Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)

I.A. Overview

1. Date of Submission:	12/5/2006
2. Agency:	Department of Justice
3. Bureau:	Federal Bureau of Investigation
4. Name of this Capital Asset:	FBI Law Enforcement National Data Exchange (N-Dex)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	011-10-01-04-01-3024-00
6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)	Mixed Life Cycle
7. What was the first budget year this investment was submitted to OMB?	FY2006

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

Information sharing is mission critical to today's public safety mandate. Most law enforcement agencies (LEAs) utilize some type of computerized data base to collect incident & investigative information. Moving this data across jurisdictional boundaries into the hands of those who need to know is a significant challenge. The N-DEx concept is to take the data provided by LEAs and criminal justice agencies & convert it into valuable information to fight crime & terrorism. N-DEx services extract specific information on people, places, things, the relationship between them, as well as crime characteristics such as MO's & criminal signatures. In response to OMB ISE questions N-DEx will: 1) Share complete, accurate, timely & useful criminal justice information across jurisdictional boundaries & provide new investigative tools that enhance the Nations ability to fight crime & terrorism 2) Provide fusion centers, the National Counterterrorism Center, Field Intelligence Groups, Joint Terrorism Task Force, & other LEAs whose mission is to combat terrorism access to N-DEx capabilities and services. Users will be able to create virtual on-line task forces comprised of users across jurisdictions to share information that will lead to fighting terrorist activities 3)Check all new suspects entered into the system against terrorist watch lists or notify/alert users of addresses that are known to be associated with other suspected terrorists 4)Provide the capability to share sensitive investigative information while simultaneously protecting the investigative equities of proprietary information. Through controlling the dissemination of information, N-DEx will protect the freedom, information privacy, & other legal rights of Americans 5)Provide an electronic catalog of structured criminal justice information that provides a single point of discovery to assist in locating terrorism information & people with relevant knowledge about that information 6)Leverage its national connectivity environment to create a directory of LEAs and users to facilitate new methods of law enforcement collaboration relevant to cases, investigations, or discovered data describing terrorist activity 7)Provide advance search capabilities to discover information when there is a lack of key information for conducting a typical query search. N-DEx will provide insights into previously unknown

terrorist activity through automated discovery of patterns and linkages to detect and deter crime and terrorism.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	5/19/2006
10. Did the Project Manager review this Exhibit?	Yes
11. Contact information of Project Manager?	
Name	
Reid, Jon Kevin	
Phone Number	304-625-2611
Email	joreid@leo.gov
12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	No
a. Will this investment include electronic assets (including computers)?	Yes
b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
1. If "yes," is an ESPC or UESC being used to help fund this investment?	No
2. If "yes," will this investment meet sustainable design principles?	No
3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment support one of the PMA initiatives?	Yes
If "yes," check all that apply:	Human Capital, Budget Performance Integration, Financial Performance, Expanded E-Government, Competitive Sourcing
13a. Briefly describe how this asset directly supports the identified initiative(s)?	Human Capital-Maintaining well trained work force; Budget/Financial Performance-Oversight functions exercise control over resources, management systems, & reporting project activities; E-Gov-Participation on various XML & NIEM groups ensures N-DEx supports the national strategy for XML implementation; Competitive Sourcing-Performance-Based acquisition allows vendors to participate in due diligence & encourages effective competition thus

generating creative & viable solutions.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)	No
a. If "yes," does this investment address a weakness found during the PART review?	No
b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	
c. If "yes," what PART rating did it receive?	
15. Is this investment for information technology?	Yes

If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 3
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):	(1) Project manager has been validated as qualified for this investment
18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	Yes
19. Is this a financial management system?	No
a. If "yes," does this investment address a FFMIA compliance area?	No
1. If "yes," which compliance area:	
2. If "no," what does it address?	
b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52	

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	19
Software	18

Services	52
Other	11
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	N/A

22. Contact information of individual responsible for privacy related questions:

Name

Kelley, Patrick W

Phone Number	202-324-8067
Title	Senior Privacy Officer/Deputy General Counsel
E-mail	pkelley@leo.gov
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

I.B. Summary of Funding

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Planning									

Budgetary Resources	0.368	0	0	8.14					
Acquisition									
Budgetary Resources	17.263	7.9	11.6	36.834					
Subtotal Planning & Acquisition									
Budgetary Resources	17.631	7.9	11.6	44.974					
Operations & Maintenance									
Budgetary Resources	0	0	3.9	0.126					
TOTAL									
Budgetary Resources	17.631	7.9	15.5	45.1					
Government FTE Costs									
Budgetary Resources	7.604	3.967	4.5	4.588					
Number of FTE represented by Costs:	95	38	43	43					

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? No

a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes:

The original DOJ funding requests for N-DEx outlined in the FY07 President's budget request were submitted at $33.805 for FY06 and $35.430 in FY07. The actual amount allocated for N-DEx in FY06 was $12.000M with $12.000M anticipated for FY07 due to the change to the acquisition approach/strategy as directed by DOJ/OCIO. Another change not calculated in the FY07 President's budget request was the executive decision requiring reimbursement for FTE costs for N-DEx employees from the DOJ funding. The difference in funding made by the cuts to the FY06 and FY07 requests must be reflected and pushed into FY08 and out-years. The current N-DEx Spend Plan reflected in this summary of spending was presented to the FBI and DOJ OCIO in FY06. Based on their review and direction, the N-DEx Program moved system capabilities, hardware/software infrastructure for redundancy and high availability to FY08 thus requiring an increase in the funding requests for FY08 to $45.100

I.C. Acquisition/Contract Strategy

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/Task Orders Table:

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:

The BCWS is level of effort during acquisition. Specific criteria for EVM have been established for the development contractor. The project will be ANSI/EIA complaint after the prime contract is awarded. Anticipate Integrated Baseline Review in 4th quarter FY07. During the initial concept exploration it was the understanding of the government that ANSI EVM was not required. This understanding was reinforced as part of the 300 training which stated that ANSI EVM is required only on the DME portions of investments. However, to prepare the CJIS N-DEx program for the all inclusive EVM reporting that is required with development, the N-DEx PO started gathering and reporting EVM on some contracted efforts during concept exploration. These efforts include the TRP contract and services awarded to HP in the development of the documentation supporting the awarding of the N-DEx development contract. The HP EVM information is shown under II.C Cost and Schedule Performance of this exhibit. We have performed EVM on the TRP effort in coordination with contractors, but have not included it in this report. This is to be compliant with direction stating that reporting needs to be consistent with the data reported/collected in the OCIO dashboard. As additional funding is received and/or upon contract award the cost at completion for EVM will be re-baselined.

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why:	ITMS is responsible for initiating all technical related procurements. For all GFE or other small dollar purchases the Technical Planning and Control Unit of the ITMS completes market research on the requested item and completes all related paperwork for the procurement package, including the 508 compliance form. The requestor ensures that the chosen vendor goods support all 508 handicap requirements where applicable. The current N-DEx RFP requires that the vendor solution be 508 compliant.
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	4/5/2006
b. If "no," will an acquisition plan be developed?	
1. If "no," briefly explain why:	

I.D. Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if

applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:					
Fiscal Year	**Strategic Goal(s) Supported**	**Performance Measure**	**Actual/baseline (from Previous Year)**	**Planned Performance Metric (Target)**	**Performance Metric Results (Actual)**
2004	FBI Priorities 1, 4, 6, 7, 10; DOJ Goals 1, 2, 3	N=Number of Data Elements	GJXDD XML N-DEx Subschema	To Establish 155 Data Elements in the N-DEx Prototype System which will provide interoperability across federal, state, local, and tribal for LE information sharing	Established 205 Data Elements in the N-DEx Prototype system which provided interoperability across Federal, State, Local, and Tribal for LE information sharing
2004	FBI Priorities 1, 4, 6, 7, 10; DOJ Goals 1, 2, 3	Established and published the Global Justice Data Dictionary (GJXDD) XML schema for the N-DEx Prototype System. N=Number of agencies using N-DEx XML Standard	Prior to the Global Justice Initiative to establish XML Standards, agencies were building to their own data elements and software standards	Establish 1 pilot agency using the XML N-DEx sub-schema. This will provide interoperability across federal, state, local, and tribal for LE information sharing	N=1 agency using XML N-DEx sub-schema in FY04
2004	FBI Priorities 1, 4, 6, 7, 10; DOJ Goals 1, 2, 3	Begin pilot process with N=Number of pilot agencies using the N-DEx Prototype Build A	Current UCR reporting process is manual and there has not been a national LE information sharing system based primarily upon incident reports	To establish 3 pilot agencies using the N-DEx Prototype Build A which will provide additional data correlations; identify deficiencies and new data elements; and establish an XML schema development	Established 5 pilot agencies in 3 states using the N-DEx prototype Build A which provided additional data correlations; identified deficiencies and new data elements; and establish an XML schema development
2005	FBI Priorities 1, 4, 6, 7, 10; DOJ Goals 1, 2, 3	N=3 Increase number of N-DEx participating agencies using XML N-DEx sub-schema to 3 agencies. This will provide interoperability across federal, state, local, and tribal agencies for LE information sharing	N=1 N-DEx participating agency using XML N-DEx sub-schema in FY04	N=Number of N-DEx participating agencies using XML N-DEx sub-schema	N=1 agency utilizing the XML N-DEx sub-schema in FY05. 3 agencies are mapping to the XML N-DEx sub-schema and the schema has been delivered in FY05 to 2 agencies to utilize in building their statewide systems
2005	FBI Priorities 1, 4, 6, 7, 10;	N=100 Increase the number	N= 205 data elements in the	N=Number of new data	N=96 new data elements for

| | DOJ Goals 1, 2, 3 | of data elements by 100 for inclusion in the XML N-DEx sub-schema which will provide interoperability across federal, state, local, and tribal agencies for LE information sharing and additional data correlations/ data standardization for DOJ LEISP | N-DEx Prototype System in FY04. | elements in XML N-DEx sub-schema data standardization for DOJ LEISP | inclusion in the XML N-DEx sub-schema. There are 305 data elements in the XML N-DEx sub-schema |

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Performance Information Table 2:							
Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2006	Customer Results	Customer Benefit	Customer Satisfaction	Compliance with four major U.S. Policing Associations position statement. Compliance with these Associations' requirements was critical to obtain needed support from U.S. law enforcement nationally.	Develop Statement of Requirements with LE input & utilization in mind. Prepare funding projections to reflect anticipated costs for phases to include development and implementation. Formalize process to effectively communicate consistent message.	Ensure all areas of the position statement are addressed by the N-DEx Program Office in subsequent work conducted.	CONOPS finalized approved by CJIS APB and four major Policing Organizations June 2006. Funding projections have been established. Consistent message to stakeholders through interface with 51 CJIS Systems Officers and attendance at LE conferences.
2006	Mission and Business Results	Information and Technology Management	Information Management	Development of N-DEx Concept of Operations	This measurement does not apply to planned targets. This measurement provides a systemic value to law enforcement nationally.		From September 2005 - May 2006, N-DEx personnel worked to develop a clear vision and scope for the N-DEx Program. The final N-DEx Concept of Operations was presented to the CJIS Advisory Policy Board governance process in June

						2006.
2006	Processes and Activities	Management and Innovation	Participation	Development of the N-DEx Statement of Objectives and Request for Proposal based on the defined N-DEx Concept of Operations	This measurement is used to ensure that more than one (1) contractor/integrator proposes a solution for the N-DEx problem	Six (6) contractor/integrator submitted proposals to solve the N-DEx problem.
2006	Technology	Information and Data	Data Standardization or Tagging	Establish connectivity with thirteen (13) proposed prototypes.	One (1) agency is currently connected to the N-DEx prototype, exchanging information between the N-DEx Program and said agency.	12 agencies are planned for connectivity by October 2007, the deployment of Increment 1 of the N-DEx System.
2007	Technology	Information and Data	Data Standardization or Tagging	Begin the exchange of data and illustrate proof of concept and test the developed N-DEx.	Increase the number of agencies connected to the N-DEx prototype, exchanging information between the N-DEx Program and said agency.	Increase the number of agencies connected to the N-DEx prototype, exchanging information between the N-DEx Program and said agency to 100%.
2008	Customer Results	Customer Benefit	Customer Satisfaction	P=Percentage of point of service customer survey ratings of N-DEx information returns that provided improved value in law enforcement.	Establish the initial automated N-DEx role based point of service law enforcement satisfaction survey process	This measurement does not apply to planned targets. The measurement provides the role based value to law enforcement that receives N-DEx information sharing returns as a service and tools.
2008	Processes and Activities	Productivity and Efficiency	Productivity	N=Number of annual process & activity returns provided to the nations law enforcement.	Establish the initial baseline of the actual number of standard and linkage returns provided to the nation's law enforcement annually.	Based on initial results in prototype testing, the predictive target improvement for these outputs will be established.

2008	Technology	Reliability and Availability	Availability	P=Percentage of time the N-DEx System is available to the nations law enforcement to enhance their ability to execute their mission.	Establish the initial baseline of providing 90% availability of the technology service during the initial operating system.	Increase by 2%	
2009	Customer Results	Customer Benefit	Customer Satisfaction	P=Percentage of point of service customer survey ratings of N-DEx information returns that provided improved value in law enforcement.	Establish the initial automated N-DEx role based point of service law enforcement satisfaction survey process.	This measurement does not apply to planned targets. The measurement provides the role based value to law enforcement that receive N-DEx information sharing returns as a service and tools.	
2009	Processes and Activities	Productivity and Efficiency	Productivity	N= Number of annual process and activity returns provided to the nations law enforcement.	Establish the initial baseline of the actual number of standard and linkage returns provided to the nation's law enforcement annually.	Based on the initial results in prototype testing the predictive target improvements for these output measures can be established.	
2009	Technology	Reliability and Availability	Availability	P=Percentage of time the N-DEx System is available to the nations law enforcement to enhance their ability to execute their mission.	Improve to providing the technology service 92% availability during the full operating system	Increase by 2%	
2010	Customer Results	Customer Benefit	Customer Satisfaction	P=Percentage of point of service customer survey ratings of N-DEx information returns that provided improved value in law enforcement	Establish the initial automated N-DEx role based point of service law enforcement satisfaction survey process.	This measurement does not apply to planned targets. The measurement provides the role based value to law enforcement that receive N-DEx	

					information sharing returns as a service and tools.	
2010	Mission and Business Results	Law Enforcement	Criminal Apprehension	N= Number of criminal subjects identified in which N-DEx contributed law enforcement assistance. N= Number of terrorist subjects identified in which N-DEx contributed law enforcement assistance.	FOC will establish the initial baseline of criminal and terrorist subjects in which N-DEx LE information contributes and enables the nation's law enforcement in execution of mission and business identification outcomes.	Based on the initial results in prototype testing the predictive target improvements for these output measures can be established.	
2010	Processes and Activities	Productivity and Efficiency	Productivity	N= Number of annual process and activity returns provided to the nations law enforcement.	Establish the initial baseline of the actual number of standard and linkage returns provided to the nation's law enforcement annually.	Based on the initial results in prototype testing the predictive target improvements for these output measures can be established.	
2010	Technology	Reliability and Availability	Availability	P=Percentage of time the N-DEx System is available to the nations law enforcement to enhance their ability to execute their mission.	Improve to providing the technology service 94% availability during the full operating system	Increase by 2%	
2011	Customer Results	Customer Benefit	Customer Satisfaction	P=Percentage of point of service customer survey ratings of N-DEx information returns that provided improved value in law enforcement.	Establish the initial automated N-DEx role based point of service law enforcement satisfaction survey process.	This measurement does not apply to planned targets. The measurement provides the role based value to law enforcement that receive N-DEx information sharing returns as a service and tools.	
2011	Mission and	Law	Criminal	N= Number of	FOC will establish the initial	Based on the initial	

				criminal subjects identified in which N-DEx contributed law enforcement information. N=Number of terrorist suspects identified in which N-DEx contributed law enforcement information.	baseline of criminal and terrorist subjects in which N-DEx law enforcement information contributes and enables the nation's law enforcement in execution of mission and business identification outcomes.	results in prototype testing the predictive target improvements for these output measures can be established.	
	Business Results	Enforcement	Apprehension				
2011	Processes and Activities	Productivity and Efficiency	Productivity	N= Number of annual process and activity returns provided to the nations law enforcement.	Establish the initial baseline of the actual number of standard and linkage returns provided to the nation's law enforcement annually.	Based on the initial results in prototype testing the predictive target improvements for these output measures can be established.	
2011	Technology	Reliability and Availability	Availability	P=Percentage of time the N-DEx System is available to the nations law enforcement to enhance their ability to execute their mission.	Improve to providing the technology service 98% availability during the full operating system	Increase by 2%	
2012	Customer Results	Customer Benefit	Customer Satisfaction	P=Percentage of point of service customer survey ratings of N-DEx information returns that provided improved value in law enforcement.	Establish the initial automated N-DEx role based point of service law enforcement satisfaction survey process.	This measurement does not apply to planned targets. The measurement provides the role based value to law enforcement that receive N-DEx information sharing returns as a service and tools.	
2012	Mission and Business Results	Law Enforcement	Criminal Apprehension	N= Number of criminal subjects identified in which N-DEx contributed law enforcement	FOC will establish the initial baseline of criminal and terrorist subjects in which N-DEx law enforcement information contributes and	Based on the initial results in prototype testing the predictive target improvements for these output	

				information. N= Number of terrorist subjects identified in which N-DEx contributed law enforcement information.	enables the nation's law enforcement in execution of mission and business identification outcomes.	measures can be established.	
2012	Processes and Activities	Productivity and Efficiency	Productivity	N= Number of annual process and activity returns provided to the nations law enforcement.	Establish the initial baseline of the actual number of standard and linkage returns provided to the nation's law enforcement annually.	Based on the initial results in prototype testing the predictive target improvements for these output measures can be established.	
2012	Technology	Reliability and Availability	Availability	P=Percentage of time the N-DEx System is available to the nations law enforcement to enhance their ability to execute their mission	Improve to providing the technology service 100% availability during the full operating system	Maintain technology service availability	

I.E. Security and Privacy

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the	Yes

investment:	
a. If "yes," provide the "Percentage IT Security" for the budget year:	3.90
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.	Yes

3. Systems in Planning - Security Table:			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
N-DEx	Government Only	2/1/2008	1/1/2008

4. Operational Systems - Security Table:						
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?

   a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process?

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

   a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, validated by the agency for the contractor systems above?

8. Planning & Operational Systems - Privacy Table:					
Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
N-DEx	No	No.	No, because a PIA is not yet required to be completed at this time.	Yes	No, because the existing Privacy Act system of records was not substantially revised in FY 06.

I.F. Enterprise Architecture (EA)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?	Yes
a. If "no," please explain why?	
2. Is this investment included in the agency's EA Transition Strategy?	Yes
a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.	Law Enforcement National Data Exchange (N-DEx)
b. If "no," please explain why?	

3. Service Reference Model (SRM) Table:								
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/.								
Agency Component Name	**Agency Component Description**	**Service Domain**	**FEA SRM Service Type**	**FEA SRM Component**	**FEA Service Component Reused Name**	**FEA Service Component Reused UPI**	**Internal or External Reuse?**	**BY Funding Percentage**
		Back Office Services	Data Management	Data Exchange			No Reuse	15
		Back Office Services	Development and Integration	Data Integration			No Reuse	10
		Digital Asset	Knowledge Management	Information Mapping /			No Reuse	10

		Services		Taxonomy				
		Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	15
		Support Services	Search	Query			No Reuse	40
		Support Services	Security Management	Access Control			No Reuse	10

Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

4. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Query	Component Framework	Data Interchange	Data Exchange	Entity Correlation and Resolution Tools
Data Exchange	Component Framework	Security	Certificates / Digital Signatures	FPS 186; SSL
Data Exchange	Service Access and Delivery	Access Channels	Collaboration / Communications	Portal
Query	Service Access and Delivery	Access Channels	Web Browser	Portal
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	Lightweight Directory Access Protocol (LDAP)

Information Mapping / Taxonomy	Service Interface and Integration	Interoperability	Data Types / Validation	Extract Transform and Load Tools
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	Relational Database
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Storage	Relational Database

Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?   No

  a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system?   No

  a. If "yes," does customer access require specific software (e.g., a specific web browser version)?

    1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

Exhibit 300: Part II: Planning, Acquisition and Performance Information

II.A. Alternatives Analysis

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A- 94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project?	No
a. If "yes," provide the date the analysis was completed?	
b. If "no," what is the anticipated date this analysis will be completed?	1/20/2007
c. If no analysis is planned, please briefly explain why:	

The alternatives analysis for this project is planned for January 2007

2. Alternative Analysis Results:	
Use the results of your alternatives analysis to complete the following table:	

Send to OMB	Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
True	Being conducted now	TBD	0	0

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Per the new direction of N-DEx as noted in the FY07 Exhibit 300, a new alternative analysis is currently being developed following the CJIS established and OGC approved Source Selection Plan. N-DEx selected ASI to support the development and execution of a competitive acquisition strategy. The user community has and will be involved through SME and Task Force meetings, CONOPS development, acquisition process, system development and deployment to ensure N-DEx provides a valuable product. The combination of the acquisition approach with ASI, and the direct involvement of the SMEs has provided the stakeholders confidence that the best solution for information sharing will be obtained through this selection process. Through the Source Selection process, each proposal will be evaluated independently according to set criteria

4. What specific qualitative benefits will be realized?

The vision of N-DEx is to share complete, accurate, timely and useful criminal justice information across jurisdictional boundaries and to provide new investigative tools that enhance the Nations ability to fight crime and terrorism. N-DEx will allow LEAs to connect the dots between seemingly unrelated data and collaborate with other law enforcement agencies without information overload. In addition, it will provide contact information and collaboration tools for LEAs that are working on cases of mutual interest that span across the nation. The specific benefits will be presented in actual success stories of criminal and terrorist subjects identified with the use of N-DEx investigative tools. Our goal through this acquisition process is to choose the best value solution offered through the performance based acquisition. Each vendor will provide the cost and qualitative benefits of their proposed solution.

II.B. Risk Management

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan?	Yes
a. If "yes," what is the date of the plan?	7/26/2006
b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?	Yes

c. If "yes," describe any significant changes:

The last report to OMB reported seven risks assessed at medium (yellow) risk exposure and twelve risks assessed at low (green) risk exposure. The current Risk Registry reflects six risks assessed at medium (yellow) risk exposure and thirteen risks assessed at low (green) risk exposure. No risks are identified as high (red) at this time. Since the last report to OMB N-DEx Risk Review Board has met on a monthly basis resulting in twenty-four risks being closed and thirteen new risks identified. Funding shortfalls (N-DEx 45/N-DEx 26) while no longer considered to be ranked high, continue to rank at the top of the medium risks. Further funding shortfalls would affect N-DEx development credibility with law enforcement constituents and would increase the overall cost for the Project. The PM will provide briefings to FBI and DOJ on the status of the program throughout its lifecycle development. Financial burdens on agencies to connect to N-DEx (N-DEx 36) have been assessed at a medium (yellow) risk exposure. The mitigation strategy to reduce this risk is the work in progress of a connectivity plan which will identify issues with existing systems and networks. N-DEx PMO is working with DOJ to establish new and leverage existing grant programs to help reduce costs to participating agencies. The handling of data collected regarding individuals and input into the N-DEx System may trigger complaints concerning privacy and/or other personal information rights (N-DEx 11) has been assessed as a medium (yellow) risk exposure. The mitigation strategy to reduce this risk is consulting regularly with the OGC, particularly in the area of finalizing the Privacy Impact Assessment (PIA) for the N-DEx System. N-DEx has coordinated with the FBI Office of Victim Assistance and the DOJ Office of Legal Policy. A privacy advocacy council has been established as a steering committee for the N-DEx PMO policy development. The reduction of N-DEx staff to 43 FTE's in FY06 (N-DEx 35) has been assessed at a medium (yellow) risk exposure. There has been an additional reduction in staff by five positions in FY06 to date, due to competitive postings. The mitigation strategy to reduce this risk is to provide briefings to executive management to ascertain support to increase staffing level by FY08. Executive management has agreed to post for three of the five vacant positions in the near future. All other risks have been successfully reduced to an overall risk exposure of low (green).

2. If there currently is no plan, will a plan be developed?	
a. If "yes," what is the planned completion date?	
b. If "no," what is the strategy for managing the risks?	

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

The following examples describe some of the mitigation approaches that have been allocated in the approved spend plan: Risk 4-LEA, government-wide-cultural resistance to information sharing Mitigation-Extend outreach and conduct liaison activities to overcome and reverse any cultural barriers, at all strata of law enforcement, to share information. Work through the APB to build consensus on policy and business rules. Result-mitigation approaches hold the risk exposure at medium and stop the upward trend. Risk 24-CONOPS schedule slippage may result in delaying acquisition strategy effecting development phase and final delivery time frames, components. Mitigation-Appropriate controls are in place, such as weekly project status meetings to monitor the effectiveness and efficiency of individual developmental components and overall project success. These meetings are attended by PMs, component managers, and quality

assurance personnel. Cost, technical and operational status is reported monthly, at a minimum, through the chain-of-command at the ITMS business meeting. Synthesized findings from these meetings are presented to the CJIS ITRM Board and at APB bi-annual meetings. Result-mitigation approaches reduced risk exposure to the lowest level for transfer to the closed risk registry. Risk 25 -The FBIs lack of experience in using performance based Statement of Objectives approach could result in an inaccurate baseline. Risk 29-Vendor may not have technical and creative ability to deliver N-DEx capabilities. Mitigation- N-DEx selected ASI to support the development and execution of competitive acquisition strategy. The user community has and will be involved through SME and Task Force meetings, CONOPS development, acquisition process, system development and deployment to ensure N-DEx provides a valuable product. The combination of the acquisition approach with ASI, and the direct involvement of the SMEs has provided the stakeholders confidence that the best solution for information sharing will be obtained through this selection process. Through the Source Selection process, each proposal will be evaluated independently according to set criteria. The vendor offering the best value for the FBI will be selected, and the contract is anticipated to be awarded in 2nd quarter FY07. Result-mitigation approaches reduced the risk exposure for both risk 25 & 29 to the lowest level for transfer to the closed risk registry.

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	No

2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

a. What is the Planned Value (PV)?	1872
b. What is the Earned Value (EV)?	1325
c. What is the actual cost of work performed (AC)?	1294
d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor Only
e. "As of" date:	11/30/2006
3. What is the calculated Schedule Performance Index (SPI= EV/PV)?	0.71
4. What is the schedule variance (SV = EV-PV)?	-547
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	1.02
6. What is the cost variance (CV=EV-AC)?	31
7. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x	Yes

100; SV%= SV/PV x 100)

a. If "yes," was it the?	SV

b. If "yes," explain the variance:

The task was contracted as a level of effort; however, for EVM purposes, a Work package was estimated for the development of the N-Dex Executive Overview Concept of Operations document. The time to complete this work was significantly underestimated due to the number and frequency of involved national stakeholder meetings. It was decided that the schedule would not benefit from adding additional resources since ramp up time would likely be longer than the project itself and stakeholder meeting could not be accelerated. The impact of this schedule variance did not impact the N-DEx program or the delivery of the CONOPS document.

c. If "yes," what corrective actions are being taken?

The N-Dex Program plans on ramping up resources at the award of the development contract January 2007.

d. What is most current "Estimate at Completion"?

8. Have any significant changes been made to the baseline during the past fiscal year?	Yes

8. If "yes," when was it approved by OMB?	Yes

Comparison of Initial Baseline and Current Approved Baseline

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
1	Concept Exploration	09/30/2003	$6.083	09/30/2003	09/30/2003	$6.083	$3.542	0	$2.541	100%
2	Concept Exploration	09/30/2004	$13.085	09/30/2004	09/30/2004	$13.085	$13.008	0	$0.077	100%
3	Concept Exploration	09/30/2005	$28.268	09/30/2005	09/30/2005	$28.268	$8.136	0	$20.132	100%
4	Concept Exploration	09/30/2007	$7.102	09/30/2007		$7.102	$3.603		$3.499	75%
5	Acquisition Phase	01/31/2007	$1.500	01/31/2007		$1.500	$0.567		$0.933	90%
6	Phase I Development and Deployment	03/30/2008	$30.842	03/30/2008		$30.842				0%
7										0%
8										%
9										0%
10										0%
11										0%
12										0%

13									0%
14									0%
15									0%
16									0%
17									0%
18									0%
19									0%
Project Totals		09/30/2012		09/30/2012	09/30/2005				