applications was received.
5. Click z or m in the Number of Applications field to indicate the number of applications received.
6. Click [redacted]. The system-generated application ID number is printed on a label. The application ID appears in the Application IDs field in the Last Printed section.

   Note: If more than one application is being processed, a separate application ID is generated for each, and separate labels are printed. Each application ID number generated is displayed in the Last Printed section of the Print Labels Screen.
7. Click [redacted] to return to the Mailroom main menu screen.

Correct Payment

The Correct Payment option is used to record additional remittances submitted by an applicant in response to a notice that previous payments were deficient. The additional remittance is assigned the same payment ID as the original payment and given a new sequence number.

Note: Data Entry must be completed for an application before a payment correction can be made.

To correct a payment, perform the following steps:

1. Click the [redacted] (Correct Payment) toolbar button to access the Correct Payment window (Exhibit 7–5, Correct Payment).

Exhibit 7–5: Correct Payment

[redacted]

2. Enter the application ID and click [redacted] to add the application ID to a list.
3. To add additional application IDs to the list, repeat Step 2.
4. To remove an application ID from the list, perform the following steps:
   a. Click on one of the application IDs in the list.
   b. Click [redacted].
5. In the Number of Remittances field, click m or z to indicate the number of additional remittances.

6. Click . A prompt appears to insert the checks in the franker.
7. Insert the check into the franker and click .
8. Click to return to the Mailroom main menu screen.

Void Application

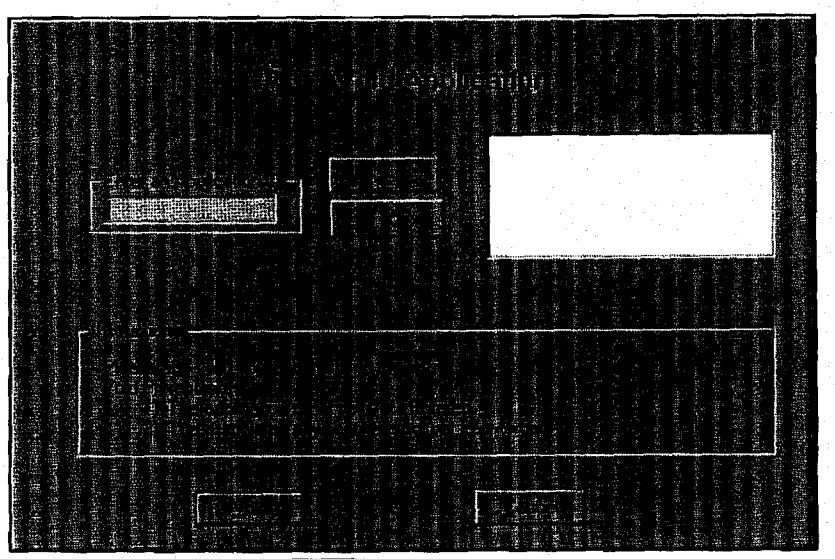
If a mistake was made on a generated label, the label and application ID can be voided using the Void Application option. This option allows multiple application IDs to be voided at one time.

Note: Applications cannot be voided after they have been data entered or after payments associated with them have been pay merged.

To void labels/application IDs, perform the following steps:

1. Click the (Void Application) toolbar button to access the Void Application window (Exhibit 7–6, Void Application).

Exhibit 7–6: Void Application



2. Enter an application ID and click to add the application ID to the list box.
3. To add additional application IDs to the list, repeat Step 2.
4. To remove an application ID from the list, perform the following steps:
   a. Click on the application ID in the list.
   b. Click .

5. When the list of applications to be voided is complete, click . A confirmation window appears.
6. Click to confirm the void. A second confirmation window appears.
7. Click .
8. Click to return to the Mailroom main menu screen.

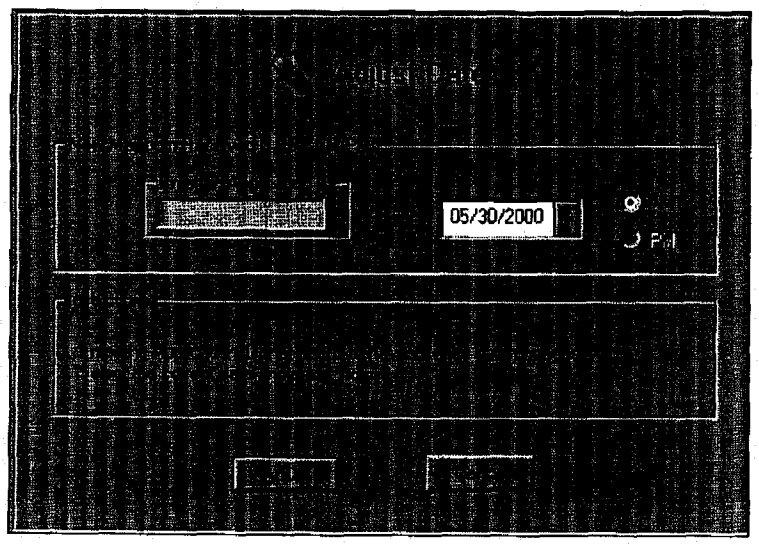
Adjust Date

The Adjust Date option allows users to adjust the application receipt date and time if an application received at an INS location is not clocked in and data entered within the expected time frame, or if the receipt date needs to be moved forward.

To adjust the application receipt date, perform the following steps:

1. Click the (Adjust Date) toolbar button to access the Adjust Date window (Exhibit 7–7, Adjust Date).

Exhibit 7–7: Adjust Date



2. Enter an application ID in the New Mail Delivery Date/AM-PM section.
3. Enter the date the application was received in the mailroom or click to select a date from the calendar.

4. Click on the or radio button to indicate the time of day the application was received.
5. Click . The initial application date and time recorded during Mailroom is adjusted and a confirmation window appears.
6. Click to confirm the adjustment. A second confirmation window appears.
7. Click .
8. Click to return to the Mailroom main menu screen.

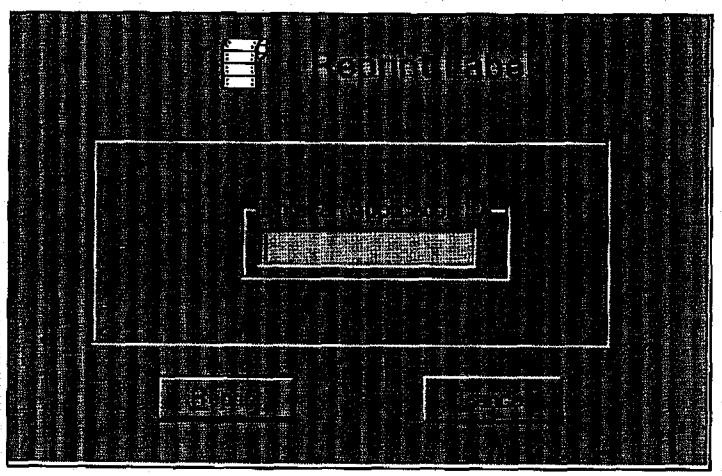
Reprint Labels

If a label prints incorrectly, it can be reprinted using the Reprint Labels option. This option allows only one reprint request to be entered at a time.

To reprint a label, perform the following steps:

1. Click the (Reprint Labels) toolbar button to access the Reprint Label window (Exhibit 7–8, Reprint Label).

Exhibit 7–8: Reprint Label



2. Enter the application ID and click . A confirmation window (Exhibit 7–9, Confirmation Window) appears stating that the bar-code label has been sent to the printer.

Exhibit 0–9: Confirmation Window

3. Click to confirm the print request.
4. Click to return to the Mailroom main menu screen.

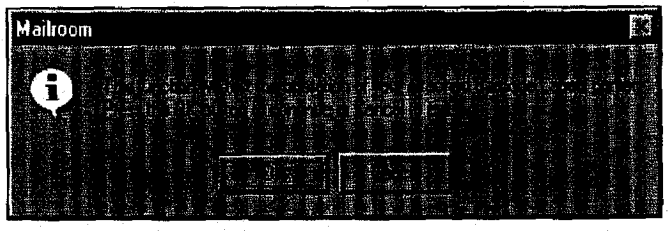
Test Labels Printer/Test Check Franker

The test options are used to verify that the bar-code printer and franker are working correctly. When the Test Labels Printer option is selected, a sample label is generated from the printer. When the Test Check Franker option is selected, a blank piece of paper can be inserted into the check franker to verify that the franker is working correctly.

To test the labels printer, perform the following steps:

1. Click the (Test Labels Printer) toolbar button. A confirmation request box appears (Exhibit 7–10, Confirmation Request).

Exhibit 7–10: Confirmation Request



2. Click . A Test Complete confirmation window appears.
3. Click to return to the Mailroom screen.
4. If a label is not printed, verify that the printer is turned on and that all connections are secure. Return to Step 1. If a label still does not print, call an SA.

To test the check franker, perform the following steps:

1. Click the (Test Check Franker) toolbar button. A confirmation request window appears with a prompt to insert a test check (Exhibit 7–11, Test Check Request)

Exhibit 7–11: Test Check Request

2. Click . A Test Complete confirmation window appears.
3. Click to return to the main screen.
4. If the test check is not franked, verify that the franker is turned on and that all connections are secure. Return to Step 1. If a check still cannot be franked, call an SA.

This page is intentionally left blank.

FINANCE

After a payment has been received in the Mailroom, clocked in, and assigned a payment ID number, the payment information needs to be entered into CLAIMS 4.0 through the Finance module. Users enter payment amounts into electronic cash boxes identified with their user IDs and locations. After entering all payments into a cash box, a user must reconcile the cash box with the actual payments received. The cash box must then be audited to complete the finance process.

Click the Finance button (Exhibit 8–1, Finance Button) in the CLAIMS 4.0 Main Menu screen to enter the Finance module.

Exhibit 8–1: Finance Button

Exhibit 8–2, Finance Module Options, lists the available options in the Finance module.

Exhibit 8–2: Finance Module Options

Title	Icon	Description
Payment		Used to record payment information
Cash Box		Used to open, close, reconcile, audit, and transfer payment accounts
Bounce Check		Used to indicate a check was returned to the INS from the bank due to insufficient funds
Invalid Payment Notice		Used to request an Invalid Payment Notice be sent to notify the applicant that an invalid payment was received
Print Labels		Prints a cash box bar-code label
Test Printer		Generates a test label to verify that the bar-code printer is working correctly
Pay Override		The Pay Override option is used to accept an insufficient payment.

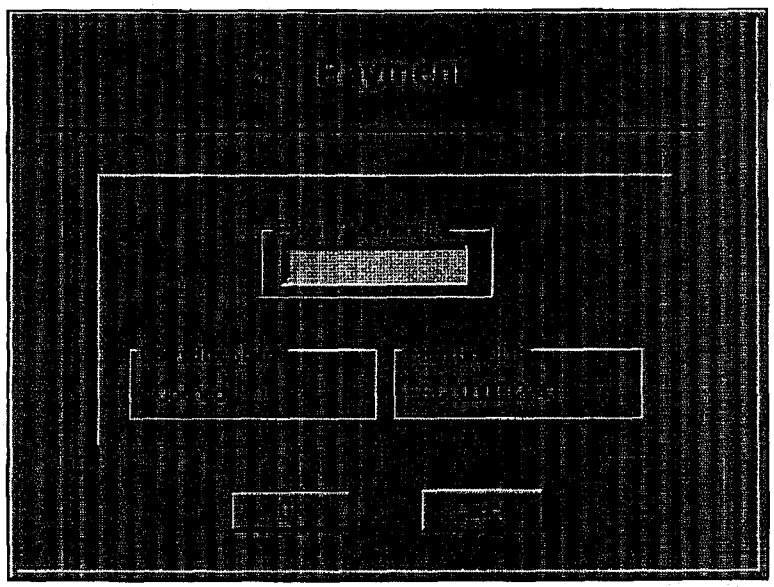
Payment

Four types of payment can be recorded: personal check, cash (not currently functional), money order, and credit card (not currently functional). Specific information for each type of payment is entered into the system from the Payment screen.

To access the Payment screen, perform the following steps:

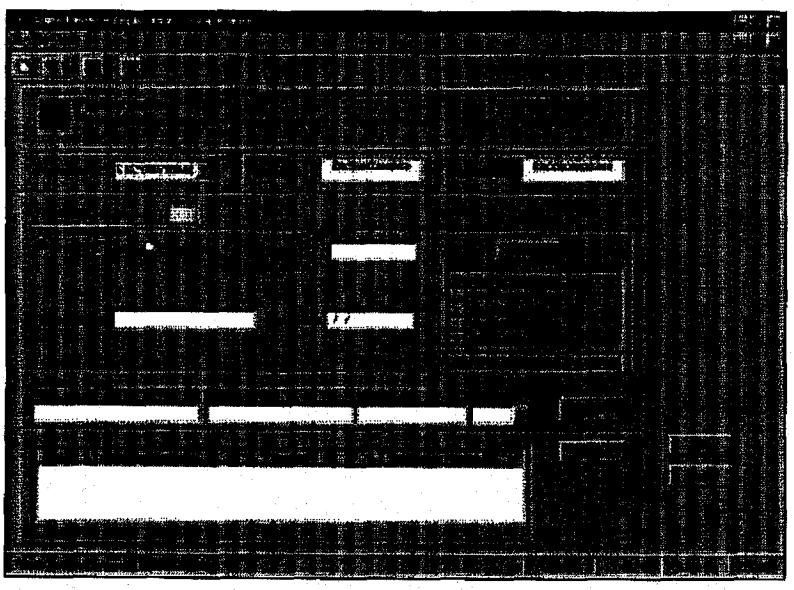
1. Click the (Payment) toolbar button. The Payment screen (Exhibit 8–3, Payment) appears.

Exhibit 8–3: Payment



2. Enter the payment ID (last digits following the zeros).
3. Press R or click . The Claims Finance Application—Remittance screen appears (Exhibit 8–4, Claims Finance Application—Remittance).

Exhibit 0–4: Claims Finance Application—Remittance



To record payment information, perform the following steps:

1. Enter the appropriate information in the following required fields:
   - **Remittance Sequence #**—Number assigned to a payment in addition to the payment ID when two or more remittances are submitted for a single application; shown in parentheses after the payment ID on the endorsed remittance
   - **Type of Remittance**—Click on the appropriate radio button to indicate the type of remittance
   - **Amount**—Amount shown on the check or money order
   - **Remitter Name**—The remitter's last, first, and middle names, and any applicable suffix (for example, Jr, Sr, III)
   - If the remittance type is a check, enter the appropriate information in the following additional required fields:
     - **Remit Number**—Number printed on the check
     - **Remit Date**—Date (MM/DD/YYYY) as shown on check or money order
     - **Note:** This date must be within 6 months of the current date or the remittance is rejected.

- If the remittance type is a money order, enter the appropriate information in the following additional required fields:
  - **Type of Money Order**—Click on the appropriate radio button to indicate Commercial, U.S. Postal, or International
  - **MO City**—City where the money order was issued
  - **MO Country**—If the money order type is international, country where the money order was issued
  - **Remit Number**—Number printed on the money order

2. Indicate that the remittance is signed, payable in U.S. currency, payable to the INS, and usable by clicking on the checkbox to the left of each applicable item. Click if all conditions listed apply.
3. Click to add remittance information to the list box.
4. To remove a remittance from the list, perform the following steps:
   a. Click on the appropriate remittance to select it.
   b. Click .
5. If multiple remittances have been submitted under one payment ID, repeat Steps 1 through 3 for each remittance.
6. After all remittances have been added, click .
7. Click to clear the data entered and return to the main payment screen.

Cash Box

All payments entered in the Finance module are recorded in electronic cash boxes. The Cash Box function is used as an accounting tool to keep track of payment transactions. Each cash box is assigned a unique ID number and is associated with a specific user and location. When a user accesses the Payment screen, the database is searched for an open cash box associated with that user. If one does not exist, a new cash box is opened automatically. A single cash box can contain up to 1,000 payment transactions. The following operations are available for each cash box:

- Close Cash Box.

Reconcile Cash Box.
Audit Cash Box.

- Transfer Cash Box .

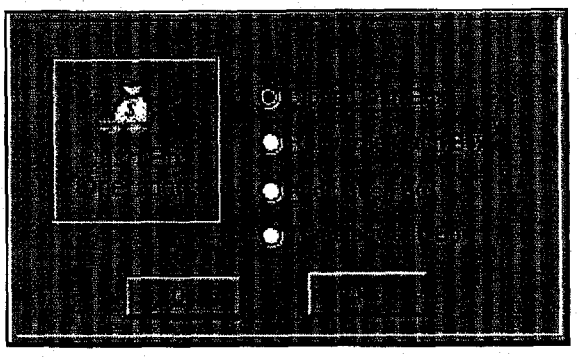
Close Cash Box

The Close Cash Box operation must be performed before a cash box can be reconciled. A cash box remains open until it is closed manually. After a cash box has been closed it cannot be reopened, and its cash box ID cannot be reused.

To close a cash box, perform the following steps:

1. Click the (Cash Box) toolbar button. The Cash Box Operations—Close screen (Exhibit 8–5, Cash Box Operations—Close) appears.

Exhibit 8–5: Cash Box Operations—Close



2. Click the radio button.
3. Click . When the confirmation message (Exhibit 8–6, Closed Cash Box Confirmation) appears, click .

Exhibit 8–6: Closed Cash Box Confirmation

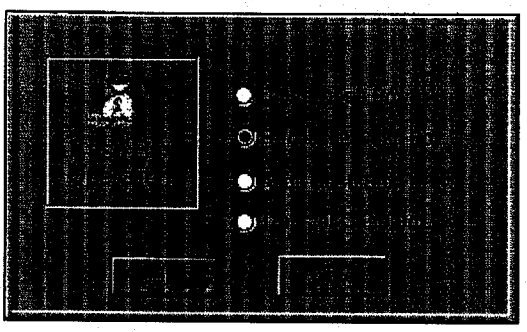
Reconcile Cash Box

When the amount of each remittance, the total number of remittances, and the total dollar amount contained in a cash box matches the total number and amount of the actual payments, that cash box can be reconciled. The Reconcile Cash Box option is used to view and select cash boxes for reconciliation.

To reconcile a cash box, perform the following steps:

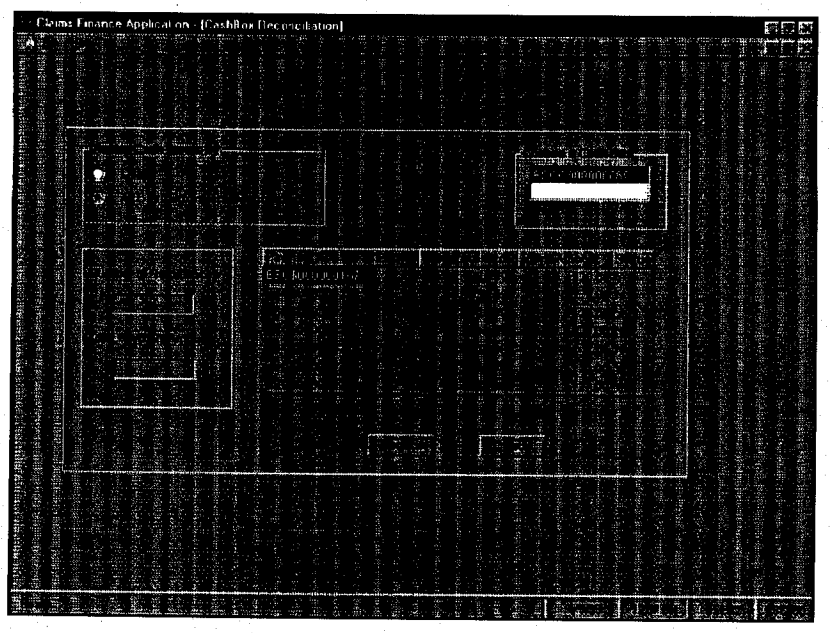
1. Click the (Cash Box) toolbar button. The Cash Box Operations—Reconcile screen (Exhibit 8–7, Cash Box Operations – Reconcile) appears.

Exhibit 8–7: Cash Box Operations—Reconcile



2. Click the [redacted] radio button to access the Reconcile Cash Box window (Exhibit 8–8, Reconcile Cash Box).
3. Click [redacted].

Exhibit 8–8: Reconcile Cash Box



4. Click on the appropriate radio button to display all cash boxes ready for reconciliation or only those associated with a particular date.

- If the option is selected, a Select From List box with a list of dates appears. Double click on the desired date. A list of cash boxes to be reconciled associated with that date appears in the Choose a Cash Box list box.
- If the option is selected, a list of all cash boxes to be reconciled appears in the Choose a Cash Box list box.

5. Double click on the desired cash box in the Choose a Cash Box list box. A box with a list of payments appears.
6. Verify the amount in the Total Payment Amount field against the total of the tallied payments.
   a. If the totals match, click .
   b. If the totals do not match, perform the following steps for each remittance that requires a correction:
      - Scroll through the itemized list of payments, and check each amount against the actual remittance.
      - Note the payment ID and sequence number of the remittances to be corrected.
      - Close the Reconcile Cash Box screen.
      - Close the Cash Box screen.
      - Click the (Payment) toolbar button to access the Payment screen (Exhibit 8–1). Enter the payment ID. The sequence number, type, and amount of remittance appears in the lower section of the Payment screen.
      - Double click on the desired sequence number. The remittance information appears in the appropriate fields.
      - Tab to the Amount field, and enter the correct amount.
      - Click .
      - Click .
7. To reconcile additional cash boxes, repeat Steps 2 through 6. When all cash boxes have been reconciled, the following message appears: "There are no more cash boxes to be reconciled."
8. Click to exit.

Audit Cash Box

The audit function allows supervisors to view all reconciled cash box accounts within an office and to accept or reject each account. Rejected cash boxes are returned to the initial user to edit and reconcile again. Supervisors cannot audit cash boxes assigned to their own user ID.

To audit a cash box, perform the following steps:

1. Click the (Cash Box) toolbar button. The Cash Box Operations—Audit screen (Exhibit 0–9, Cash Box Operations—Audit) appears.

Exhibit 0–9: Cash Box Operations—Audit

2. Click the radio button to access the Audit Cash Box window (Exhibit 8–10, Audit Cash Box).
3. Click .

Exhibit 0–10: Audit Cash Box

4. Click on the appropriate radio button to select whether to display all reconciled cash boxes or only those associated with a particular date or user ID.
   - If the or option is selected, a box with a list of dates or user IDs appears. Double click on the desired date or user ID. A list of cash boxes associated with that date or user ID appears.
   - If the option is selected, a list of cash boxes appears.
5. Double click on the desired cash box. A list of payments contained in the selected cash box appears.
6. If the cash box totals are correct, click the radio button. If the totals are incorrect, click the radio button.
7. When the audit is complete, click to note that the cash box has been audited.
8. To audit additional cash boxes, repeat Steps 1 through 6.
9. Click to exit.

Transfer Cash Box

The Transfer Cash Box option is used by supervisors to assign a cash box to their own user ID when the initial user is not present to close or reconcile the cash box. The supervisor can then close and reconcile that cash box for another supervisor to audit.

To transfer a cash box, perform the following steps:

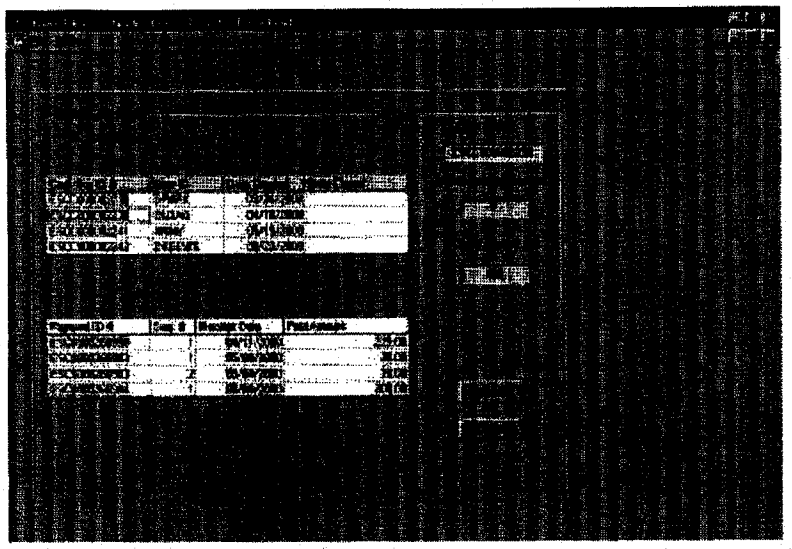
1. Click the (Cash Box) toolbar button. The Cash Box Operations—Transfer Cash Box screen (Exhibit 8–11, Cash Box Operations—Transfer Cash Box) appears.

Exhibit 8–11: Cash Box Operations—Transfer Cash Box

[redacted]

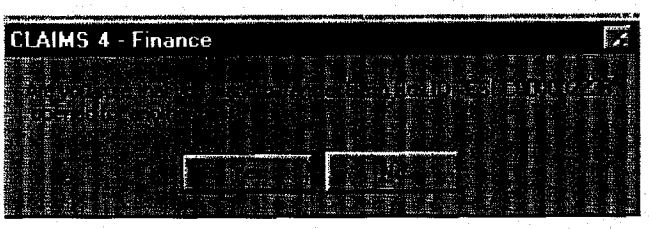
2. Click the [redacted] radio button.
3. Click [redacted]. The Transfer Cash Box window (Exhibit 8–12, Transfer Cash Box) appears.

Exhibit 8–12: Transfer Cash Box



4. Click the radio button to display a list of all cash boxes that have not been audited.
5. Double click on the desired cash box. A box listing the payments contained in the selected cash box appears.
6. Click . When the confirmation window appears, click . A confirmation message appears (Exhibit 8–13, Confirmation Message).

Exhibit 8–13: Confirmation Message



7. To transfer additional cash boxes, repeat Steps 1 through 6.
8. Click to exit.

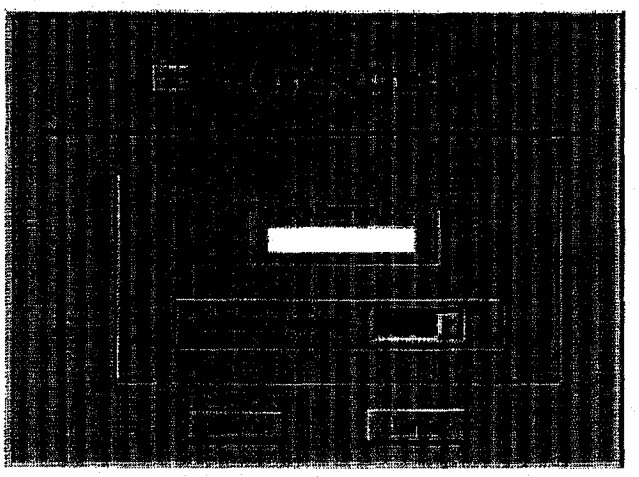
Bounced Check

The Bounced Check option is used to indicate that a remittance has been returned to the INS from the bank due to insufficient funds. The status "bounced check" is associated with the payment ID and sequence number.

To indicate a "bounced check" status, perform the following steps:

1. Click the (Bounced Check) toolbar button to access the Bounced Check window (Exhibit 8–14, Bounced Check).

Exhibit 8–14: Bounced Check



2. Enter the payment ID (located on the back of the check).
3. In the Remittance Number field, enter the sequence number of the remittance or click m to select a number.
4. Click . A confirmation window appears.
5. Click to confirm operation.
6. Click to exit.

Invalid Payment Notice

If a payment is unusable, the Invalid Payment Notice option is used to request that a notice be sent to inform the applicant. A remittance is considered an invalid payment if it is unsigned, not payable in U.S. currency, not payable to the INS, or dated more than 6 months prior to the mailroom received date.