Exhibit 300: Capital Asset Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview & Summary Information

Date Investment First Submitted: 2009-06-30
Date of Last Change to Activities: 2014-03-14
Investment Auto Submission Date: 2014-03-11
Date of Last Investment Detail Update: 2014-03-11
Date of Last Exhibit 300A Update: 2014-03-14
Date of Last Revision: 2014-03-14

Agency: 024 - Department of Homeland Security **Bureau:** 30 - Citizenship and Immigration Services

1. Name of this Investment: USCIS - Transformation

2. Unique Investment Identifier (UII): 024-000003015

Section B: Investment Detail

1. **Briefly describe the investment's purpose, goals, and current or anticipated benefits (quantitative and/or qualitative). Include the investment's specific contribution to mission delivery or agency management support functions and identify key customers, stakeholders, and other beneficiaries.**

This investment supports the Enforcement and administration of immigration laws by providing these capabilities and benefits: -Improve security by uniquely identifying beneficiaries and petitioners and by applying automated security checks, fraud and risk rules-against all benefit requests -Improve customer service by allowing e-filing, reducing cycle times and providing real-time case update information -Increase ability to share data with partner agencies through the creation of an electronic benefits adjudication system -Improve system integrity by creating customer accounts enabling a person-centric view of an individual's benefits related data -Provide a single, worldwide case management system for immigration benefits with an anticipated user-base of 50,000 authorized users, within USCIS and its partner agencies -Improve employee satisfaction by creating an electronic case management system The goal of the Investment is to modernize USCIS by deploying an enterprise-wide investment that will transition the Agency from a fragmented, paper-based operational environment to a centralized and consolidated environment, facilitating electronic processing of benefit requests. The new operational environment will contribute to accomplishing USCIS' mission of enforcing and administering our immigration laws. In addition, the new operational environment will reshape the way we share information by providing digital immigration files for faster information sharing, and integrated, secure access to relevant information internally and with Federal partner agencies. The revised processes also help the Agency to meet customer expectations for on-demand information and immediate real-time electronic service. The investment contributes to USCIS' mission delivery and goals by addressing four major mission initiatives: (1) National Security and Integrity; (2) Customer Service; (3) Operational Efficiency; and (4) Quality. The key customers, stakeholders and beneficiaries are: Enterprise Partners–Department of Homeland Security Components; USCIS Senior Leaders and Employees; Customers and

Advocates–The persons petitioning USCIS for benefits and services and the organizations representing those individuals; Government Oversight–Oversight and review entities, including Congress, the Office of Management and Budget, the Government Accountability Office and the Inspector General's Office; and the Public–IT industry groups, U.S. Citizens, and media outlets.

2. **Briefly describe how the investment contributes to the agency target EA and its role in the Enterprise Roadmap. Include a description of how the investment includes or will achieve programmatic or technical innovation.**

The Transformation program and its enabling technologies (ELIS system) are contributing to the USCIS Target Enterprise Architecture (EA)/Business Reference Model and Enterprise Roadmap by directly or indirectly addressing and improving all lines of business in its Core Mission Execution Area (Citizenship, immigrant, non-immigrant, humanitarian and verification) and Mission Support Area (account management, risk and fraud, records management, benefit fulfillment and customer service) as defined by Federal Enterprise Architecture Business architecture framework. USCIS operations will be transformed from a paper-based process to an electronic environment, thus making it possible to incorporate more effective processing of low-risk applicants and better identification of higher-risk individuals. The investment focuses on DHS Goal 3.1 - Strengthen and effectively administer the immigration system, Goal 3.2 - Prevent Unlawful Immigration. The Program's technology leverages best of breed Open Source and Commercial-Off-The-Shelf (COTS) technologies to reduce risk and align with the DHS Technical Reference Model (TRM). Another key aspect of the Transformation Program's integration with the DHS Enterprise is use of Services Oriented Architecture (SOA). The use of SOA will enable re-use of capability across the Department as well as within USCIS, ELIS consists of five Services Domains defined in the USCIS Target Service Architecture namely: Customer Services, Business Management, Business Analytical, Digital Asset, and Process Automation Support. ELIS logical data model (LDM) is fully aligned to the USCIS and DHS LDM. All system to system interfaces developed for ELIS in accordance with the National Information Exchange Model (NIEM) to be fully interoperable with all data exchange partners. The program will achieve programmatic innovations in the five core business management functions, the basic operational areas for USCIS. These are Immigration Account Management, Benefits Case Management, Electronic Content Management, Risk and Fraud Management and Agency and Knowledge Management. Transformation program aligns to USCIS Target Performance Architecture in the following measurement areas: USCIS Strategic Outcomes, Customer Service Outcomes, Mission and Business Result Outcomes, Process and Activities Outputs, Technology, and Human Capital Inputs.

3. **Briefly describe the investment's return on investment, including benefits internal and external to the government.**

4. **In the section below, indicate if the investment in whole or in part specifically addresses any of the following types of requirements.**

Note: Where "Yes" is indicated, provide a brief description of the requirement and

how the investment will meet the requirement. Include citations within descriptions, if available. Provide any URLs associated with each requirement. If citing the Agency Performance Plan, provide the applicable "PRM" code from the Performance Reference Model (www.whitehouse.gov/omb/e-gov/FEA)

a. **Legislative Mandate:**
Required By: NO
Description:
Associated URLs:

b. **Outstanding Audit Finding or Material Weakness:**
Required By: YES
Description: OIG 11-33 Insider Threat Recommendation #2: Incorporate insider threat risk mitigation strategies into the Transformation effort.
Associated URLs:
http://www.oig.dhs.gov/assets/Mgmt/OIG_11-33_Jan11.pdf

c. **Published Agency Strategic Plan/Annual Performance Plan:**
Required By: YES
Description: The USCIS Strategic Plan outlines the framework, core values and goals, and objectives of USCIS.
Associated URLs:
http://connect.uscis.dhs.gov/org/MGMT/HCT/Documents/USCIS%20Strategic%20Plan.pdf
PRM Codes:
P41-024-019 : Strengthen and effectively administer the immigration system.

d. **Presidential Direction:**
Required By: NO
Description:
Associated URLs:

e. **Other Requirement:**
Required By: NO
Description:
Associated URLs:

5. **Provide a description of the investment's progress and accomplishments in the PY, including the investment's overall performance against baseline goals, targets, significant milestones, or performance measures, and any corrective actions taken to address performance deficiencies.**
FY13 Progress and Accomplishments: -Delivered ELIS Production Release A1 (our first and foundational release) under a waterfall approach. -Transitioned to an agile approach (training and certifying more than 150 Scrum Masters). -Delivered four ELIS Production Releases under an agile approach. -Delivered 8 ELIS Maintenance Releases under an agile approach. -Began transitioning to a new simplified architecture that should enable us to deliver the balance of ELIS capabilities quicker and less expensively. -Life Cycle Cost Estimate (LCCE) was approved by Program Accountability and Risk Management (PARM) on April 24, 2013. -Maintained a system availability percentage of 99.82%.

6. **Describe the investment's objectives for the CY, BY, and budget out years, if available, including specific accomplishments to achieve, realize, or continue to achieve the benefits cited in question B.1. above.**
In FY 2014, the Office of Transformation Coordination (OTC) will deliver a Transformation Investment release every 4-6 months utilizing agile development. With each agile release, we intend to provide additional capabilities to e-file and adjudicate applications. In FY 2015, the Office of Transformation Coordination (OTC) will deliver a Transformation Investment release every 4-6 months utilizing agile development. With each agile release, we intend to provide additional capabilities to e-file and adjudicate applications.

7. **If this investment will result in the elimination or the reduction of another major or non-major investment(s), please complete the following:**

Table I.B.1 Affected Investment Information

Investment UII	Status
NONE	

8. **Does this investment include the following?**

   a. **A shared service (intra-or inter-agency—current and/or planned):** YES

   b. **PIV-enabled systems (per HSPD-12) (all systems currently PIV-enabled):** NO

   c. **APIs (application programming interfaces) consistent with the Digital Government Strategy:** NO

9. **Have the following requirements been incorporated into the acquisition planning documents and technical design for the new or modernizing components of this investment, consistent with the Open Data policy outlined in OMB memo M-13-13?**

   Answer for each of the following requirements:

   a. **System design is scalable, flexible, and facilitates data extraction. (Capability for users to extract data in multiple formats and for a range of uses, including as internal and external needs change and potential uses not accounted for in the original design):**

   b. **All data outputs associated with this system are or shall be accounted for in the Enterprise Data Inventory:**

   c. **All data outputs associated with this system meet the requirements described in part III, sections 1.a-d of M-13-13 (relating to machine-readability, open formats, data standards, open licenses, and use of common core metadata):**

d. **Data schema and dictionaries are or shall be documented and shared with applicable internal partners and the public:**

e. **Not applicable, because this investment does not include any information systems which are new or preparing for modernization:**

f. **Not applicable, because these requirements are not appropriate for this investment. Please explain why these requirements are not appropriate for this investment:**

g. **Agency CIO has not yet validated these requirements for this investment:**

10 - 11. **Provide any URLs related to the investment and indicate how they are related. Identify each URL's relationship to the investment (if applicable).**

Table I.B.2 URL's Related to the Investment

URL	10 A. Provides publicly accessible datasets produced by this investment.	10 B. Provides a publicly accessible API to provide access to data from this investment.	10 C. Links to social media about this investment.	10 D. Provides general information about this investment.	10 E. Provides general information about the business process or program served by this investment but not the investment itself.	10 F. Link to mobile application associated with this investment.	11 A. Website designed primarily for users on mobile devices.	11 B. Website uses responsive web design to improve user experience for users on mobile devices.
http://www.uscis.gov/portal/site/uscis/					X			
http://www.uscis.gov/portal/site/uscis/menuitem.eb1d4c2a3e5b9ac89243c6a7543f6d1a/?vgnextoid=e0779e415d116310VgnVCM100000082ca60aRCRD&vgnextchannel=e0779e415d116310VgnVCM100000082ca60aRCRD				X				
http://blog.uscis.gov/2012/07/uscis-electronic-immigration-systems.html			X	X				
http://www.itdashboard.gov/investment?buscid=319	X			X				

Section C: Life Cycle Costs

1. **Provide the cost summary for the investment.**

Table I.C.1 Life Cycle Costs

	PY-1 & Prior	PY 2013	CY 2014	BY 2015
Planning Costs:	$123.8	$16.0	$15.3	$15.6
DME (Excluding Planning) Costs:	$584.1	$110.5	$112.6	$114.9
DME (Including Planning) Govt. FTEs:	$41.0	$12.8	$16.1	$16.4
Sub-Total DME (Including Govt. FTE):	$748.9	$139.3	$144.0	0
O & M Costs:	$10.4	$22.9	$32.3	$30.3
O & M Govt. FTEs:	$0.7	$0.0	$0.0	$0.0
Sub-Total O & M Costs (Including Govt. FTE):	$11.1	$22.9	$32.3	0
Total Cost (Including Govt. FTE):	$760.0	$162.2	$176.3	0
Total Govt. FTE costs:	$41.7	$12.8	$16.1	0
# of FTE rep by costs:	437	95	95	95
Total change from prior year final President's Budget ($)		$-28.1		
Total change from prior year final President's Budget (%)		-15.00%	-5.00%	

2.

a. **In which year did or will this investment begin? (specify year - e.g., PY-1= 2012)**
2006

b. **In which year will this investment reach the end of its estimated useful life? (specify year - e.g., BY+5 = 2020)**
2032

3. **Compare the funding levels for PY and CY to the final FY 2014 President's Budget for those same years. Briefly explain any**

significant changes. When making comparisons, ensure that you compare same-year-to-same-year (e.g., the FY14 level for 2013 versus the FY15 level for 2013):

Section D: Acquisition/Contract Strategy (All Capital Assets)

1. **Provide all prime contracts (or task orders) for awarded or open solicitations for the investment.**

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Modular Approaches/ Contracting	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	EVM Required
Awarded	7001	HSHQDC09J00001	N	HSHQDC06D00019	7001		Y
Awarded	7001	HSHQDC10F00153	N	GS10F8901H	4730		N
Awarded	7003	HSSCCG10J00329	N	HSHQDC06D00026	7001	HSSCCG-10-R-00010	N
Awarded	7001	HSSCCG12J00059	N	HSHQDC06D00025	7001	HSSCCG-12-R-00007	N

2. **If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:**
Paragraph (a) (1) (iii) of Subsection 3034.201, titled “Policy” of the Department of Homeland Security Manual permits the responsible program managers to use their judgment based on risk to implement EVM on contracts valued at less than $20 million. NETSTAR and MA Federal are FFP contracts; EVM is not required for FFP contracts. The SAIC services provided to the Transformation Investment are priced as a FFP CLIN. NTT Data Federal Services, Inc. is an IV&V services contract, for which EVM is not appropriate. However, performance by those contractors is monitored constantly via on-site observation, project and investment deliverables, and daily project and investment support. EVM is a contract requirement for all other contracts.

Exhibit 300B: Performance Measurement Report

Section A: General Information

Date of Last Change to Activities: 2014-03-14

Section B: Project Plan and Execution Data

Table II.B.1 Projects

Project ID	Project Name	Objectives/Expected Outcomes	Project Start Date	Project Completion Date	Project Lifecycle Cost ($M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance ($M)	Cost Variance (%)
5	Release 5	Deploy functional capabilities for extensions and changes of status for additional classes of nonimmigrants, appeals and motions.	2013-05-28	2014-07-27	$37.4	0	0	$0.0	0.00%
6	Release 6	Deploy functional capabilities for waivers and employment authorization applications.	2014-09-02	2015-01-11	$14.2	0	0	$0.0	0.00%
7	Release 7	Deploy functional capabilities for some family petitions and appeals.	2014-12-17	2015-04-26	$21.4	0	0	$0.0	0.00%
8	Release 8	Deploy functional capabilities for some adjustment applications.	2015-03-31	2015-08-09	$19.5	0	0	$0.0	0.00%
9	Release 9	Deploy functional capabilities for	2015-07-14	2015-11-22	$19.8	0	0	$0.0	0.00%

Table II.B.1 Projects

Project ID	Project Name	Objectives/Expected Outcomes	Project Start Date	Project Completion Date	Project Lifecycle Cost ($M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance ($M)	Cost Variance (%)
		request to remove conditions and some humanitarian applications.							
10	Release 10	Deploy functional capabilities for Naturalization.	2015-10-27	2016-03-06	$19.9	0	0	$0.0	0.00%
11	Release 11	Deploy functional capabilities for Naturalization continued.	2016-02-09	2016-06-19	$19.9	0	0	$0.0	0.00%

Key Deliverables

Project ID	Activity Name	Activity Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
NONE								

Section C: Operational Data

Table II.C.1A/B Performance Metrics and Actuals

Metric ID	Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	2013 Target	2014 Target	Measurement Condition	Reporting Frequency	Agency Strategic Goals / Agency Objective
8759	The percent of customers satisfied with the overall experience in utilizing USCIS ELIS.	Percentage	111 - Customer Results - Customer Benefit		75.000000	Over target	Quarterly	P40-024-019
			Actual Result ID	**Actual Result**	**Metric Status (agency-provided)**	**Metric Status (derived)**	**Comment**	**Date of Actual Result**
					NONE			
8757	The percentage of filings for immigration benefits through USCIS ELIS (E-Filing Rate) as compared to total number of applications/petitions for a particular form type.	Percentage	115 - Customer Results - Service Accessibility		17.000000	Over target	Quarterly	P40-024-019
			Actual Result ID	**Actual Result**	**Metric Status (agency-provided)**	**Metric Status (derived)**	**Comment**	**Date of Actual Result**
					NONE			
8755	Percent of total applications processed in ELIS over the total receipts received (% of total workload handled by ELIS)	Percentage	103 - Mission and Business Results - Management of Government Resources		10.190000	Over target	Annual	P40-024-019
			Actual Result ID	**Actual Result**	**Metric Status (agency-provided)**	**Metric Status (derived)**	**Comment**	**Date of Actual Result**

NONE

8753	ELIS shall provide service to end-users and successfully respond to interfaces without interruption (Mean Time Between Failure) MTBF in compliance with thresholds and objectives.	Hours	215 - Technology - Reliability and Availability		712.000000	Over target	Semi-Annual	P40-024-019

Actual Result ID	Actual Result	Metric Status (agency-provided)	Metric Status (derived)	Comment	Date of Actual Result

NONE

8751	ELIS shall have an average time taken to restore Customer and Adjudication Workload Processing functions after failure (Mean Time To Restore Service) MTRS in compliance with thresholds and objectives.	Hours	215 - Technology - Reliability and Availability		8.000000	Under target	Semi-Annual	P40-024-019

Actual Result ID	Actual Result	Metric Status (agency-provided)	Metric Status (derived)	Comment	Date of Actual Result

NONE

8749	ELIS shall maintain System Availability rate in compliance with thresholds and objectives (less scheduled downtime) consistent with DHS practices.	Percentage	215 - Technology - Reliability and Availability		98.880000	Over target	Monthly	P40-024-019

Actual Result ID	Actual Result	Metric Status (agency-provided)	Metric Status (derived)	Comment	Date of Actual Result
84029	100.000000	Met	Results based on data received from SA February Report.	2014-03-01	
79069	100.000000	Met	Results based on data received from SA January Report.	2014-02-01	
76407	100.000000	Met	Results based on data received from SA December Report.	2014-01-01	
73873	100.000000	Met	Results based on data received from SA November Report.	2013-12-01	
70869	96.060000	Not Met	Results based on data received from SA October Report.	2013-11-01	
67835	98.810000	Met	Results based on data received from SA October Report.	2013-09-30	