

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



System Design Document

System Design Document for CLAIMS 4.0

Project No. K00PP014S00: CLAIMS 4 Operations and Maintenance
Support

Subtask 14: Documentation Support

UPDATE

April 12, 2000

NCY00.20003-01.UB0-EDS



TABLE OF CONTENTS

1. INTRODUCTION	1-1
1.1 Purpose and Scope	1-1
1.2 Project Executive Summary.....	1-2
1.2.1 System Overview	1-4
1.2.2 Design Constraints	1-8
1.2.3 Future Contingencies	1-9
1.3 Organization of This Document	1-9
1.4 Points of Contact.....	1-10
1.5 Project References	1-10
1.6 Glossary	1-11
2. SYSTEM DESIGN OVERVIEW	2-1
2.1 System and Subsystem Specifications	2-6
2.1.1 Workflow	2-6
2.1.2 Process Flow	2-9
2.1.3 System Architecture.....	2-14
2.2 System and Subsystem Overview	2-15
2.2.1 Receipting	2-16
2.2.2 Adjudication.....	2-22
2.2.3 Case Management.....	2-35
2.2.4 Case Status Inquiry	2-40
2.2.5 Scheduling.....	2-44
2.2.6 Notices	2-50
2.2.7 Reporting.....	2-54
2.2.8 Document Production	2-57
2.2.9 System Maintenance	2-62
2.2.10 Workflow Manager.....	2-69
2.3 Supporting Subsystem Overview.....	2-87
2.3.1 Logon Manager	2-87
2.3.2 Lookup Manager Function.....	2-88
2.3.3 Database Manager.....	2-92

2.3.4 Switchboard	2-93
2.3.5 Workflow Admin	2-94
2.3.6 Common Library	2-96
2.3.7 Bar Code	2-97
3. UNIT DESIGN ORGANIZATION	3-1
3.1 Major Subsystems	3-1
3.2 Supporting Subsystems	3-46

4. FILE AND DATABASE DESIGN	4-1
4.1 Database Design	4-1
4.1.1 Logical Model	4-1
4.1.2 Physical Model	4-1
4.2 Nondatabase System Files	4-3
4.2.1 CLAIMS.INI File	4-4
4.2.2 Interface Files	4-4
5. INPUT AND OUTPUT DESIGN	5-1
5.1 System Input Design	5-1
5.1.1 GUI	5-1
5.1.2 Data	5-2
5.2 System Output Design	5-2
6. EXTERNAL INTERFACES	6-1
6.1 Functions	6-1
6.1.1 Interface With CIS	6-1
6.1.2 Class Relationships	6-3
7. DETAILED MODULE DESIGN	7-1
8. TRACEABILITY (FUNCTIONAL REQUIREMENTS TRACEABILITY MATRIX)	8-1
9. SYSTEM INTEGRITY CONTROLS	9-1
APPENDIX A—GLOSSARY	

EXHIBITS

Exhibit 1-1: CLAIMS 4.0 Development Process.....	1-3
Exhibit 1-2: Graphical Overview of Interface Relationships (Service Center).....	1-7
Exhibit 1-3: Graphical Overview of Interface Relationships (District Office).....	1-8
Exhibit 2-1: CLAIMS 4.0 System Component Architecture—Client Applications.....	2-2
Exhibit 2-2: CLAIMS 4.0 System Component Architecture—Server Batch Processes.....	2-3
Exhibit 2-3: Third-Party Components.....	2-5
Exhibit 2-4: N-400 Workflow Process.....	2-7
Exhibit 2-5: N-400 Process Flow.....	2-10
Exhibit 2-6: CLAIMS 4.0 Architecture.....	2-14
Exhibit 2-7: Receipting Subsystem Data Flow.....	2-22
Exhibit 2-8: Adjudication Subsystem Data Flow.....	2-34
Exhibit 2-9: Claims Resolution Data Flow.....	2-39
Exhibit 2-10: Batch Status Update Data Flow.....	2-40
Exhibit 2-11: Case Status Subsystem Data Flow.....	2-43
Exhibit 2-12: Scheduling Subsystem Data Flow.....	2-49
Exhibit 2-13: Notices Subsystem Data Flow.....	2-53
Exhibit 2-14: Reporting Subsystem Data Flow.....	2-56
Exhibit 2-15: Document Production Subsystem Data Flow.....	2-61
Exhibit 2-16: System Administration Authorization Levels.....	2-62
Exhibit 2-17: System Maintenance Subsystem Data Flow.....	2-65
Exhibit 2-18: CLAIMS 4.0 Business Process—Part A.....	2-71
Exhibit 2-19: CLAIMS 4.0 Business Process—Part B.....	2-72
Exhibit 2-20: CLAIMS 4.0 Business Process—Part C.....	2-73
Exhibit 2-21: CLAIMS 4.0 Business Process—Part D.....	2-74
Exhibit 2-22: CLAIMS 4.0 Business Process—Part E.....	2-75
Exhibit 2-23: CLAIMS 4.0 Business Process—Part F.....	2-76
Exhibit 2-24: CLAIMS 4.0 Business Process—Part G.....	2-77
Exhibit 2-25: CLAIMS 4.0 Business Process—Part H.....	2-78
Exhibit 2-26: CLAIMS 4.0 Business Process—Part I.....	2-79
Exhibit 2-27: CLAIMS 4.0 Business Process—Part J.....	2-80
Exhibit 2-28: CLAIMS 4.0 Business Process—Part K.....	2-81
Exhibit 2-29: CLAIMS 4.0 Business Process—Part L.....	2-82

(b)(2)

Exhibit 2-30: CLAIMS 4.0 Business Process—Part M	2-83
Exhibit 2-31: CLAIMS 4.0 Business Process—Part N	2-84
Exhibit 2-32: Workflow Management Subsystem Data Flow	2-86
Exhibit 2-33: Logon Manager Subsystem Data Flow	2-88
Exhibit 2-34: Lookup Manager Subsystem Data Flow	2-91
Exhibit 2-35: Database Manager Subsystem Data Flow	2-92
Exhibit 2-36: Switchboard Subsystem Data Flow	2-94
Exhibit 2-37: Workflow Admin Subsystem Data Flow	2-96
Exhibit 2-38: Common Library Subsystem Data Flow	2-97
Exhibit 2-39: Bar Code Data Flow	2-98
Exhibit 3-1: Receipt System—Receipting (Data Entry – N400) ..	3-2
Exhibit 3-2: Receipt System—Receipting (Data Entry – I881) ..	3-4
Exhibit 3-3: Receipt System—COM Controls ..	3-5
Exhibit 3-4: Address Edit ..	3-6
Exhibit 3-5: Receipt System—Receipting (Mailroom) ..	3-6
Exhibit 3-6: Receipt System—Business ..	3-7
Exhibit 3-7: Receipt System—Communications ..	3-11
Exhibit 3-8: Receipt System—Database Interface ..	3-11
Exhibit 3-9: Receipt System—Groups 2000 ..	3-13
Exhibit 3-10: Receipt System—Check Printer ..	3-14
Exhibit 3-11: Receipt System (Finance)—Finance ..	3-14
Exhibit 3-12: Receipt System (Finance)—Payment ..	3-16
Exhibit 3-13: Receipt System (Finance)—Paymerge ..	3-17
Exhibit 3-14: Receipt System (Finance)—Cashbox ..	3-18
Exhibit 3-15: Adjudication System—Adjudication ..	3-19
Exhibit 3-16: Adjudication System—Adjudication Notice ..	3-20
Exhibit 3-17: Case Management System—Case Management ..	3-21
Exhibit 3-18: Case Management System—Batch Status Update ..	3-22
Exhibit 3-19: Case Management System—Claims Resolution ..	3-22
Exhibit 3-20: Case Status System—Case Status ..	3-23
Exhibit 3-21: Case Status System—Case Label ..	3-24
Exhibit 3-22: Schedule System—Scheduler Online ..	3-25
Exhibit 3-23: Schedule System—Schedule Batch Client ..	3-29
Exhibit 3-24: Schedule System—Schedule Batch Server ..	3-30

(b)(2)

Exhibit 3-25: Notices System—Notices	3-30
Exhibit 3-26: Notices System—Notice Batch Create	3-32
Exhibit 3-27: Notices System—Notice Create	3-33
Exhibit 3-28: Notices System—Notice Print	3-33
Exhibit 3-29: Notices System—Notice Engine	3-34
Exhibit 3-30: Notices System—Notice Lookup	3-34
Exhibit 3-31: Report System—Reporting	3-35
Exhibit 3-32: Report System—N646 Report	3-36
Exhibit 3-33: Report System—FD258 Manifest	3-37
Exhibit 3-34: Document Production System—Document Production	3-37
Exhibit 3-35: Document Production System—Print Server	3-39
Exhibit 3-36: Document Production System—MS Access Database Connection	3-40
Exhibit 3-37: Document Production System—Oracle Database Connection	3-40
Exhibit 3-38: System Maintenance	3-40
Exhibit 3-39: External Interface System—Interface Services	3-42
Exhibit 3-40: External Interface System—Interface Control	3-43
Exhibit 3-41: External Interface System Interface—Admin	3-44
Exhibit 3-42: Workflow System—Workflow Server Batch	3-44
Exhibit 3-43: Workflow System—Workflow Server	3-44
Exhibit 3-44: Workflow System—Workflow Monitor	3-45
Exhibit 3-45: Workflow System—Workflow Client	3-45
Exhibit 3-46: Logon Manager System—Logon Manager	3-47
Exhibit 3-47: Lookup System—Lookup Manager	3-47
Exhibit 3-48: Database Manager	3-47
Exhibit 3-49: Workflow Admin System—Workflow Admin	3-50
Exhibit 3-50: Switchboard System—Switchboard	3-50
Exhibit 3-51: CLAIMS Common Library—Common Library (CLAIMS.DLL)	3-51
Exhibit 3-52: Bar Code System—Bar Code	3-51
Exhibit 3-53: Templates Used by CLAIMS 4.0	3-51
Exhibit 4-1: Oracle Instances	4-1
Exhibit 4-2: Required Interface Files	4-4

Exhibit 6-1: External Interfaces Subsystem Data Flow 6-3

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INTRODUCTION

The Immigration and Naturalization Service's (INS') Computer-Linked Application Information Management System (CLAIMS) processes and manages applications for immigration-related benefits. Another independent system, the Reengineered Naturalization Automated Casework System (RNACS), processes applications related to acquiring and proving citizenship. The business processes of the two systems are similar. Therefore, the INS initiated a reengineering effort to consolidate the two systems on a client/server platform, using new technologies to improve the integrity, efficiency, and maintainability of the immigration benefits function.

The new naturalization subsystem (CLAIMS 4.0) reengineering project will ultimately replace the current systems. Presently, RNACS resides on the Department of Justice (DOJ) mainframe. The architecture of CLAIMS 4.0 includes efficient technologies, such as the Novell local area network (LAN), client/server systems with Windows 95 and NT, three-tier robust application processing with a friendly graphical user interface (GUI), a solid Oracle database management system (DBMS) in the background, and communication facilities to other INS legacy systems on the mainframe. The new system will take advantage of these improvements in computer technology and will include the following new features:

- Workflow management applications and workload simulations to help forecast demand and leverage the workload nationwide
- Image digitization to include photographs, signatures, and fingerprints (no imaging for the baseline version)
- Relational database(s) to provide better reporting and statistics, and more flexible tracking of applications and cases
- System profiling to identify cases in high- or low-risk groups
- Rule-based adjudication to capture laws and regulations associated with adjudication decision making and to support the adjudicator in making decisions in accordance with current policy

While only basic naturalization functions will be included in the baseline version, the intention is to provide a foundation that will evolve into a single system to support all immigration benefits processing. The reengineered system must have an integrated core set of modular functions to complement and support the administration of all types of immigration benefits.

Purpose and Scope

The purpose of this design document is the following:

- Describe the design of the system and subsystem components that were used in development of the CLAIMS 4.0 application
- Specify what components will be used to satisfy the requirements in the functional requirements document (FRD)

- Describe the database designs (including tables and columns, data types, database structures, file structures, input formats, output layouts, and the module processing logic) to be used by the project team during system development
- Provide a static model of CLAIMS 4.0 that shows how the classes will interact to satisfy FRD requirements

Project Executive Summary

The CLAIMS 4.0 application was developed using the rapid application development and the object-oriented design approaches. In general, these development approaches use a spiral model for life-cycle development rather than the traditional waterfall approach. The spiral model comprises seven steps that are recursively applied and conforms to the Systems Development Life Cycle Version 2.0 guidelines. Exhibit 1-1, CLAIMS 4.0 Development Process, provides further information. This approach requires significant user involvement. The major steps in the spiral model are Specification, Planning, Design, Implementation, Integration, and User Meetings/Reviews.

The specification and planning stages include verification and validation steps. Verification includes Quality Assurance reviews of the FRD and the design document. The implementation and integration steps include testing, which is performed as unit testing by the developer, and as integration and system-level testing performed by the Test and Evaluation group.

After the user review process, the development process may start again from the Specification, Design, or Implementation phase, depending on the degree of changes necessary to satisfy the input from the user review. The degree of changes can range from merely superficial to major new requirements. A superficial change will cause the process to be restarted from the Implementation phase. If a user's suggestion or request leads to a new requirement or a change to a present requirement, however, the change will start from the Specification phase and will comply with established Configuration Management guidelines. Each phase is prefaced with a risk analysis to determine the change impacts to the development resources, time, and system performance.

The CLAIMS 4.0 project applies this development approach by demonstrating the CLAIMS 4.0 application to the user at the end of each iteration. The functionality of the next iteration, as well as the user's suggestions from the previous iteration go through Specification, Design, or Implementation, depending on the degree of change necessary. The cycle then starts again. The CLAIMS 4.0 project provided the GUI screens as the first iteration. The functionality for each iteration is described in the CLAIMS 4.0 FRD.

Exhibit 1-1: CLAIMS 4.0 Development Process

System Overview

The CLAIMS 4.0 application has initially been divided into subsystems, which support the major functions that CLAIMS 4.0 is required to provide as specified by the CLAIMS 4.0 FRD. A subsystem is a collection of functionally cohesive modules that work together to satisfy a major CLAIMS 4.0 function. Typically, a subsystem in CLAIMS 4.0 will not trace directly to a single module. However, in most cases, each subsystem will trace to a single executable file or dynamic link library (DLL). The CLAIMS 4.0 system architecture comprises several major subsystems, which include the following:

- Receipting
- Adjudication
- Batch Status Update (BSU)
- Case Status
- Case Management (CM)
- Scheduler/Batch Scheduler
- Notices
- Reports
- Document Production
- System Maintenance
- External Interface
- Workflow Admin

These subsystems are designed to be stand-alone components that do not require support from the other subsystems for execution. However, some of the components provide both a GUI and server interface. The GUI interface is a stand-alone window function that provides the user with interactive information pertaining to system functions. The server interface is designed to bundle the module's functionality so other subsystems can access it without going through a GUI. The server interface also makes it easier to accommodate automation data personnel initiation of overnight functions.

CLAIMS 4.0 is a Transmission Control Protocol/Internet Protocol (TCP/IP)-based client/server application. The workflow file server runs on the MS Windows NT Version 4.0 operating system. The deployed servers are either the Hewlett-Packard (HP) L/Pro or Dell Poweredge 4300 models. The units are configured as RAID 5 containing 512MB of 60ns random access memory. These units contain 16GB of usable hard drive storage. The database resides in the Dallas DOJ facility and is a Siemens Unix E70 model machine, running Oracle8 on a Unix operating system platform.

The CLAIMS 4.0 data are contained in a central location, an Oracle relational database management system (RDBMS), which provides connectivity and data to each of these stand-alone components and servers. Attachment B, High-Level Diagrams, of the System Design Document for CLAIMS 4.0 (NCY00.20003-01.UA0-EDS), provides a high-level architecture of the major subsystems.

CLAIMS 4.0 requires interfaces with many systems to process the applications. This process includes the following:

- Transferring alien files (A-Files)
- Performing military and background checks
- Querying and updating the Central Index System (CIS)
- Verifying and obtaining attorney information
- Verifying and updating data from the RNACS mainframe

The External Interface Module (EIM) of CLAIMS 4.0 will be invoked by the CLAIMS 4.0 application whenever the data of an external system need to be retrieved or updated. The external systems that will be accessed by the CLAIMS 4.0 baseline system include the following: CIS; RNACS; the Receipt and Alien-File Accountability and Control System (RAFACS); the Refugee, Asylum, and Parole System (RAPS); the Scheduler Information Database (SID); and the Federal Bureau of Investigation (FBI). Three of these—CIS, RAPS, and RNACS—are Integrated Data Management Systems (IDMSs) on the DOJ mainframe in Dallas, Texas. The CLAIMS 4.0 application requires access to each of these systems to retrieve data and update specific data elements.

The CLAIMS 4.0 baseline interfaces with CIS, RNACS, SID, RAFACS, RAPS, and the FBI as follows:

- **CIS**—This system is an IDMS on the DOJ mainframe holding information associated with each alien number (A-Number). For Release 4.0, CIS will be available in retrieval mode for the following purpose:
 - Validating the applicant's A-Number and confirming personal information is consistent with itIn addition, an update capability will be provided to support the following functions:
 - Requesting the transfer of an A-File not located at the requesting service center (SC) or office
 - Requesting the forwarding of files to the district office (DO) from the SC in preparation for the examination
 - Updating CIS for name changes and corrections of personal data
 - Updating CIS with the final status of the naturalization case at case close-out, including Certificate Number and Date of Naturalization
- **RNACS**—This system is an IDMS on the DOJ mainframe containing information on cases naturalized through the current process. Online access will be provided for the following:
 - Queries against the mainframe system to detect duplicate filings of N-400 applicationsAn update capability will be provided to support the following:
 - Transferring non-N-400 cases to the mainframe for post-data entry processing

- Updating the current system with N-400 case data
- **SID**—This system is an IDMS on the mainframe updated daily with the status of cases. Updates are triggered when cases are queued for scheduling, after cases are scheduled and after FD-258 cards are received from the Application Support Center (ASC).
- **RAFACS**—This system is a LAN-based file tracking system that tracks the location of a physical A-File within a local office. This system maintains an interface with CIS for tracking files in the Federal Records Centers, so that information on archived files is available through RAFACS. Users will be able to query RAFACS for the location of A-Files onsite at any stage of the naturalization processing. The interface will update CLAIMS 4.0 to reflect the receipt of A-Files requested from other sites, so that cases waiting for those files can be released to scheduling for interviews.
- **RAPS**—This system is an IDMS-based system maintained on the DOJ mainframe that contains information on applicants for refugee or asylum status. An update capability will be provided to support the transfer of Form I-881 case information to RAPS for adjudication, following data entry and initial processing in CLAIMS 4.0.
- **FBI**—The CLAIMS 3.0 interface function is designed to provide CLAIMS 3.0 with application data so that CLAIMS 3.0 can include those in the magnetic tape sent to the FBI for fingerprint checking. Currently, the FD-258 Enterprise Edition (EE) updates the CLAIMS 4.0 database directly with the FBI fingerprint responses.

Interfaces to many other systems are required to support a fully integrated benefits case management system. All currently identified interfaces are described in Section 2.2.10, External Interface Requirements, of the NATS Interface Control Document. Exhibit 1-2, Graphical Overview of Interface Relationships (Service Center), and Exhibit 1-3, Graphical Overview of Interface Relationships (District Office), provide diagrams of the pilot external interface components and the way they interact with other components of the CLAIMS 4.0 application.

Exhibit 1-2: Graphical Overview of Interface Relationships (Service Center)

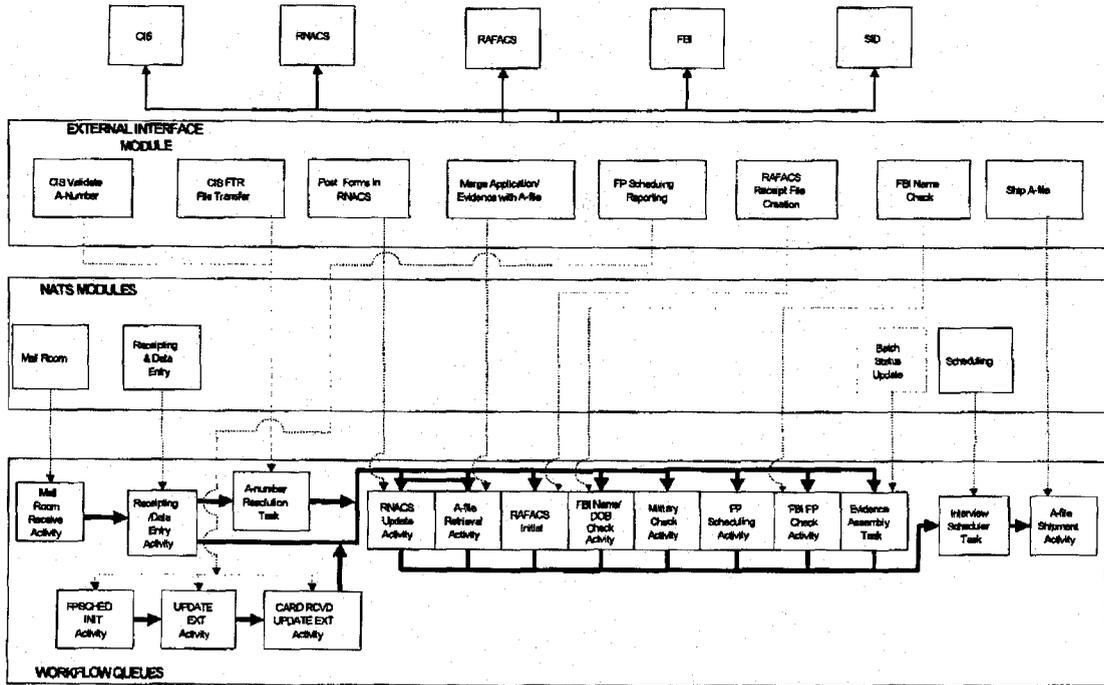


Exhibit 1-3: Graphical Overview of Interface Relationships (District Office)



Design Constraints

The following assumptions relate to the CLAIMS 4.0 application functionality that was available in the baseline release. Section 2, System Design Overview, provides a breakout of specific functions.

- **Data entry** will be provided for naturalization forms currently supported by CLAIMS 4.0 Release 4.0; however, full system support will be provided for N-400 applications only.
- **Imaging** will not be supported. Capture and usage of the applicant's photograph for certificate generation purposes will remain a manual process. Generation of the Naturalization Certificate using the imaged photo will be included in future releases.
- **Scheduling** will embrace the functionality of the current CLAIMS scheduler with enhancements to support the scheduling of the oath ceremony.
- **Adjudication** will not support application profiling.
- **Interface** will support fully automated interfaces to mainframe NATS, CIS, RAFACS, RAPS, SID, and RNACS. A semiautomated interface to the FBI will be supported also.
- **Workflow** will support N-400 capabilities, productivity statistics, and reporting in baseline version.

- **Hot keys** provide capabilities to enable access to other INS systems in the baseline version.

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

The following constraints were applied within the baseline version of the CLAIMS 4.0 project:

- **Reengineered Processes**—Support will be provided for the reengineered processes only to adequately measure the potential of the reengineered system.
- **Baseline Capacity**—Baseline volume will be 1.7 million applications per year.
- **Technical Architecture**—Selected pilot locations will be equipped with the most recent version of the Technology Infrastructure Project (TIP)-standard workstation and LAN configuration. This will ensure the availability of the architecture required to support the reengineered pilot system.

Future Contingencies

The data repository is located at the INS Headquarters in Washington, DC; however, the Data Entry and Receipting processing will occur at any of the various SC locations, and is currently used by several hundred users. The Adjudication processing will occur at the DOs. There are few users at the DOs; however, there are many DO locations distributed throughout the United States. The SC users and DO users will access the data repository via a wide area network (WAN).

Organization of This Document

The CLAIMS 4.0 reengineering design document consists of the following sections:

- Section 2, System Design Overview, provides an overview of the CLAIMS 4.0 application system design that includes system and subsystem specifications, system and subsystem overviews, a specification model presented in terms of workflow, a process flow and data model, and a system architecture and design specification.
- Section 3, Unit Design Organization, describes the organization of the unit design. It shows how the system is divided into subsystems and then into units. Classes, forms, and modules are the lowest level units in the CLAIMS 4.0 application.
- Section 4, File and Database Design, describes the database design, which includes the logical and physical design of the RDBMS files and a detailed description of the non-DBMS files.
- Section 5, Input and Output Design, describes the system and subsystem inputs and outputs. The system input section focuses on the input media used for external data transfers and the layout of input data screens. The system output design section focuses on reports, data display screens and windows, and files.

- Section 6, External Interface, describes the external interfaces.
- Section 7, Detailed Module Design, describes the detailed module design and contains a narrative description of each module via logical report.
- Section 8, Traceability (Functional Requirements Traceability Matrix), references the functional requirements traceability matrix that maps the requirements specified in the FRD to the individual module(s) that satisfy the requirements.
- Section 9, System Integrity Controls, describes the system integrity controls provided by the CLAIMS 4.0 application.
- Appendix A, Glossary, lists the acronyms and abbreviations used in this document.

Points of Contact

The CLAIMS 4.0 Task Manager is responsible for overseeing the project management activities in support of this system on a daily basis. The CLAIMS 4.0 Task Leader is assigned to oversee the completion of the application development components for this task. Consulting services are provided by the EDS Government Consulting Services group. Specific names, phone numbers, and addresses are included in the CLAIMS 4.0 proposal for technical support that was provided to the INS.

Project References

The following documents were used or referenced in the development of this system design document:

- Functional Requirements Document for CLAIMS 4, April 12, 2000 (NCY00.10000-00.DC1-EDS)
- Naturalization Adjustment Casework System Reengineering Logical Data Model, December 1, 1995 (NCY00.20000-00.D*0)
- NATS Interface Control Document, November 5, 1996 (NCY00.40001-00.F*0)
- RQM#2316, Requirements Analysis Report, N-400 Service Center Denials and Motions to Reopen, October 8, 1999 (NCY00.40031-00.W*0)
- Code of Federal Regulations, Aliens and Nationality, Revised as of January 1, 1999
- RQM#7613, Requirements Analysis Report, N-400 Change of Address Batch Processing, July 30, 1999 (NCY00.40059-00.W*0-EDS)
- RQM#3329, Requirements Analysis Report, Service Center G-325A FBI Name/Date of Birth Check Processing, January 20, 1999 (NCY00.90000-00.F*0)
- RQM#3500, Requirements Analysis Report, CLAIMS 4 Administrative Close Out Processing, February 16, 2000 (NCY00.40050-00.W*0)

Glossary

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

SYSTEM DESIGN OVERVIEW

The CLAIMS 4.0 application system was designed to take advantage of a three-tiered architecture, with the objective of reducing the amount of the CLAIMS 4.0 application that would reside on the client workstation. The three-tier architecture would also enhance the flexibility and upward scalability of the CLAIMS 4.0 application. These objectives were accomplished by using Object Linking and Embedding (OLE) technology, which would allow the developers to place components on an application server that would be accessed remotely by a client workstation. The components that reside on the client workstation could reference or call other components that reside on remote machines if these components residing on the remote machines were OLE enabled. Exhibit 2-1, CLAIMS 4.0 System Components Architecture—Client Applications, and Exhibit 2-2, CLAIMS 4.0 System Component Architecture—Server Batch Processes, depict the system component design discussed in this section.

Exhibit 2-1: CLAIMS 4.0 System Component Architecture—Client Applications



Exhibit 2-2: CLAIMS 4.0 System Component Architecture—Server Batch Processes

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The first tier included stand-alone components that reside largely on the client workstation. These stand-alone components provided much of the front-end GUI for each of the major functions provided by CLAIMS 4.0. These major functional areas are referred to in this document as subsystems. The subsystems in CLAIMS 4.0 included the following:

- Switchboard
 - Receipting
 - Adjudication
 - BSU
 - Case Status
 - CM
 - Scheduler/Batch Scheduler
 - Notices
 - Reports
 - Document Production
 - System Maintenance
 - External Interfaces
- Workflow Administrator

The second tier included components that provided the business rules that were used by the subsystems. The business components shared between subsystems were deployed on the application server. The business components not shared between subsystems were usually deployed on the client workstation. Most of the business components were designed with the flexibility to be deployed on the application server.

- Shared Components
 - Logon Manager
 - Lookup Manager
 - Business
 - Bar Code

- Workflow Client
- Workflow Server
- Common Library

Not Shared Components

- Cash Box
 - Case Labels
 - Groups
 - Communication
 - Check Printer
 - Document Production Print Server
 - Notice Engine
 - Notice Lookups
 - Workflow Monitor
 - Oracle Lookup Manager

The third tier included components that primarily access the Oracle database server. These components also resided on the application server. The database access method was also designed to promote an open system development. This was accomplished by using the Open System Management Group standard and open database connectivity (ODBC) interface. This would allow development to use any database server that was ODBC 2.0 level compliant. As with the second-tier components, some of the third-tier components are shared with other subsystems and others are not shared. These third-tier components are itemized as follows:

- Shared Components
 - Database Manager (for applications)
 - Database

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Component Name	
Crystal Reports	

subsystems in terms of major components (workflows and process flows, and system architecture) is also provided.

Workflow

This section provides flowcharts identifying the customers' workflow processes among their offices and people at the task level. (Exhibit 2-4, N-400 Workflow Process, depicts the workflow process.) This section identifies the automated versus manual processes as well.

Exhibit 2-4: N-400 Workflow Process

Service Center

I

District Office

Exhibit 2-4: N-400 Workflow Process (continued)

District Office

In the direct mail program, a naturalization applicant is expected to send his or her application to one of the four SCs. Once the application is received at the SC mailroom, the mailroom personnel use the automated Mailroom function of the Receipting subsystem to create a bar-code label that includes a unique application identification (ID) for the application and its associated evidence. After creating the bar code, the label is affixed to the application folder and the application, along with the evidence, is bundled and forwarded to the data entry personnel.

Data entry personnel enter the application data and record the evidence received by using the CLAIMS 4.0 automated Receipting and Data Entry function. This function determines if an application should be rejected, and then sends the application designated for rejection through rejection processing. If the Data Entry function determines that additional evidence or data are required for further processing, a notice is automatically generated for mailing to the applicant. The case may also be put into a suspended state until either a response is received from the applicant or for a period of 84 days, in which the case is sent to the adjudicator for possible denial. In addition, following data entry, requests are submitted to retrieve A-Files and to begin background checks. Data entry personnel forward the application to the Case Control Office until it is shipped to the DO for adjudication.

After the requests for the A-File and background checks are satisfied, the applicant is scheduled for an interview. The scheduling of an applicant is an automated process that can be initiated from the SC or DO. The actual interview, however, is performed at the DO.

The automated scheduler is responsible for finding an available time slot for an interview and notifying the applicant. During the interview, the adjudicator reviews the case data and determines whether a case is to be denied, reexamined, or granted, or if a case review is required. If the case is denied, a denial notice is sent to the applicant and the case is closed out. In the event a reexamination is appropriate, the case is rescheduled and the Interview process is repeated.

If the case is granted, the case is scheduled for an oath ceremony, where the applicant is naturalized upon completion of the oath ceremony requirements. The information required to produce the naturalization certificate is then forwarded to an automated Certificate Production process. The applicant appears at the oath ceremony to take the citizenship oath and receives the certificate.

If the adjudicator decides that a case review is required, a case review for the applicant will be performed at the DO. The Case Review process is facilitated by the automated CLAIMS 4.0 Adjudication function. The previously requested background check information is used at this time to assist the adjudicator during the case review. The adjudicator can determine (and record) whether an interview or additional evidence, is required. The adjudicator can also decide whether a case should be forwarded to the appropriate agency for further processing, or else, make the determination to grant a case. If the adjudicator determines that an interview is required, an interview schedule request is submitted to the CLAIMS 4.0 automated scheduler so the interview can be scheduled interactively or in batch mode.

After the oath ceremony, the applicant's case is closed out. After all cases for a particular oath ceremony are closed out, the oath ceremony is closed out using the automated BSU process.

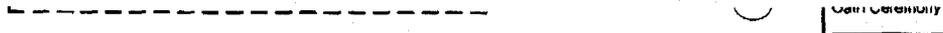
Process Flow

The subsequent sections provide high-level diagrams that identify the interaction among various organizational functions. Exhibit 2-5, N-400 Process Flow, depicts the steps used to process an N-400 form. The subsequent sections also include all primary functional processes and any support functions that are described in the FRD. In addition, they identify the automated versus manual processes.

Exhibit 2-5: N-400 Process Flow

(F)

Exhibit 2-5: N-400 Process Flow (continued)



1.1.1.1 Mailroom

In the direct mail program, a naturalization applicant is expected to send the application to one of the four SCs. Once the mail is received in the mailroom, the following manual processes are performed:

- Staples and clips are removed and the correspondence is checked. The mail is sorted by form type and the attached evidence is sorted in accordance with standard procedures.
- The mailroom personnel use the automated Mailroom process to create a bar-code label that includes a unique application ID for the application and its associated evidence. It also records a date and time stamp into the database record. After the bar-code label is printed, it is affixed to the application. The application and the evidence are bundled and forwarded to data entry personnel.

1.1.1.2 Receipting and Data Entry

Application bundles are forwarded to data entry clerks to check for an A-Number, completeness of the form, applicant signature, and enclosed proper payment amounts. The data are entered into the automated CLAIMS 4.0 through the Receipting and Data Entry function. CIS is automatically queried to determine the validity of the A-Number entered with the application. Applications with A-Numbers that do not appear on CIS, or whose personal information does not match that on CIS, will be referred to a clerk where an A-Number resolution procedure is performed to resolve the identification discrepancies. After data entry, the application and evidence are reviewed for completeness and are routed appropriately.

1.1.1.3 Notices

For a rejected application, a clerk bundles the applicant's check, application, and any supporting documentation. In addition, rejection processing triggers an automated Notice processing. During the Notice processing function, a rejection notice is generated. The clerk picks up the rejection notice, combines it with the bundle, and mails the package to the applicant. The applicant is sent a receipt notice using the Notice function. If additional data and/or evidence are requested, the case is put into a "Suspend" state for 84 days or until a response is received from the applicant, whichever is sooner.

1.1.1.4 Background Check

The FD-258 fingerprint card attached to the application is entered into the FD-258 EE Recording subsystem and the card is sent to the FBI. The cases are placed on hold until the responses are returned. Military checks are also requested for individuals applying for naturalization on the basis of military service. These cases are placed on hold until a response is received from the military branch contacted. The BSU function is used to log the initiation of these requests and the receipt of the responses.

1.1.1.5 Assembly of an A-File

Following the Receipting and Data Entry process, the applicant's A-File must be retrieved and consolidated with any evidence that has been submitted, including background checks. The local RAFACS system is queried in the file room, and if the file is onsite, it is pulled and consolidated with the application. If not, CIS is queried to determine the site that currently holds the A-File, and to issue a request to transfer it to the SC. When it arrives, the application and supporting evidence

are consolidated with it. Once all required evidence has been submitted, and the fingerprint check result has come back, the case can be scheduled for adjudication.

1.1.1.6 Scheduler/Interview

For applicants who require an interview, the automated Scheduler function schedules the applicant for the interview. The Notice function is invoked and the appropriate notice is sent to the applicant. Interview scheduling can be performed by either interactive or batch processing.

1.1.1.7 Adjudication/Interview

When the interview is conducted, the adjudicator is able to retrieve and view online the applicant's data from the database. During the Adjudication process, the applicant's examination results are evaluated to determine if an applicant has sufficient skills in the reading and writing of the English language and sufficient knowledge of American civics to become a naturalized citizen. The questions for the test can be generated by the system, where a set of 10 random questions are pulled from the database. The test results can be posted individually for each question or a pass/fail can be entered into the system by the adjudicator.

Upon completion and recording of these tests results, the adjudicator determines whether the case is granted, continued for multiple reasons (including reexamination and lack of evidence), or denied U.S. citizenship.

If the applicant does not appear for the interview or if the applicant requires a reexamination, the automated Scheduler function process is invoked to reschedule the applicant for reexamination. The automated Notice function is used to notify the applicant of the scheduled time and place for the reexamination. If the application is denied, the Notice function is invoked to notify the applicant of the adjudicator's decision and the Adjudication function is used by the adjudicator to close out the applicant's case.

For a granted case, first the automated Scheduler function is invoked to schedule the applicant for an oath ceremony. The Notice function is invoked to send an oath ceremony notice to the applicant. The scheduling of an applicant for an oath ceremony can be performed using the automated or the interactive scheduling function.

1.1.1.8 Scheduler/Oath Ceremony

For applicants who require an oath ceremony, the automated Scheduler function schedules the applicant for the oath ceremony. The Notice function is invoked and the appropriate notice is sent to the applicant. Oath ceremony scheduling can be performed by either interactive or batch processing.

1.1.1.9 Adjudication/Case Review

After the applicant has been interviewed, the adjudicator will determine whether the case requires a continuance action. The case is also updated with any additional evidence of background information that was missing during the interview. After the update is complete or the timeperiod allowed for the continuance has expired, a case review is performed. The Case Review process will determine whether an applicant should be given an interview or be required to supply additional evidence, decide to forward the case to the appropriate agency for further processing, and deny or grant an application.

1.1.1.10 Certificate Production

The automated Certificate Production function produces the naturalization certificates for the scheduled attendees for oath ceremonies.

1.1.1.11 Oath Ceremony Close Out

After the oath ceremony is conducted, the newly naturalized cases are closed out; the no-show cases and the newly granted naturalization certificate numbers are recorded.

System Architecture

This section provides a high-level diagram that identifies the INS enterprise network typology. Exhibit 2-6, CLAIMS 4.0 Architecture, depicts the hardware infrastructure required for successful deployment of CLAIMS 4.0 throughout the INS. Exhibit 2-6 also identifies the required typology for Headquarters, SCs, DOs, and the DOJ mainframe.

Exhibit 2-6: CLAIMS 4.0 Architecture

Service Center INS DOJ Systems District Office

The divisions are connected by a WAN. INS Headquarters is connected to this WAN by a router that is linked through TCP/IP. The DOJ in Dallas is connected to the WAN via a controller that is linked through System Network Architecture (SNA). The SCs and the DOs are connected to the WAN by a router linked to TCP/IP and a gateway using SNA.

The main data storage for CLAIMS 4.0 operations is located in Dallas. Data storage comprises a Pyramid Oracle RDBMS server and the CLAIMS 4.0 database, which contains the system's lookup and naturalization case data tables. These are accessed through the WAN by DOJ/Dallas, the SCs, and the DOs.

The DOJ mainframe computer is located in Dallas. The mainframe system RNACS and CIS store their data in the IDMS.

The SC configurations comprise CLAIMS 4.0 client workstations, a CLAIMS 4.0 batch client, office automation file servers (Novell TIP), HP 5 Si Mx w/RH tower feed printers, and Windows NT servers (CLAIMS 4.0 application server). These are linked to a Novell 4.1 LAN token ring environment, which is connected to the WAN.

The DO configurations comprise CLAIMS 4.0 client workstations, a CLAIMS 4.0 batch client, office automation file server (Novell TIP), Windows NT server (CLAIMS 4.0 application server), and printers. These are connected to a Novell 3.12 Ethernet LAN, which is linked to the WAN.

Local data (nonapplication) are stored in the office automation file servers (Novell TIP). The CLAIMS 4.0 programs are stored on client workstations and the Windows NT server. The naturalized case data are stored in the CLAIMS 4.0 database using the Oracle RDBMS server.

The data for an applicant are entered into the CLAIMS 4.0 client workstations at a SC. The data necessary to print the required notices are sent to the printer. The applicant's data are sent through the Novell token ring LAN to the WAN and forwarded to the Pyramid Oracle RDBMS server, which stores the data in the CLAIMS 4.0 database. The Adjudication process is performed at the DO. When data are needed from the DOJ, a request is sent from CLAIMS 4.0 to the DOJ mainframe. The DOJ responds to these requests as necessary. Most DOJ mainframe interface functions are handled by the national server located in Washington, DC.

System and Subsystem Overview

The subsequent sections discuss the technical details of the conceptual design of the CLAIMS 4.0 application subsystems. Because an object-oriented methodology was used, the

subsystems were decomposed into classes. Logical names were assigned to each of these classes and these logical names are used throughout the subsequent sections.

The subsequent sections also include class relationship diagrams to present the mid-level design of each of the CLAIMS 4.0 subsystems. This mid-level design shows how the classes reference each other. These references are the result of creating objects of one class with another class. Also, Visual Basic 4.0 allows the developers to reference a specific type of class without creating an object of that class. This specific type of class is a form. This type of relationship will also be included in the class relationship diagrams.

Receipting

Receipting will cover three sections providing an indepth look at each of the sections. Specific details will be provided in each of the subsequent sections.

1.1.1.12 Functionality

The Receipting function is responsible for providing Mailroom, Finance, and Data Entry functionality.

1.1.1.12.1 MAILROOM

The Mailroom component is designed to perform four primary tasks. First, it clocks in the application. Second, it assigns a system-generated application ID number to the application. Third, it can print, void, and reprint the application labels that are placed on the applications. This label includes the application ID bar code, as well as the application ID and "mail received date" in human-readable format as part of the information encoded in the bar code.

The last task is to handle initial payment processing. If a payment is included with the application, the Mailroom function endorses the check and generates a payment ID. When the payment is provided, the payment ID is also included on the bar-code label. Also included in the payment processing is a facility that allows the user to correct the payment and to change the status of new remittances to ready for payment processing.

Section 3 describes the Mailroom component classes and their responsibilities. The Mailroom component is implemented as an executable (Mailroom.exe).

1.1.1.12.2 FINANCE

The Finance component is designed to perform primarily four tasks. The first task is recording and reconciling the payment. The system is designed to accept single or multiple payments provided by the applicant(s). All the payments provided for a specific application are linked together with a single payment ID. If a single remittance is provided for multiple applications, a single payment ID is created so each application will refer to the same payment ID. In the case where multiple remittances are provided for a single application, or a related set of applications, each remittance

will be assigned a different remittance sequence number. However, each remittance will have the same payment ID.

The second available option of the Finance component is recording the cash box reconciliation and auditing the cash box. To assist with the manual reconciliation process, the system displays all the payments included in the cash box as well as the number of remittances and the total payment amount. After the user has performed the reconciliation, the system is designed to allow the user to select an option to record the user who has reconciled the cash box. Once the cash box is reconciled, the cash box is made available to the supervisor, so an audit can be conducted. If the cash box passes the audit, the supervisor can select an option to record that the cash box passed the audit. If the cash box does not pass the audit, the user who performed the reconciliation must reconcile the cash box again.

The third primary task this component provides is bounced check processing. The system is designed to accept the payment ID(s) of the bounced checks returned from the bank. Then, the system will determine which application or applications relied on that check. The system will suspend all processing on the application(s) until a valid payment is made. A bounced check notice is produced—to be mailed to the applicant(s) who were covered by the bounced check. The bounced check notice will indicate the case was suspended because of insufficient payment and the applicant(s) will be charged an additional returned check fee.

The fourth primary task is the generation of the Invalid Payment Notice. The user can request an Invalid Payment Notice be sent to the applicant when one or more of the following conditions exist:

- Remittance is not signed
- Remittance is not payable in U.S. currency
- Remittance is not payable to the INS
- Remittance is not usable

Printing cash box labels is the final task permitted by this function. This task is designed to print cash box bar-code labels. This cash box bar code contains the cash box ID used by the user while performing the payment data entry and reconciliation.

Section 3 describes the Finance component classes and their responsibilities. The Finance component is implemented as an executable (Finance.exe).

1.1.1.12.3 DATA ENTRY AND UPDATE

The Data Entry component is designed to assist the user with recording and updating the data obtained from the N-400 forms and the evidence provided for both new and existing applications. All this information is stored in the CLAIMS 4.0 database. The application ID (used as the key for these data) can be scanned in from the bar-code label or keyed in the text box on the data entry screen. Once data entry is completed, the system will perform the calculations necessary to determine if the payment, data, and evidence provided is sufficient to allow the application to proceed, or whether the suspense processes should be invoked.

If certain data and evidence requirements are not met, a "receipt acknowledgment with suspense" notice will identify the data and evidence that were missing at the time of processing and will specify that the application will be put into a suspense status, until these items are provided or a specific timeperiod has elapsed. A "receipt acknowledgment" notice is produced when the payment, all data, and evidence requirements are sufficiently met.

2.2.1.1.3.1 Group Management

The Group Management component is designed to allow the user to create and update group attributes, such as group ID, name, address, and application membership (applications that are linked together to form a group). The Group Management component also provides a facility that allows the user to search by group type and status. When the search facility is used, a list of groups are displayed and the user has the option of selecting one of the groups. After selecting the group, the detailed attributes are made available for user updates. The user can change the group members by deleting and adding a new application ID to the group. They can also modify all the other group attributes except the group ID.

1.1.1.12.4 SUPPORTING COMPONENTS

The Receipting subsystem uses several supporting components to assist in satisfying the functions specified above. We attempted to encapsulate one major service in each of these components to promote reuse and high functional cohesion. These supporting components include the following:

- Check endorsement class
- Communication class
- Database component
- Business component
- Payment component
- Cash Box component
- Pay Merge component

2.2.1.1.4.1 Check Endorsement Class

The check endorsement class is designed to perform franking of the remittance checks. The check endorsement class provides the following functions:

- Initializing and releasing the printer
- Checking if the communication environment is available by collaborating with the Communication class
- Checking if the check is inserted
- Managing all printing characteristics, including line feed height, fonts, line separator, etc.

- Reading the CLAIMS.INI file to capture the print options
- Getting the INS account number
- Printing the endorsement information on the back of the remittance check
- Producing appropriate and informative messages

2.2.1.1.4.2 Communication Class

The communication class is designed to support the check endorsement feature described in the previous section. This class is responsible for the following:

- Capturing the communication port as specified in the CLAIMS.INI file
- Setting up all default communication parameters, including timeout, handshaking, sending and receiving buffer sizes, data transfer rate, etc.
- Setting up the delay interval
- Sending data stream to communication port for printing
- Responding to various communication statuses

2.2.1.1.4.3 Database Component

The Database component is designed as an application interface to the CLAIMS 4.0 database. The component is thus made up of many classes. Each class contains the declaration of class members belonging to that class domain. For instance, the "Absence From US" class will contain a declaration for leaving date, returning date, leaving port of entry (POE), returning POE, destination country, reason for absence, 6-month absence flag, etc.

The class declaration consists of the "Get & Set" properties for each class member. Remote Data Object (RDO) is used as the interface to ODBC, which provides a generic interface to a remote RDBMS (in this case Oracle). Each of the class members resides in the CLAIMS 4.0 database as fields in the tables. RDO functions are used to retrieve the appropriate fields from the database and place them in the appropriate Database class members.

Following is the listing of the N-400 business domain classes included in the Database component:

- | | | |
|--------------------|-------------------------|------------------------|
| • Absence From US | • Applicant Address | • Alias |
| Allegiance Answers | Application | Children Information |
| Current Marriage | Eligibility | Additional Eligibility |
| Employment | Evidence | FD-258 |
| Form | Processing History | Labels |
| Marital History | Organization Membership | Payment |

Remittance

- Data Entry Results

Representative

- Transfer

Residence History

- User

In addition, the Database component also includes the environmental classes used for connecting and performing user login to the database, and interfacing with the Workflow Management system.

2.2.1.1.4.4 Business Component

The Business component is designed to be the primary internal component of the Receipt system. All other functions or activities in the Receipt system will eventually invoke the Business component services. Its primary responsibility is to retrieve, update, and insert data elements from the CLAIMS 4.0 database executing SQL commands.

The Business component creates its objects from classes defined in the Database component. The Business component comprises all classes covering the following N-400 business domains:

- Absence From US
- Allegiance Answers
- Current Marriage
- Employment
- Form
- Marital History
- Remittance
- Data Entry Results
- Applicant Address
- Application
- Eligibility
- Evidence
- Processing History
- Organization Membership
- Representative
- Transfer
- Alias
- Children Information
- Additional Eligibility
- FD-258
- Labels
- Payment
- Residence History
- User

In addition, the Business component accesses other supporting classes and subsystems, such as communication, database, group management, workflow management, lookups, and bar code generation.

2.2.1.1.4.5 Payment Component

The Payment component is designed to handle monetary transactions that include the following:

- Recording the payment method (check, money order, or credit card)
- Ensuring the payment ID exists in the database (the payment ID was created in the Mailroom component)
- Retrieving the payment record from the database
- Looking up for the correct fee amount (collaborating with Lookup Manager [Section 2.3.2, Lookup Manager Function])

- Handling multiple remittances under one payment ID (group payment); this capability includes adding a remittance to a group payment or removing a remittance from a group payment
- Storing the remittance amount to the database
- Handling the incorrect amount (under and over payment)
- Handling the bounced check and replacement checks situations
- Sending appropriate messages to inform the user of process status

2.2.1.1.4.6 Cash Box Component

The Cash Box component is designed to keep track of payment transactions of the payment clerk. Each cash box has a unique ID that is associated with a specific user and location. When a payment is recorded in the Payment component, the user cash box is opened to store the payment data. A cash box can contain several payment transactions. Cash box operations include the following:

- **Closing cash box**—Not accepting any more payments after closing
- **Reconciling the cash box**—The amount on each remittance, the total number of remittances, and the total dollar amount in a cash box must match the actual payments reported by the system.
- **Auditing cash box**—A Finance unit supervisor can audit the cash boxes belonging to the unit, and accept or reject them. The rejected cash boxes are returned to the initial user to reconcile. The supervisor cannot audit his or her own cash boxes.
- **Transferring cash box**—The supervisor can transfer ownership of a cash box from another user to his or her own. The supervisor can then close the transferred cash box, reconcile it, and have it audited by another supervisor.

2.2.1.1.4.7 Pay Merge Component

The Pay Merge component is designed to reconcile payments with the requested benefit. It is responsible for determining if the payment provided is an accurate payment, overpayment, or under payment. This component has no user interface; thus it is designed to run as a noninteractive background job. It also is designed to perform calculations on all the cases that are ready as indicated by the workflow manager.

1.1.1.13 Class Relationship

Attachment A, of the System Design Document for CLAIMS 4.0 (NCY00.20003-01.UA0-EDS), provides the class relationships of the Receiving function.

1.1.1.14 Subsystem Inputs and Outputs

Subsystem inputs are as follows:

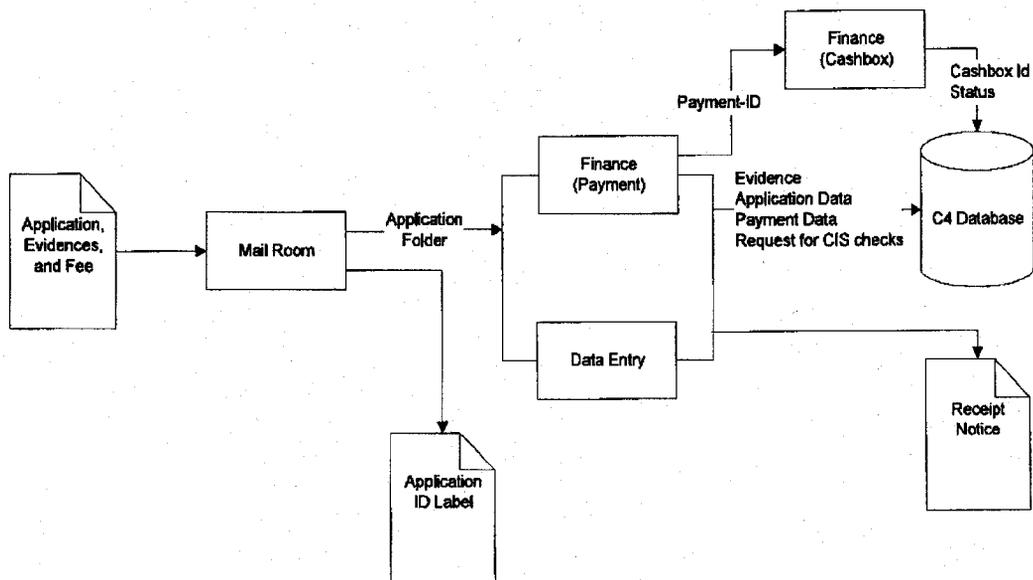
- **Application Form**—Includes the N-400 parts 1, 2, 3A, 3B, 4A, 4B, 5A, 5B, 6, 7, 8, 9, and 10
- **Evidence**—Includes the G-28, FD-258, birth certificate, marriage certificate, etc.
- **Payment**—Includes the payment information such as the payment amount, remittance sequence number, type of remittance, etc.
- **System Date and Time**—The time of day that the application is recorded in CLAIMS 4.0 as received in the mailroom as defined by the Oracle server

Subsystem outputs are as follows:

- **Receipt Notice**—Includes the application ID, payment ID, and case status, and indicates what (if any) evidence is missing; and if the payment is short, it indicates by how much
- **Labels**—Bar-code label that encodes the application ID, payment ID, or cash box ID depending at what step in the process the case is located
- **Requests**—A-Number validation and A-File request processing
- **Assembled and recorded evidence**—See evidence above
- **Application Data**—Data entered from the N-400, G-28, and FD-258 forms

Exhibit 2-7, Receiving Subsystem Data Flow, depicts the inputs and outputs as required for the Receiving function.

Exhibit 2-7: Receiving Subsystem Data Flow



Adjudication

The Adjudication process in the baseline CLAIMS 4.0 system supports the adjudication of N-400 applications. Baseline CLAIMS 4.0 includes the following functions:

- Case Reviews/Data Changes
- Examinations/Interviews
- Decision Processing
 - Grant
 - Continue for Interview
 - Continue for Information
 - Continue With Intent to Deny
 - Deny/Withdraw
 - Denial Due to Abandonment
 - Service Motion to Reopen and Reconsider
 - Applicant Motion to Reopen and Reconsider
 - Motion to Reopen and Reconsider
 - Decision on Interview/Oath Ceremony
 - Supervisor Review

The Adjudication process also provides the following supporting functions to make the Adjudication process more effective:

- Application List
- Name Change Petition
- Application History
- Past Exams Results
- Past Decisions Results
- Print Notices
- Find/Case Status

The following functions will be included in future releases:

- Appeal Decisions
- Reconciliation of Applications and Persons

1.1.1.15 Adjudication Functions

1.1.1.15.1 CASE REVIEW/DATA CHANGES FUNCTION

The Case Preview/Open function is designed to allow the user to access and update application information. The system will allow direct access to the application by accepting an application ID or an A-Number and displaying the application data. The system will also allow indirect access by accepting an office ID or an adjudication activity, and then displaying a list of cases ready for the selected adjudication activity in that office. The user can select the desired case and will see the same screen as in a direct access.

The Case Review/Data Changes function will be implemented via the Preview/Open screen and the Application ID screen described in the subsequent sections.

2.2.2.1.1.1 Preview/Open Screen

The Preview/Open screen is designed to contain a data entry field for the application ID, three information areas, and the standard process command buttons: OK, Cancel, and Clear.

The three information areas include the following:

- The application open mode area, which lists all the adjudication activities permitted for the user. This area is broken into two areas: Pending activities and Ad Hoc activities. The user can select an activity that will be used as a search criteria in conjunction with a specific office.
- The office selection area allows the user to specify an office to have all cases listed.
- The application list area displays all the applications that are ready for the desired adjudication activity in the selected office from the Pending activity list. The displayed case data include the application ID, the expected start date, the application status, and the assigned user ID. When the user selects a case, the application data will be displayed.

2.2.2.1.1.2 Application ID Screen

The Application ID screen is designed to display the application data for review and update. The screen is designed as a cluster of information. The main one is the applicant's biographic data, surrounded by other supporting data, including address, attorney, evidence, relatives, marriage status, employment, alias, eligibility, member of organizations, time absence from the United States, and residence history.

The implementation of this screen is a form with many tabs. Clicking on a tab will bring up a screen of pertinent data and allow the user to review and/or update information. The presence of the tabs depends on the form type of the application. For instance, the Residential History tab is displayed for N-400, but is hidden for N-565.

Fields with multiple values have a drop-down list for the user to choose if the list is relatively short. The user can tab to any field, and then type over to update.

2.2.2.1.1.2.1 Applicant Biographic Data Tab

The Applicant Biographic Data tab is designed to display fields including the A-Number, last name, first name, middle name, suffix, date of birth (DOB), country of birth (COB), phone, date of entry, country of citizenship (COC), Social Security number (SSN), date of permanent residence, marital status, sex, POE, occupation, and height.

Other fields are displayed based on the form type. For form N-400, the tab also displays the basis for eligibility, English proficiency, and permanent residency date.

2.2.2.1.1.2.2 Address Tab

The Address tab is designed to show the current mailing address and current resident address. If both addresses are the same, the user can check a box to indicate this, and the system will populate the resident address with the mailing address or vice versa.

2.2.2.1.1.2.3 Attorney Tab

The Attorney tab is designed to display the attorney information, if there is an attorney representing the case, or it can be used to attach an attorney to the case. The attorney information includes the INS attorney number, the attorney state license number, the Voluntary Agency (VOLAG) number, last name, first name, middle name, title, firm name or VOLAG name, mailing address, phone, fax, mobile phone, and type of appearance.

2.2.2.1.1.2.4 Evidence/Background Tab

The Evidence/Background tab is designed to allow the user to view and update the evidence associated with the case. It also provides a way to record the inquiry check responses from other agencies. Thus, the screen comprises the following three areas:

- The first area is for listing all requested evidence along with the status, so the user can select one to update or delete. The user will also have the option to view all evidence that could be requested for the case.
- The second area is for updating. The fields on this area include evidence status, target person (for whom the evidence is requested), and a note. The user will select an evidence in the first area then click on the Update button; the evidence current data are displayed in this area for updates.
- The third area is for recording responses from other agencies. The evidence or inquiries include the A-File, CIS check, N-426, FBI name check, FBI fingerprint, SB1 Visa, and G-325B.

2.2.2.1.1.2.5 Relative Tab

The Relative tab is designed to display a list of information about the applicant's relatives. The fields include last name, first name, middle name, what relation they are to the applicant, A-Number, status, and DOB. A stand-alone field and number of children will be provided. Standard processing buttons such as Update, Add, and Delete must be provided. The Update or Add button will lead the user to a pop-up window containing detailed biographic data for the selected relative; once there, the user can enter or update the information. The detailed information includes the relative's name, address, and the means to become a U.S. citizen (by birth, or by

naturalization; naturalization certificate number; or denied), and current situation (lives with applicant, lives at a separate address, or is deceased).

2.2.2.1.1.2.6 Marriage Tab

The Marriage tab is designed to list the name(s) of spouse(s) together with the DOB, A-Number, citizenship status, and SSN. A stand-alone field and number of times married are also provided. The user can select a spouse entry, then click the Update, Add, or Delete buttons.

The Update or Add button will lead the user to a pop-up window containing spouse's detailed information for updating. The spouse's detailed information includes name, SSN, A-Number, COC, COB, DOB, marriage date, divorce location, reason marriage ended, spouse's address, date and location of naturalization, and a naturalization certificate number.

2.2.2.1.1.2.7 Employment Tab

The Employment tab is designed to display a list of the applicant's employment data. The fields include the employer's name and the applicant's occupation, position, employment period, and the office. The user can select an employment entry, and click the Update, Add, or Delete button. The Update or Add button will lead the user to the edit employment information screen. This screen contains detailed employment data, including name, address, occupation, title, and date of employment.

2.2.2.1.1.2.8 Alias Tab

The Alias tab is designed to allow the user to add or update the applicant's aliases. The screen includes the following four areas:

- The first area is the name shown on the Alien Registration card.
- The second area is the name as it would appear on a Naturalization Certificate.
- The third area is the listing of aliases.
- The fourth area is for editing or entering the new the aliases.

The user may choose an alias from the list, click the Update button, and see the information populated to the fourth area for updating. The user can also click the Delete button to remove the alias. With the Add button, the user must key in a new alias in the fourth area and see the information appear on the listing area.

2.2.2.1.1.2.9 Eligibility Tab

The Eligibility tab is designed to display a list of questions just as they appear on the N-400 form. For each question, the screen also displays the question type, the expected answer, and the actual answer.

To update the answer, the user can click on the item to be changed and select one from a possible list: Yes, No, or blank.

This tab also provides an entrance (the Detail button) to viewing selective service details or arrest information details. If the user clicks on the Detail button, a pop-up window appears containing two tabs: the Selective Service Detail and the Arrest Information Detail.

The Selective Service Detail tab displays information including Selective Service number, date; local board number and classification if the applicant registered before 1978. To update, the user can click on the desired field and overwrite.

The Arrest Information Details tab is a list of information concerning the arrest(s). The user can select an arrest entry from the list, click on the Update button, activate a pop-up window containing pertinent data appear, and change the information. The user can also click on the Add button and enter the new data on to the pop-up window fields. To delete an arrest entry, the user selects the entry and clicks on the Delete button. The data on the Arrest Information tab include the crime nature, the crime outcome, crime date, and location.

2.2.2.1.1.2.10 Organization Tab

The Organization tab is designed to display a list of organizations of which the applicant is a member. The data include the organization name, the organization nature, membership period, and the location. The tab provides update, add, and delete capabilities. The user can select an organization entry from the list, then click on the Update, Add, or Delete button. The Update or Add button will invoke a pop-up window containing pertinent data for updating.

2.2.2.1.1.2.11 Absence From US Tab

The Absence From U.S. tab is designed to display a list of absence entries. The data include the total days absent, the absence period, the destination country, the port of return, the reason, and other unlisted details. The tab also provides update, add, and delete capabilities. The Update or Add button will invoke a pop-up window containing pertinent data for updating.

2.2.2.1.1.2.12 Residential History Tab

The Residential History tab is designed to display a list of current and past resident addresses of the applicant. The user can select an entry from the list, and click on the Update, Add, or Delete button. The Update or Add button will invoke a pop-up window containing pertinent information for updating.

2.2.2.1.1.2.13 Fingerprint Results Tab

The Fingerprint Results tab is designed to display a list of current and past fingerprint results as returned from the FBI for the applicant. The user can select an entry from the list and select the Modify Current button or the user may select Add FP Resp to add a fingerprint result. The Modify Current or Add FP Resp button will invoke a pop-up window containing pertinent information for updating/adding. The user may delete a newly added fingerprint result by selecting the Delete Added button. The user may also cancel the fingerprint request if the fingerprint is outstanding by

selecting the Cancel FP Req button. Once selected, the user may undo the cancel by selecting the Undo Cancel button. The user may also order new prints by selecting the Order New F's button.

2.2.2.1.1.2.14 G325 Tab

The G325 tab is designed to display a list of current and past fingerprint results as returned from the FBI for the applicant. The user can select an entry from the list and select the Modify Current button or the user may select Add FP Resp to add a fingerprint result. The Modify Current or Add FP Resp button will invoke a pop-up window containing pertinent information for updating/adding. The user may delete a newly added fingerprint result by selecting the Delete Added button. The user may also cancel the fingerprint request if the fingerprint is outstanding by selecting the Cancel FP Req button. Once selected, the user may undo the cancel by selecting the Undo Cancel button. The user may also order new prints by selecting the Order New F's button.

1.1.1.15.2 EXAMINATIONS/INTERVIEW FUNCTION

The Examination function is designed to provide the capability to administer the naturalization test to an applicant during the interview process or to record test results administered by an authorized test center.

The function is implemented via the Adjudication Test Results screen.

The screen has two tabs: INS Location Testing and Test Center Results.

2.2.2.1.2.1 INS Location Testing Tab

The INS Location Testing tab is designed to administer the naturalization test during the interview at an INS office. The screen comprises the following four areas:

- The Test Question area contains a list of randomly created civics or history questions. The correct answers are also listed. There is a Create Civics/History command button and a Create 65/20 command button. As the adjudicator clicks on either button, the system will generate a list of questions. The Clear button will clear the questions. The user may select the All Correct, All Incorrect, or Clear in the Answers section to indicate in the grid the correctness of the answers. These may also be entered individually by selecting each item in the grid. The applicant answers may be entered by typing in the answer in the Applicant Answer column of the grid. The questions and answers may be printed by selecting the appropriate button in the Print section.

- The Reading Sample and Writing Sample area includes two text boxes, and may be created by selecting the Grid icon. When created, they may be printed by selecting the Printer icon or erased by selecting the Eraser icon.
- The Test Result area includes the test location, test date, administrator ID, civic/history score, civic/history result (pass, fail, waive, 245A interview passed), and English proficiency result (pass, fail, waive, 245A interview passed).
- The Adjudicator Note area is an input field where the adjudicator can enter any notes.

2.2.2.1.2.2 Test Center Test Result Tab

The Test Center Test Result tab is designed to allow the adjudicator to record the results of the naturalization test administered at an authorized test center.

The fields on this screen include the test center affiliation code, the test center number, the administrator ID, the civic/history test result (pass, fail, score), test center rating, English proficiency result (pass, fail, waive), and the adjudicator note.

1.1.1.15.3 DECISIONS FUNCTION

After the adjudicator has entered the naturalization test results and reviewed the application, he or she can grant, continue, continue with intent to deny, or deny-withdraw the case. Before the final decision is made, the case can be placed on hold for later processing, or can be sent to a supervisor for further review. The adjudicator has the option to create a customized notice at the time of the decision or at a later time.

2.2.2.1.3.1 Approve Choices Screen

The Approve Choices screen is designed for the adjudicator to record the approve decision, the reasons for, and other decision supporting data elements. The screen contains the following areas:

- The approval choices area allows the adjudicator to check the appropriate approval box.
- The approval text area displays the approval paragraph corresponding with the approval choice.
- The supporting area comprises the following folder tabs (this area will be reused in other adjudication screens):
 - The Decision Result tab contains the supporting data elements, including the user ID of the person who enters the result, the adjudicator ID, the adjudication date, the interpreter name, the language interpreted, the Government agency that audits the decision, the type of oath ceremony (administrative or judicial), and the notices status.
 - The Adjudication Note tab contains the adjudicator notes.
 - The Decision Review Result tab lists all the adjudication events for the case.

2.2.2.1.3.2 Oath Ceremony Locations Screen

The Oath Ceremony Locations screen is designed to assist the adjudicator in requesting a site for the oath ceremony for a case that may either be approved in the future or for a case currently being approved. The screen displays a location listing consisting of three fields: the ceremony type (administrative or judicial), the ceremony date, and the location. A check box is placed at the beginning of each entry for the user to check and select the entry.

The locations of the ceremony are preferably within the same ZIP code area as the applicant's current resident address.

2.2.2.1.3.3 Continue Reason Screen

The Continue Reason screen is designed to assist the adjudicator in continuing the case when further information, evidence, or action is needed before a decision can be made. The screen also allows the adjudicator to record missing evidence or other reasons to continue the case. The adjudicator has the option to create a customized notice or generate a standard notice based on the reasons selected. The screen comprises the following panels and the supporting area (reuse) described in Section 2.2.2.1.3.1, Approve Choices Screen:

- The Missing Evidence panel displays all evidence required for the case and the evidence target person. The adjudicator selects an evidence by checking the box preceding the evidence entry.
- The Process Incomplete Reasons panel displays a list of predefined process reasons. Each reason is shown with a check box for the user to select.
- The Other Reasons panel displays a list of other nonprocess reasons that put the case in the continue status, but for which the applicant must be reinterviewed.
- The supporting area is reused from the Approve screen with the addition of the case complexity field (high, medium, or low), and the removal of the oath ceremony type. If the applicant is to be reinterviewed, the case complexity can be specified for time allotment purposes.

2.2.2.1.3.4 Continue With Intent to Deny Screen

The Continue With Intent to Deny screen is designed to assist the adjudicator in recording the continuation reasons. However, the adjudicator does not intend to grant the case. A customized notice is required for this function. The screen comprises the following panels and the shared supporting area described in Section 2.2.2.1.3.1:

- The Continue With Intent to Deny Reasons panel displays a list of reasons. The adjudicator selects a reason by checking a box preceding the reason.
- The Continue With Intent to Deny Paragraphs panel lists paragraph choices. The user selects an appropriate paragraph by checking the box preceding its name.

- The supporting area is reused from the Approve screen with the removal of the oath ceremony type.

2.2.2.1.3.5 Deny/Admin Close/Withdraw Screen

The Deny/Admin Close/Withdraw screen is designed to assist the adjudicator in recording the deny decision and its reasons. The adjudicator can also create a customized notice. The screen comprises the following panels and the shared supporting area described in Section 2.2.2.1.3.1:

- The Deny/Admin Close/Withdraw choices panel displays three available options depending on the form type of the application. For N-400, three choices are available: deny application, administrative close application, and application withdrawn. The adjudicator selects an option by checking a box preceding the option.
- The Deny/Admin Close/Withdraw Reasons panel displays a list of reasons. The adjudicator selects a reason by checking the box preceding the reason.
- The Deny/Admin Close/Withdraw Paragraphs panel displays the paragraph corresponding to the selected reason.
- The supporting area is reused from the Approve screen with the removal of the oath ceremony type.

2.2.2.1.3.6 Denial Due to Abandonment Screen

The Denial Due to Abandonment screen is designed to assist the adjudicator in recording the denial due to abandonment decision and its reasons. The adjudicator can also create a customized notice. The screen comprises the following panels and the shared supporting area described in Section 2.2.2.1.3.1:

- The Denial Due to Abandonment Choices panel displays the available option for abandonment. The adjudicator selects an option by checking a box preceding the option.
- The Denial Due to Abandonment Reasons panel displays a list of reasons. The adjudicator selects a reason by checking the box preceding the reason.
- The Denial Due to Abandonment Paragraphs panel displays the paragraph corresponding to the selected reason.

- The supporting area is reused from the Approve screen with the removal of the oath ceremony type.

2.2.2.1.3.7 Service Motion to Reopen and Reconsider—Derogatory Screen

If new information received provides cause for denial, but the application has been approved, the Service Motion to Reopen and Reconsider—Derogatory function allows the adjudicator to reopen and review the case. A customized notice is required for this decision. The screen comprises the following panels and the supporting area described in Section 2.2.2.1.3.1:

- The Motion to Reopen Reasons panel displays a list of reasons. The adjudicator selects a reason by checking the box preceding the reason.
- The Motion to Reopen Paragraphs panel displays a list of paragraph names. The adjudicator selects a paragraph by checking the box preceding it.
- The supporting area presents slightly different information. The Decision Review Result tab is removed. The Decision Result tab contains the following fields: the user ID of the person who enters the results, the user ID of the adjudicator who reopens the case, the reopen date, the original approve ID, and the original approve date.

2.2.2.1.3.8 Applicant Motion to Reopen and Reconsider

If the applicant requests his denied case to be reopened and reconsidered, then the Applicant Motion to Reopen and Reconsider function allows the adjudicator to decide whether to grant or dismiss this request. A customized notice is required for this decision. The screen comprises the following panels and the supporting area described in Section 2.2.2.1.3.1:

- The Motion to Reopen and Reconsider Decision panel displays two options: Grant and Dismiss. The adjudicator selects one by checking the box preceding the option.
- The Motion to Reopen Routing panel displays a list of routing options if Grant is selected. The adjudicator selects an option by checking the box preceding the option.
- The Motion to Reopen Paragraphs panel displays a list of paragraph names. The adjudicator selects a paragraph by checking the box preceding it.
- The supporting area presents slightly different information. The Decision Review Result tab is removed. The Decision Result tab contains the following fields: the user ID of the person who enters the results, the user ID of the adjudicator who reopens the case, the reopen date, the original denial ID, and the original denial date.

2.2.2.1.3.9 Decision on Interview/Oath Ceremony—Interview Decision/Oath Ceremony Decision Screen

This function is designed to assist the adjudicator in rescheduling cases for interview. The adjudicator can verify if the case is “no-show” by accessing the Application History screen described below. If the case is no-show, the adjudicator has the option to reschedule the case using the Interview Decision screen. The Interview Decision screen comprises the following areas:

- The interview decision area displays choices for interview type (Question and Answer or Re-Exam), and the case complexity indicator (high, medium, or low).
- The interview location area displays a list of interview locations that are allowed according to the applicant’s residential ZIP code. The information includes the location code, the sublocation code, and the location description. The adjudicator can select a location by checking a box preceding the location code.

2.2.2.1.3.10 Supervisor Review Function

The Supervisor Review function is designed to enable a supervisor to review the decision made to a case. All Adjudication functions and screens are available to the supervisor. From the Adjudication Decision screen, the supervisor can select either confirm or remand the decision. To change the decision, the supervisor can overwrite the decision fields. The supervisor can also view the Prior Test Results screen. The supervisor may confirm and make the decision final or may remand, or make a new final decision. Whether remanding or confirming, the supervisor has the option to send the decision back to the referring adjudicator.

1.1.1.15.4 APPLICATION LIST

The Application List function is designed to allow the user to view a list of all applications submitted under a first and last name that are similar to the open application. The displayed information includes the application ID, firm number, A-Number, applicant's last and first name, DOB, and COB.

From this list, the user may choose to view a summary of an application, which is provided through Case Status; or the user may choose to open the application and work on it.

1.1.1.15.5 NAME CHANGE PETITION SCREEN

The Name Change Petition screen is designed to allow the user to record a name change. The screen contains the old name and the new name areas. The data elements in each area include last name, first name, middle name, and suffix. In addition to the OK, Cancel, and Clear buttons, a Print button is provided to produce a hard copy of the change.

1.1.1.15.6 APPLICATION HISTORY SCREEN

The Application History function is designed to allow the adjudicator to review all activities that have been done on a case. The function also provides a summary of current activity, and a tally of no-shows and cancellations for interviews or oath ceremonies.

If the user wants to include the RAFACS information in the function preferences, the responsible party and section information is displayed.

The screen comprises the following areas:

- The History Activity area displays all completed activities for the case. The displayed data elements include the activity description, the activity status, the activity workflow end condition, the user ID of the person who performed the activity, and the activity time stamp.
- The Current Activity area displays the current pending or active activities. The data elements include the activity description, the activity status, and the user ID.
- The RAFACS information area contains the responsible party and section information.

- The No-Show/Cancellation area displays the tallies for no-shows or cancellations for both interview and oath ceremonies.

1.1.1.15.7 PAST EXAM RESULTS FUNCTION

The Past Exam Results is a supporting function designed to allow the adjudicator to review quickly the past exam results of the case. The screen displays a list of past exams with supporting data elements including civic/history result, English proficiency result, the administrator ID, the test date, and the test center.

Access to this function is provided as a menu item under the View menu of the Adjudication Manager window.

1.1.1.15.8 PAST DECISION RESULTS FUNCTION

The Past Decision Results is a supporting function to provide the adjudicator a list of previous decisions on the case. The screen displays a list of decision data elements, including the decision result, the decision status, the adjudicator user ID, the decision date, and the final notice status. Access to this function is provided as a menu item under the View menu of the Adjudication Manager window.

1.1.1.15.9 NOTICE FUNCTION

The Notice function is designed to assist the adjudicator in creating a customized notice. A toolbar button and menu options provide the entrance to this function. The Notice screen displays a list of options, including the following:

- Quick View Template
 - Quick View Notice
 - Send to Batch Print
 - Print Local
 - Customize
 - Print Completed Decision Notice
- Delete Notice

The Notice template will be displayed in MS Word for viewing and editing. The options are enabled/disabled appropriately depending on the status and type of the decision notice.

1.1.1.15.10 FIND/CASE STATUS FUNCTION

This function is designed as a link to the Case Status subsystem. The function provides the adjudicator a means to locate a case quickly.

1.1.1.16 Class Relationships

Attachment A, of the System Design Document for CLAIMS 4.0 (NCY00.20003-01.UA0-EDS), provides the class relationships of the Adjudication function.

1.1.1.17 Subsystem Inputs/Outputs

Exhibit 2-8, Adjudication Subsystem Data Flow, describes the inputs and outputs required for the Adjudication subsystem.

Exhibit 2-8: Adjudication Subsystem Data Flow

—— Certificate Updates Request ——>

1.1.1.17.1 ADJUDICATION INPUTS

System inputs include the following:

- **Application ID**—Provides an index to the data obtained from the application as stored on the database
- **Background Checking Results**—Includes data returned from “background checks” with systems both inside and outside of the INS and entered into the database
- **A-File**—The physical A-File as requested through RAFACS/CIS
- **Application**—The physical naturalization application and supplied evidence

1.1.1.17.2 ADJUDICATION OUTPUTS

Adjudication produces the following system output:

- **Notices**—Specifically includes Notices of decision, need to reexamine, need for question and answer session, additional evidence requirements (through the Notices subsystem as described in Section 2.2.6, Notices), the oath ceremony notice, and bar code for the N-445B produced in real time for distribution at the interview (also through the subsystem as described in Section 2.2.6)
- **Scheduling Requests**—Include scheduling requests for oath ceremony, question and answer, or repeat exams
- **Application Updates**—Includes updates to application data and status in the data
- **NACS Mainframe and CIS Updates**—Includes updating application data and status in the existing NACS and CIS (through the Interfaces component described in Section 2.2.9, System Maintenance)

Case Management

Case processing activities, events, and any data correction or resolution must be recorded for tracking and auditing purposes. More importantly, those activities and events must be posted to the

Workflow system to place the case in an appropriate processing state as dictated by Workflow. The CM subsystem is designed to accommodate those requirements.

In CLAIMS 4.0, the CM subsystem includes the following three components:

- CM
- Claims Resolution (CR)
- BSU

Additional functionalities might be provided in future releases pending requirement determination.

1.1.1.18 Functionality

Specifics describing the key functions are discussed in the subsequent sections.

1.1.1.18.1 CASE MANAGEMENT

The CM component is designed as a shell to house the CR and the BSU components. Entrance to CM is provided via a selection on the CLAIMS 4.0 main menu. Once the users are in CM, they will be able to select either CR or BSU by clicking on the appropriate toolbar button.

1.1.1.18.2 CLAIMS RESOLUTION

The CR component is designed to allow the user to resolve data discrepancies between CIS and CLAIMS 4.0, to enter missing required data, and to correct error data in address information. The subsystem will allow the user to list all cases that are either in the Initial Resolution process or in the Information Received process for a specific office. From the list, the user can select a particular case to work on; that is, comparing the data from CIS with the data from the application, and resolving the mismatch. The user can also key in missing data based on the information provided by the applicant. The user can also access a case directly by entering the application ID. CR will update the case with new information and inform Workflow of the new case status.

1.1.1.18.3 BATCH STATUS UPDATE

The BSU component is designed to record activities or events that take place on the cases in four areas: Batch Status, Close Out Case, No-Show, and Certificate Withheld. The system supports either one single case or multiple cases in one invocation.

2.2.3.1.3.1 Batch Status

The Batch Status option is designed to record the following events:

- Fingerprint/Agency Check Requested
 - Fingerprint Check Requested
 - Military Check Requested
 - G-325B Check Requested

Fingerprint/Agency Check Received

- FBI Fingerprint Check Received
 - Military Check Received
 - G-325B Check Received
 - FBI Name Check Received

Evidence Received

- N-426 Submitted by Applicant
- FD-258 Submitted by Applicant
- Photo Submitted by Applicant

Case Management

- Place FBI Rap Sheet in A-File
- Update With Requested Motion to Reopen Information
- Update With Requested Interview No Show Information
- Naturalization Certificate Issued
- CIS Attended Search
- Reverify Grant
- Review Fee Waiver Request

Fee Required

Fee Waived

- Reopen Request Received
- Undeliverable Notice

Undeliverable Request for Fingerprint Appearance

Undeliverable Initial Notice

Undeliverable Bounced Check Notice

- Undeliverable Underpayment Notice
- Denial Due to Abandonment

Failure to Appear for Fingerprinting

Failure to Submit Fingerprints (Residing Abroad)

Failure to Submit the Correct Fingerprint Fee

Nonpayment of the Fee for Fingerprinting

Undeliverable Notice

- Information Received

- Withdrawal Request Received
- Derogatory Information Received

The system accepts an application ID or a list of application IDs, and if the user clicks on OK, it proceeds to update the cases with the appropriate action codes reflecting the events. It also updates case conditions in the Workflow system to synchronize the processes. The BSU subsystem also provides an error log containing cases that cannot be processed for any reasons.

2.2.3.1.3.2 Close Out Case Function

The Close Out Case option is designed to close a case(s) for reasons other than naturalization. There are two types of close out: Administrative Close Out or Judicial Close Out. The system will accept a list of application IDs and the type of close out, and if the user clicks on OK, it performs the updates. It also updates the case condition in Workflow to reflect the close out status.

2.2.3.1.3.3 Recording a No-Show

The No-Show option is designed to record no-show status for cases where the applicants did not appear at the interview or at the oath ceremony. The system accepts a list of application IDs, the type of no-show (interview or oath), and if the user clicks OK, it proceeds to update the cases with appropriate status codes. It also updates the case conditions in Workflow to reflect the no-show status.

1.1.1.18.4 CHANGE OF ADDRESS REQUEST

The Change of Address Request component allows the user to modify the existing mailing or residential addresses for CLAIMS 4.0 applications. After entering the desired application number, the user is presented with a tabbed screen allowing for updating one or both of the addresses. Once modified, the addresses are passed through validation edits prior to the update of the Oracle database.

1.1.1.18.5 FBI FINGERPRINT RESULT

The FBI Fingerprint Result component allows the user to easily record results returned from the FBI into CLAIMS 4.0. Once the desired application is entered on the screen, the user can enter the Response code and date that applies to the applicant. The adjudicator's user ID is captured for security purposes. In addition to providing result maintenance capability, the user can also view all prior results for the desire applicant.

2.2.3.1.3.4 Certificate Withheld

The Certificate Withheld option is designed to record certificate withheld status. The system accepts a list of application IDs and an indicator of whether the oath ceremony was administered. If the user clicks on OK, the system will update the cases with the appropriate action code. The system also updates the case condition in Workflow to reflect the certificate withheld status.

2.2.3.1.3.5 Address Change Petition

The Address Change Petition option is designed to record the new address of an N-400 applicant. The system requires the user to enter an application ID that is used to retrieve the current mailing and residential mailing address. The user has the option to change mailing and/or resident address.

The workflow activity "AddrChgPet" is started when the user enters a valid application ID. If the change of address results in a change in jurisdiction, upon saving, the activity is completed with an end condition of "ChgJur," which indicates the jurisdiction has changed. Otherwise, the activity is completed with the end condition "NoChgJur." If the address change petition is canceled, the activity is also canceled.

1.1.1.19 Class Relationships

The structure is produced by the object-oriented modeling tool Rational Rose, and reflects the relationships between various classes that support the system.

1.1.1.20 Subsystem Inputs/Outputs

1.1.1.20.1 CLAIMS MANAGEMENT COMPONENT

There are no required inputs or outputs for the Claims Management component.

1.1.1.20.2 CLAIMS RESOLUTION COMPONENT

CR inputs include the following:

- Receipt of CIS applicant data
- Receipt of missing required data
- RAPS Transfer Errors
- RAPS Notify Errors
- A-File
- Application

CR outputs include the following:

- Database updates
- Workflow notifications
- Interface requests
- Interface acknowledgment

Exhibit 2-9, Claims Resolution Data Flow, depicts the inputs and outputs required for the CR component.

Exhibit 2-9: Claims Resolution Data Flow



1.1.1.20.3 BATCH STATUS INPUTS/OUTPUTS

Batch Status inputs include the following:

- Application ID
- Fingerprint/Agency checks ordered requests
- Fingerprint/Agency checks response received
- A-File
- Application
- Close-out data
- List of no-show cases
- Certificate withheld status

Batch Status outputs include the following:

- Database updates
- Workflow notifications
- Interface requests
- Interface acknowledgments

Exhibit 2–10, Batch Status Update Data Flow, describes the inputs and outputs required for the BSU component.

Exhibit 2–10: Batch Status Update Data Flow



1.1.1.20.4 CHANGE OF ADDRESS PETITION COMPONENT

Change of Address Petition inputs include the following:

- Application data
- Address Data

Change of Address Petition outputs include database updates.

1.1.1.20.5 FBI FINGERPRINT RESULT COMPONENT

FBI Fingerprint Result inputs include application data. FBI Fingerprint Result outputs include database updates.

Case Status Inquiry

The Case Status Inquiry system is designed to provide the user with the capability to inquire the status or history of a particular case. The search key can be as follows:

- **Personal data**—Includes any of the following: application ID, A-Number, form type, last name, first name, SSN, DOB, or COB
- **Mailing address**—Includes street number, street name, room number, city, state, and ZIP code

- **Attorney data**—Includes any of the followings: last name, first name, INS attorney number, attorney state ID, or VOLAG number
- **Other data**—Includes any of the following: owner location code, POE, date of entry range, payment ID, certificate number, or DOB range

Once a match or a list of potential matches is displayed, the user will be able to view the interview schedule, the attorney information, or the fingerprint check status for the desired case.

1.1.1.21 Functionality

The Case Status functionalities are implemented in the following screens:

- Search screen
- Case Status screen
- Interview Schedule screen
- Attorney Information screen
- Fingerprint Information screen

1.1.1.21.1 SEARCH SCREEN

The Inquiry's main screen is designed as a search form with four tabs corresponding with the four groups of search criteria mentioned above. The search result can be an exact match, a multiple match, or a no match.

- If the user selects the Personal tab, the search screen will include the application ID, the A-Number, the form number, last name, first name, SSN, DOB, and COB.
- If the user selects the Mailing Address tab, the search screen will include street number, street name, room number, city, state, and ZIP code.
- If the user selects the Attorney tab, the search screen will include the attorney's last name, first name, the INS attorney number, attorney's state ID, and the VOLAG number.
- If the user selects the Other tab, the search screen will include an owner location code (File Control Office [FCO]), POE, date of entry range, payment ID, certificate number, or DOB range.

The system will edit for proper format of the application ID, the payment ID, A-Number, and dates and ensure that city, state, and ZIP code are synchronized before it formats the database search inquiry.

If the search results in an exact match, the user will see the Case Status screen as described in Section 2.2.4.1.2, Case Status Screen.

If the search results in multiple matches, a Search Result list with multiple cases is displayed. The user can select the desired case to view the Case Status screen.

If the search is unsuccessful, a message box will appear informing the user of the “not found” condition.

1.1.1.21.2 CASE STATUS SCREEN

If the search is successful, the Case Status screen displays information for the selected case. The screen will have the following areas:

- The first area displays case identification data, including last name, first name, application ID, form number, mailing address, A-Number, receipt date, and the owning office location.
- The second area displays the payment information, including the payment ID, the payment status, and the payment amount.
- The third area displays the Workflow activities allocated to the case, including the application ID, the activity processor (or Workflow station), the activity description, the activity status, the expected starting date, and the expiration date of that activity.
- The fourth area displays the processing history of the case, including the application ID, the processor (or user ID), the activity description, the activity date, and the activity result (Workflow End Condition).

The GUI design will provide scroll bars in the third and fourth areas, allowing the user to move up and down to view the entire Workflow status or history of the case.

1.1.1.21.3 INTERVIEW SCHEDULE SCREEN

While viewing the case information, the user can click on a toolbar button to view the interview schedule for that case. The Interview Schedule screen will display the interview location, room number, room section, date, and time.

1.1.1.21.4 ATTORNEY INFORMATION SCREEN

From the Case Status screen, the user can also view the attorney information for the case by clicking on a toolbar button. The information on the attorney screen includes the INS' attorney number, attorney's state license number, VOLAG number, last name, first name, middle initial, title, firm name or VOLAG name, mailing address, phone number, fax number, mobile phone number, and the type of appearance.

1.1.1.21.5 FINGERPRINT INFORMATION SCREEN

From the Case Status screen, the user can also view the fingerprint information associated with the case by clicking on a toolbar button. The fingerprint information screen includes the following areas:

- The first area displays the applicant's identification data, including last, first, and middle name and up to five aliases.
- The second area displays the applicant's biographic information, including eye color, hair color, height, weight, sex, place of birth, DOB, and race.
- The third area displays the fingerprint card processing information including contributor identification number (CIDN), A-Number, SSN, FBI number, local originating agency identification (ORI), and regional ORI. The fingerprint processing status or the FBI response is not included.

1.1.1.22 Class Relationships

Attachment A, of the System Design Document for CLAIMS 4.0 (NCY00.20003-01.UA0-EDS), provides the class relationships of the Case Status Inquiry function.

1.1.1.23 Subsystem Input/Outputs

This section describes the inputs and outputs required for the Case Status subsystem.

Exhibit 2-11, Case Status Subsystem Data Flow, shows the input and output for the Case Status subsystem.

Exhibit 2-11: Case Status Subsystem Data Flow

1.1.1.23.1 CASE STATUS INPUTS

The input to Case Status includes the following:

- **Personal data**—Application ID, A-Number, form type, last name, first name, SSN, DOB, or COB
- **Mailing address**—Street number, street name, room number, city, state, and ZIP code
- **Attorney data**—Last name, first name, INS' attorney number, attorney state ID, or VOLAG number
- **Other data**—Owner location code, POE, date of entry range, payment ID, certificate number, or DOB range

1.1.1.23.2 CASE STATUS OUTPUTS

The output from Case Status includes the following:

- Application data
- Interview schedule
- Attorney information
- Fingerprint check status

Scheduling

The Scheduling subsystem is responsible for assigning appointments to applicants for interviews, oath ceremonies, and fingerprinting.

1.1.1.24 Functions

The Scheduling function has been decomposed into the following components: Administration, Scheduling, Utilities, Group Management, Information, Batch Client, Batch Server, Schedule Interview, and Schedule Oath Ceremony/Fingerprint.

1.1.1.24.1 ADMINISTRATION

The Administration component is designed to satisfy the following functionality:

- Assign Exam to Oath Ceremony
- Interview Location
- Interview Section Profile
- Interview Service Type
- Oath Ceremony Facility Profile
- Oath Ceremony Location Profile

2.2.5.1.1.1 Assign Exam to Oath Ceremony

This function is designed to allow the user to set up the examiner profile and to assign an examiner to an oath ceremony. It allows the user to set up the office location structure for the interview services. This setup includes scheduling sites, interview location, room, and some other location information.

2.2.5.1.1.2 Interview Location

This function is designed to allow the user to set up the office location structure for the interview services. This setup includes scheduling sites, interview location, room, and some other location information.

2.2.5.1.1.3 Interview Section Profile

This function is designed to allow the user to create a section and to set up the section profile. A section profile consists of the following:

- Number of examiner handle the section
Services performed in the section
- The time the section is open for service

The information above is used to create available slots.

2.2.5.1.1.4 Interview Section Type

This function is designed to allow the user to set up the interview service type for a scheduling site. It also allows setting up the service length, buffer time between interviews, and the time interval the services has to be scheduled.

2.2.5.1.1.5 Oath Ceremony Facility Profile

This function is designed to allow the user to set up the oath ceremony profile for a room. The profile consists of setting the capacity, date and time for the oath ceremony, as well as the service type conducted.

2.2.5.1.1.6 Oath Ceremony Location Profile

This function is designed to allow the user to set up the office location structure for the oath ceremony or fingerprint event. The office location structure consists of scheduling sites, oath facilities, rooms, and gates.

1.1.1.24.2 SCHEDULING

The Scheduling component has been decomposed as follows:

- Schedule Main
Schedule Interview

- Schedule Oath Ceremony
- Cancel Schedule
- Deschedule
- Place in Queue
- Remove From Queue
- Services Conducted
 - Schedule No-Show

2.2.5.1.2.1 Schedule Main

This function consists of common classes that are used in multiple other subfunctions. This function allows the users to start the interactive scheduler function.

2.2.5.1.2.2 Schedule Interview

This function is designed to allow the user to interactively schedule an applicant(s) for an interview. The user can enter application ID, A-Number, or group ID to initiate the operation. After the initial entry, the user will have the option to select more members of the group. This function will also check the application's eligibility for the operation. It will also allow the user to select a location, service type, and date for the scheduled interview.

2.2.5.1.2.3 Schedule Oath Ceremony

This function is designed to allow the user to interactively schedule an oath ceremony or fingerprint event for an applicant(s). The user can enter application ID, A-Number, or group ID to initiate the operation. After the initial entry, the user will have the option to select more members of the group. This function will also check the eligibility for the operation and will also allow the user to select a location, service type, and date for the scheduled oath ceremony.

2.2.5.1.2.4 Cancel Schedule

This function is designed to allow the user to cancel an interview or oath ceremony on an applicant's request. It also records the number of cancellations. The user can enter application ID, A-Number, or group ID to initiate the operation. After the initial entry, the user will have the option to select more members of the group. This function will also check the application's eligibility for the operation.

2.2.5.1.2.5 Deschedule

This function is designed to allow the user to deschedule an applicant. The user can enter an application ID, A-Number, or group ID to initiate the operation. After the initial entry, the user will have the option to select more members of the group. This function will also check the application's eligibility for the operation.

2.2.5.1.2.6 Place in Queue

This function is designed to allow the user to put an applicant(s) in the scheduler ready to schedule queue. The user can enter application ID, A-Number, or group ID to initiate the operation. After the initial entry, the user will have the option to select more members of the group. This function will allow the user to check the application's eligibility for the operation.

It also allows the user to select a location for the interview or oath ceremony other than its original default service location, to change the service type required, and to add a reschedule delay date.

2.2.5.1.2.7 Remove From Queue

This function is designed to allow the user to remove an applicant(s) from the scheduler ready to schedule queue. The user can enter an application ID, A-Number, or group ID to initiate the

operation. After the initial entry, the user will have the option to select more members of the group. This function will also check the application eligibility for the operation.

2.2.5.1.2.8 Services Conducted

This function is designed to allow the user to record that the service has been conducted for an applicant(s). The user can enter application ID, A-Number, or group ID to initiate the operation. After the initial entry, the user will have the option to select more members of the group. This function will also check the applicant's eligibility for the operation.

2.2.5.1.2.9 Schedule No-Show

This function is designed to allow the user to record a No-Show for an interview or oath ceremony. The user can enter an application ID, A-Number, or group ID to initiate the operation. After the initial entry, the user will have the option to select more members of the group. This function will also check the applicant's eligibility for the operation.

1.1.1.24.3 UTILITIES

This option of scheduler controls multiple utility functions that allow the user to perform the following:

- Set up scheduler rules
- Purge old records from scheduler tables
- Set up color codes for oath ceremony gates
- Run batch scheduler functions

1.1.1.24.4 GROUP MANAGEMENT

This function is designed to allow the user to specify search criteria, such as application ID, group ID, A-Number, last name, location, etc., and can be used to locate an application.

This function allows the following operations:

- Create new groups
- Add a members to a group
- Remove members from a group
- Dissolve a group
- Combine groups
- Split groups
- Create group names and allow the user to update group information

1.1.1.24.5 INFORMATION

This option of the scheduler controls the following functions:

- Status inquiry
- View error log

1.1.1.24.6 BATCH CLIENT

This function is designed to allow the user to initiate the batch scheduler. It also allows the user to perform multiple batch scheduling functions such as schedule applicants for interview, schedule applicants for oath ceremony, and schedule applicants for fingerprint. Users can create available slots and a ready to schedule queue based on the cases available in the workflow ready to schedule queue.

1.1.1.24.7 BATCH SERVER

This function is designed to allow the batch scheduler server to be called by the batch client to perform multiple batch scheduling functions, such as schedule applicants for interview, schedule applicants for oath ceremony, and schedule applicants for fingerprint. The batch server also allows the user to create available slots and to create a ready to schedule queue based on the cases available in the workflow ready to schedule queue.

1.1.1.24.8 SCHEDULE INTERVIEW

This function is a part of the batch server that handles the scheduling of applicants for interview.

1.1.1.24.9 SCHEDULE OATH CEREMONY/FINGERPRINT

This function is a part of the batch server that handles the scheduling of applicants for oath ceremony and fingerprint.

1.1.1.24.10 COMMON CLASSES

This package includes all the common classes used for both interview and oath ceremony/fingerprint.

1.1.1.25 Class Relationships

Attachment A, of the System Design Document for CLAIMS 4.0 (NCY00.20003-01.UA0-EDS), provides the class relationships of the Scheduling function.

1.1.1.26 Subsystem Inputs/Outputs

The subsequent sections describe the inputs and outputs required for the Workflow Management subsystem. Exhibit 2-12, Scheduling Subsystem Data Flow, depicts the scheduling subsystem data flow.

Exhibit 2-12: Scheduling Subsystem Data Flow



1.1.1.26.1 SCHEDULER INPUT

Scheduler input includes the following:

- Location structure of the scheduling office, site, service location, room, and gate
- Location profile
- Hours of operation
- Number of adjudicators required to handle the services
- Services performed at the location
- Capacities
- Exceptions to regular profile
- Application ID, group ID, last name, A-Number
- Location for services
- Services required

1.1.1.26.2 SCHEDULER OUTPUT

Scheduler output include the following:

- Appointment of the applicants for services
- Deschedule
- Cancel schedule
- Place in queue
- Remove from queue
- Record no-show
- Record service performed
- Utilities and information
- Group management
- Error and informative messages

Notices

CLAIMS 4.0 must provide the capability to print notices and call-in mailers for distribution to the applicant and other appropriate parties, and to inform the recipients of a specific naturalization application status or circumstance. The notices can be requested and printed later in batch mode. The system must also provide system administration functions to manage and maintain the print server. To accommodate those requirements, the Notice subsystem of CLAIMS 4.0 is designed with the following major functional components:

- Create New Notice
- Batch Print Server

Section 5 provides additional information on notices.

1.1.1.27 Functionality

The Notices functionalities are implemented in the components listed in the subsequent sections.

1.1.1.27.1 NOTICE MAIN SCREEN

To be consistent with other CLAIMS 4.0 subsystems, the user can access the Notice subsystem by clicking on the Notice button on the CLAIMS 4.0 switchboard. The user will be presented with the Notice Main screen.

The purpose of the Main screen is to provide a common entrance to all Notice printing components via four toolbar buttons with appropriate tool tips. In addition to toolbar buttons, standard GUI menu titles, including File and Help, will also be available. The File menu title will produce a pull-down list containing the four Notice functions corresponding to the four toolbar buttons.

1.1.1.27.2 BATCH PRINT SERVER

The Batch Print Server provides the capability to select, view, and mass print notices at the SCs through batch jobs. All or part of a batch can be reprinted to recover from printer errors. This function prints batches in ZIP code-sorted order to minimize mailing costs.

The following notices can be printed from the Batch Print Server:

- Receipt With Standard
Receipt With Exception

- Receipt With Suspense
- Initial Interview
- A-File Request Verification
- Request to Appear for Fingerprinting (FD-258)
- Denial Due to Abandonment
- Oath Ceremony
- Underpayment
 - Deschedule/Reschedule

The Batch Print Server also supports various system administration functions, including configuring the printers, monitoring print jobs, and performing record maintenance on the request queue and error table.

The Batch Print Server is restricted to an authorized System Administrator.

To invoke the Batch Print Server, the user can click a toolbar button on the Notice Main screen, and the Notice Print Server screen is displayed.

2.2.6.1.2.1 Notice Print Server Screen

The Notice Print Server screen provides the following options:

- Print Notices
- Reprint Notices
- Maintenance
- Refresh Screens
- Find Notices
- Configure Printers
- Job Status
- Print Server Errors

The screen will include a menu for the above options, an area displaying the notice queue by type, and an area displaying previously printed jobs. The data for each printed job include date, time, job ID, and total notices printed in that job.

2.2.6.1.2.1.1 Print Notice Pop-Up Window

If the user selects the Print Notices option, the Print Notice pop-up window appears. The pop-up window presents the user with two choices: either to print all new notices in the New Notice Queue or to print a selected type. If the latter is chosen, the user must also specify the notice type.

The user will also be provided with an option to process or to cancel.

2.2.6.1.2.1.2 Reprint Notice Dialog Box

If the user selects the Reprint Notices option, the Reprint Notice dialog box appears. The pop-up window presents the user with two choices: either to reprint entire notice job or to reprint partial notice job. In either choice, the user must specify the job ID by selecting it from a drop-down list.

If Reprint the Entire Notice job is chosen, then only the job ID is needed to process the request. If Reprint Partial Notice job is chosen, the user has the following options:

- Specifying the range of ZIP codes to be reprinted
- Specifying the application ID and the notice type to be reprinted
- Specifying the job notice type

The user is also provided with an option to process or to cancel the request.

2.2.6.1.2.1.3 Maintenance Dialog Box

If the user selects the Maintenance option, the Maintenance dialog box appears. The function is designed to delete error records from the error log, or to delete request records from the request table. The Maintenance function also provides the status reset capability to reset notice records to "Requested." The user may invoke this capability to reset the notice record status if an error occurs during the maintenance operation.

The Delete function presents the user with two choices: delete records from error screen and delete records from job status screen. It also allows the user to specify the age, in days, of records to be deleted. The user will be presented with a confirmation screen before the database update takes place.

The Reset Status function presents the user with a check box. The user will simply check the box to perform the status reset. The Notice records status will be reset to "Requested" regardless of what their current status actually is.

2.2.6.1.2.1.4 Refresh Function

To refresh the Notice Print Server screen to display the most current list of notices in the print queue and previously printed jobs, the user simply clicks on the Refresh menu item.

2.2.6.1.2.1.5 Find Notice Screen

This function is designed to help the user to locate quickly a notice in the notices-to-be-printed queue, without having to scroll through the entire list. If the user selects this function, the Find Notice screen appears. The user must provide the application ID. The system will list all notices associated with the application. The notice information includes notice type, job ID, notice status, and print date. The presence of the job ID signifies that the notice is printed in a batch print request.

2.2.6.1.2.1.6 Configure Batch Printers Screen

The Configure Printer function is designed to allow authorized users to add, update, or delete printer references and paper type in the Oracle configuration table. When the user selects this option, the Configure Batch Printer screen appears. The screen will display a list of printer and associated paper type for each one. The user can perform add, update, or delete actions to the list.

The add printer action presents the user with a pop-up window, asking for printer name and paper type. The user can select a printer name from a drop-down list.

The update printer action requires the user to select a printer on the displayed list, then presents the user with a pop-up window, allowing the user to change paper type.

The delete printer action requires the user to select a printer on the displayed list, removes the printer from the list, and refreshes the Configure Batch Printers screen.

2.2.6.1.2.1.7 Job Status Viewing Function

The user can select the Job Status function to view the status of a print job, the date of print request, the type of notice, and the origination of the request. A pop-up window contains a list box with the above fields displayed. The user can scroll up or down to view the entire print job file.

2.2.6.1.2.1.8 Print Server Errors

The user can select the Print Server Error function to view the error log. The information includes the job ID, the error description, the date and time, and the source of error. The user can scroll up and down to view the entire log.

1.1.1.28 Class Relationships

Attachment A, of the System Design Document for CLAIMS 4.0 (NCY00.20003-01.UA0-EDS), provides the class relationships of the Notices system.

1.1.1.29 Subsystem Inputs/Outputs

This section describes the inputs and outputs required for the Notices subsystem. Exhibit 2-13, Notices Subsystem Data Flow, shows the subsystem that will be provided in a future release.

Exhibit 2-13: Notices Subsystem Data Flow

