

FBI Digital Collection

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

I.A. Overview

<b>1. Date of Submission:</b>	8/4/2006
<b>2. Agency:</b>	Department of Justice
<b>3. Bureau:</b>	Federal Bureau of Investigation
<b>4. Name of this Capital Asset:</b>	FBI Digital Collection
<b>5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)</b>	011-10-01-02-01-2503-00
<b>6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&amp;M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&amp;M. These investments should indicate their current status.)</b>	Mixed Life Cycle
<b>7. What was the first budget year this investment was submitted to OMB?</b>	FY2001 or earlier

**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:**

Digital Collection consists of the DCS-3000, DCS-5000, and DCS-6000, which provide digital collection tools, foreign counterintelligence gathering, and law enforcement evidence collection, respectively. Today's information technology capabilities afford terrorists and criminals many avenues to coordinate and commit offenses against US citizens and interests. Traditional phones were the primary avenue criminals used to communicate information regarding unlawful acts. Today, more incidents are committed and facilitated by terrorists using high-tech, non traditional communications methods. Communications methods are dramatically increasing in number and complexities, resulting in the continual and evolving need for advanced methods of electronic surveillance of voice communications - methods of electronic surveillance have limited-life utility in intercepting newer, more secure types of publicly offered communications. The expansion of electronic surveillance activity in frequency, sophistication, and linguistic needs continues to increase the level of support required. An important factor behind this expansion is the changing demographic of targets that must be monitored by investigators. The FBI must supply equipment and analytical tools to uniquely qualified language specialists to speed the translation and transcription process to meet the investigators' needs. Further, the life span of today's technology is often much shorter than older technologies, resulting in more frequent need for solution development. Terrorist and criminal activity has expanded across international boundaries. Current United States-based intercept technologies and collection capabilities are not always sufficient to meet global requirements. Increased coordination and cooperation with other Government agencies and Governments of other countries place are needed. Digital collection must continue to clearly define electronic surveillance requirements and closely track manufacturers' approaches and solutions. Collection equipment manufacturers continue toward complying with technical standards as a result of the Communications Assistance to Law Enforcement Act (CALEA). One result of the CALEA standard is more information is available for collection. This increase in data coupled with the increased complexity of computer-based electronic

surveillance information management systems will impose a requirement for efficient distribution to users and their respective collection systems

<b>9. Did the Agency's Executive/Investment Committee approve this request?</b>	Yes
<b>a. If "yes," what was the date of this approval?</b>	5/19/2006
<b>10. Did the Project Manager review this Exhibit?</b>	Yes
<b>11. Contact information of Project Manager?</b>	
<b>Name</b>	
Jones, Michael	
<b>Phone Number</b>	703-985-1084
<b>Email</b>	mjjones@fbiacademy.edu
<b>12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.</b>	Yes
<b>a. Will this investment include electronic assets (including computers)?</b>	Yes
<b>b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)</b>	No
<b>1. If "yes," is an ESPC or UESC being used to help fund this investment?</b>	No
<b>2. If "yes," will this investment meet sustainable design principles?</b>	No
<b>3. If "yes," is it designed to be 30% more energy efficient than relevant code?</b>	
<b>13. Does this investment support one of the PMA initiatives?</b>	Yes
<b>If "yes," check all that apply:</b>	Human Capital, Expanded E-Government
<b>13a. Briefly describe how this asset directly supports the identified initiative(s)?</b>	Strategic Management of Human Capital. The FBI acquires individuals with rare linguistic skills by collocating and networking the collection assets within proximity for employment, training, and development. A work flow management module is used by operations managers monitor productivity and distribute work accordingly. Expanded E-Gov. Systems are used in internal and external collaboration with Joint Tactical Task Forces, other federal departments, and intelligence organizations.

<b>14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit <a href="http://www.whitehouse.gov/omb/part.">www.whitehouse.gov/omb/part.</a>)</b>	No
<b>a. If "yes," does this investment address a weakness found during the PART review?</b>	No
<b>b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?</b>	
<b>c. If "yes," what PART rating did it receive?</b>	
<b>15. Is this investment for information technology?</b>	Yes
<b>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.</b>	
<b>For information technology investments only:</b>	
<b>16. What is the level of the IT Project? (per CIO Council PM Guidance)</b>	Level 1
<b>17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):</b>	(4) Project manager assigned but qualification status review has not yet started
<b>18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?</b>	No
<b>19. Is this a financial management system?</b>	No
<b>a. If "yes," does this investment address a FFMI A compliance area?</b>	No
<b>1. If "yes," which compliance area:</b>	
<b>2. If "no," what does it address?</b>	
<b>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</b>	
<b>20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)</b>	
<b>Hardware</b>	33
<b>Software</b>	3
<b>Services</b>	38

**Other**

26

**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**

Deputy General Counsel/Senior Privacy Officer

**E-mail**

Patrick.kelley@ic.fbi.gov

**23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?**

No

**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	11.075	0	2.554	2.554					
Acquisition									

Budgetary Resources	136.339	0	0	17.359					
Subtotal Planning & Acquisition									
Budgetary Resources	147.414	0	2.554	19.913					
Operations & Maintenance									
Budgetary Resources	52.735	28.124	35.446	15.547					
TOTAL									
Budgetary Resources	200.149	28.124	38	35.46					
Government FTE Costs									
Budgetary Resources	7.14	1.905	1.905	14.263					
Number of FTE represented by Costs:	7	7	7	21					

**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?** Yes

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

Beginning in FY08 ten Electronic Techs are requested to perform requirements generation, testing/evaluation, installation of new/upgraded equipment, and user training as well as, system administration expertise, telephonic/on-site technical support and system maintenance support for over 1,300 users. Four Electronic Engineers are required to provide technical expertise related to electrical interactions within internal system components and external telecom service provider components/equipment.

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

The FBI is in the process of analyzing alternatives for the next phase in Foreign Intelligence Surveillance Act (FISA) collection systems. The requested personnel enhancement of 14 personnel and non-personnel enhancement of \$11,035,000 will enhance the Digital Collection project's capacity to provide next generation systems, facilities, and capabilities to enable continuance of audio and data collection in the furtherance of the FBI's FCI and Counterterrorism (CT) responsibilities, seamless transition to regionalized collection, and provide replacement equipment which will be required for inoperable systems and component replacements which be required for obsolete equipment. Systems are nearing the end of their life cycle and require substantial investment in maintenance costs to maintain an adequate technological capability until they are replaced. Major overhaul or replacement of these systems will become a necessity beyond FY 2007. The deployment of advanced digital collection systems, which meet the FCI digital collection' regional architecture represents a significant and critical factor in collection implementation. This requires additional knowledgeable staff for installation, training, and maintenance as well as provision of a new generation of collection systems to collect information in the most efficient manner. Contractor support, currently performing these functions, will not be available in FY08. The nonpersonnel enhancement will be used for new systems and equipment purchases (\$6,850,000); system upgrades and installation (\$685,000); and service maintenance agreements (\$3,500,000). Collection systems will be required to interface with the upcoming Electronic Surveillance Database Management System (EDMS) to maintain current capabilities until their replacement. Without the requested resources, the number of funded contractor positions is expected to increase.

**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:**

[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:

Contracts supporting Digital Collection are legacy contracts awarded prior to EVMS requirements. (EVMS has been a requirement since the inception of the Clinger-Cohen Act). However, current risks for contract performance rests with the firm fixed price contractors. Technical, scheduling, and cost performance is managed by the Digital Collection project.

<b>3. Do the contracts ensure Section 508 compliance?</b>	Yes
<b>a. Explain why:</b>	Contracts supporting this requirement ensure Section 508 compliance in order to meet legal requirements as well as satisfy needs of user personnel.
<b>4. Is there an acquisition plan which has been approved in accordance with agency requirements?</b>	Yes
<b>a. If "yes," what is the date?</b>	10/29/2000
<b>b. If "no," will an acquisition plan be developed?</b>	
<b>1. If "no," briefly explain why:</b>	

**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)
2000	Protect America against the threat of terrorism	Number of standard Title 50 digital collection systems in field offices	90% of Title 50 systems collect via analog inputs	Increase digital collection systems by 10%	Increased digital collection systems by 10%
2000	Enforce federal criminal laws	Near end of life Title III systems deployed in field offices	95% of Title II systems end of life	Deploy additional 10% of Title III systems	Deployed additional 30% of Title III systems
2001	Identify, prevent and defeat foreign intelligence operations	Number of standard Title 50 digital collection systems in field offices	80% of Title 50 systems collect via analog inputs	Increase digital collection systems by 40%	Increased digital collection systems by 50%
2001	Prevent terrorist acts and protect critical infrastructure	Lines of input supported for Title III and Title 50 digital collection	Total lines of input for analog and digital collection (# classified)	Increase lines of digital collection input by 100%	Increased lines of digital collection input by 98%
2001	Enforce federal criminal laws	Near end of life Title III systems deployed in field offices	65% of Title II systems end of life	Deploy additional 10% of Title III systems	Deployed additional 20% of Title III systems
2002	Identify, prevent and defeat foreign intelligence operations	Number of standard Title 50 digital collection systems in field offices	30% of Title 50 systems collect via analog inputs	Increase digital collection systems by 10%	Increased digital collection systems by 10%
2002	Prevent terrorist acts and protect critical infrastructure	Lines of input supported for Title III and Title 50 digital collection	Total lines of input for analog and digital collection (# classified)	Increase lines of digital collection input by 30%	Increased lines of digital collection input by 16%
2002	Enforce federal criminal laws	Near end of life Title III systems deployed in field offices	45% of Title II systems end of life	Deploy additional 30% of Title III systems	Deployed additional 40% of Title III systems
2003	Identify, prevent and defeat foreign intelligence operations	Number of standard Title 50 digital collection systems in field offices	20% of Title 50 systems collect via analog inputs	Increase digital collection systems by 20%	Increased digital collection systems by 20%
2003	Prevent terrorist acts and protect critical infrastructure	Lines of input supported for Title III and Title 50 digital collection	Total lines of input for analog and digital collection (# classified)	Increase lines of digital collection input by 300%	Increased lines of digital collection input by 346%
2003	Enforce federal criminal laws	Near end of life Title III systems deployed in field	5% of Title II systems end of life	Deploy additional 5% of Title III systems	Deployed additional 5% of Title III systems

		offices			
2004	Identify, prevent and defeat intelligence operations conducted by foreign power	Lines of input supported for Title III and Title 50 digital collection	Total lines of input for analog and digital collection (# classified)	Increase lines of digital collection input by 130%	Increased lines of digital collection input by 135%
2004	Prevent, disrupt and defeat terrorist operations before they occur	System information storage capacity for collected intelligence	Total storage capacity 12,500GB	Increase system storage capacity by 9%	Increased system storage capacity by 12%
2004	Identify, disrupt and dismantle targeted international drug trafficking organizations	System information storage capacity for collected evidence	Total storage capacity 4,200GB	Increase system storage capacity by 9%	Increased system storage capacity by 12%
2005	Prevent, disrupt, and defeat terrorist operations before they occur	System capacity available to translate and transcribe intercepted Title 50 information	680 linguists and agents supported	Increase capacity for users supported by 37%	Increased capacity for users supported by 37%
2005	Prevent Terrorism and Promote the Nations Security	Lines of input supported for Title III and Title 50 digital collection	Total lines of input for analog and digital collection (# classified)	Increase lines of digital collection input by 110%	Increased lines of digital collection input by 109%
2005	Enforce Federal Laws and represent the Rights and Interests of the American People	Lines of input supported for Title III digital collection	Total lines of input for digital collection (# classified)	Increase lines of digital collection input by 30%	Increased lines of digital collection input by 60%
2006	Prevent Terrorism and Promote the Nations Security	Collected information meets applicable security standards and policies	Title 50 system certification and accreditation incomplete	Certify and accredit Title 50 system	Title 50 system certified and accredited
2006	Prevent, disrupt, and defeat terrorist operations before they occur	Lines of input supported for Title 50 digital collection	Total lines of input for digital collection (# classified)	Increase lines of digital collection input by 10%	Increased lines of digital collection input by 4%
2006	Enforce Federal Laws and represent the Rights and Interests of the American People	Lines of input supported for Title III digital collection	Total lines of input for digital collection (# classified)	Increase lines of digital collection input by 9%	Increased lines of digital collection input by 8%
2007	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Automated voice to text tools available (language translation)	No automated voice to text tools available	Implement initial capability for voice to text tools	
2007	Effectively utilize applied	Voice recognition tools	No voice recognition tools	Implement initial capability	



	science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	available for Title 50 system	available for Title 50 systems Implement initial capability for voice to text tools	for voice to text tools	
2007	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Improve speed of access and dissemination of information collected through data and telecommunications intercepts	12 hour maximum time from interception to translation of critical, time-sensitive intercepts	10% average improvement of time from intercept to translation	
2007	Protect the United States from terrorist attack	Incident response and investigative capability	100% response to requests for new quick reaction collection capability	Maintain 100% response to requests for new quick reaction collection capability	
2007	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title III system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2007	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title 50 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2007	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	DCS-3000 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2008	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Automated voice to text tools available (language translation)	Initial automated voice to text tools available for Title 50 systems	10% improvement in voice to text tools capability	
2008	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our	Voice recognition tools available for Title 50 system	No voice recognition tools available for Title 50 systems	30% improvement in capability for voice recognition tools	

	adversaries				
2008	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Improve speed of access and dissemination of information collected through data and telecommunications intercepts	10.8 hour maximum time from interception to translation of critical, time-sensitive intercepts	10% average improvement of time from intercept to translation	
2008	Protect the United States from terrorist attack	Incident response and investigative capability	100% response to requests for new quick reaction collection capability	Maintain 100% response to requests for new quick reaction collection capability	
2008	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title III system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2008	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title 50 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2008	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	DCS-3000 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2009	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Automated voice to text tools available (language translation)	Initial automated voice to text tools available for Title 50 systems	10% improvement in voice to text tools capability	
2009	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Voice recognition tools available for Title 50 system	No voice recognition tools available for Title 50 systems	30% improvement in capability for voice recognition tools	
2009	Effectively utilize applied science and engineering resources to empower the FBI's investigative and	Improve speed of access and dissemination of information collected through data and telecommunications	9.8 hour maximum time from interception to translation of critical, time-sensitive intercepts	10% average improvement of time from intercept to translation	

	intelligence operations and thwart the techniques of our adversaries	intercepts			
2009	Protect the United States from terrorist attack	Incident response and investigative capability	100% response to requests for new quick reaction collection capability	Maintain 100% response to requests for new quick reaction collection capability	
2009	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title III system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2009	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title 50 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2009	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	DCS-3000 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2009	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Automated voice to text tools available (language translation)	Initial automated voice to text tools available for Title 50 systems	10% improvement in voice to text tools capability	
2010	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Automated voice to text tools available (language translation)	Initial automated voice to text tools available for Title 50 systems	10% improvement in voice to text tools capability	
2010	Effectively utilize applied science and engineering resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	Voice recognition tools available for Title 50 system	No voice recognition tools available for Title 50 systems	20% improvement in capability for voice recognition tools	
2010	Effectively utilize applied science and engineering	Improve speed of access and dissemination of information	9.8 hour maximum time from interception to	10% average improvement of time from intercept to	

	resources to empower the FBI's investigative and intelligence operations and thwart the techniques of our adversaries	collected through data and telecommunications intercepts	translation of critical, time-sensitive intercepts	translation	
2010	Protect the United States from terrorist attack	Incident response and investigative capability	100% response to requests for new quick reaction collection capability	Maintain 100% response to requests for new quick reaction collection capability	
2010	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title III system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2010	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	Title 50 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	
2010	Establish an enterprise-wide Security Program that protects our people, information, and capabilities	DCS-3000 system certification and accreditation	System certified and accredited	Maintain certification and accreditation	

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](http://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

**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 investment:                                       | Yes |
| a. If "yes," provide the "Percentage IT Security" for the budget year:   | 5   |
| 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
DCS-5000	Government Only	7/30/2008	1/30/2008

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
DCS-3000	Government Only		Yes	6/1/2006	FIPS 200 / NIST 800-53	5/3/2006	6/27/2006
DCS-5000	Government Only		Yes	2/3/2006	FIPS 200 / NIST 800-53	11/1/2005	6/27/2006
DCS-6000	Government Only		Yes	6/2/2006	FIPS 200 / NIST 800-53	5/26/2006	6/27/2006

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?
DCS-3000	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.
DCS-5000	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.
DCS-6000	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.**

<b>1. Is this investment included in your agency's target enterprise architecture?</b>	Yes
<b>a. If "no," please explain why?</b>	
<b>2. Is this investment included in the agency's EA Transition Strategy?</b>	Yes
<b>a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.</b>	Digital Collection Program
<b>b. If "no," please explain why?</b>	

### 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	Development and Integration	Legacy Integration			No Reuse	3
		Business Analytical Services	Reporting	Ad Hoc			No Reuse	5
		Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	9
		Digital Asset Services	Knowledge Management	Knowledge Capture			No Reuse	52
		Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	13
		Support Services	Search	Query			No Reuse	13

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)
Knowledge Distribution and Delivery	Component Framework	Data Management	Database Connectivity	Microsoft
Knowledge Distribution and Delivery	Component Framework	Presentation / Interface	Content Rendering	Hyper Text Markup Language (HTML)
Knowledge Distribution and Delivery	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .Net
Knowledge Distribution and Delivery	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Microsoft Sun Active Server Pages
Information Sharing	Service Access and Delivery	Access Channels	Other Electronic Channels	Uniform Resource Locator (URL)
Information Sharing	Service Access and Delivery	Access Channels	Other Electronic Channels	Web Service
Legacy Integration	Service Access and Delivery	Access Channels	Web Browser	Microsoft Internet Explorer
Legacy Integration	Service Access and Delivery	Access Channels	Web Browser	Netscape Navigator
Knowledge Distribution and Delivery	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Service Transport	Hyper Text Transfer Protocol (HTTP)
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Supporting Network Services	Simple Network Management Protocol (SNMP)
Query	Service Interface and Integration	Integration	Middleware	Database Access: ISQL/w
Query	Service Interface and Integration	Integration	Middleware	Database Access: PL/SQL
Knowledge Distribution and Delivery	Service Interface and Integration	Integration	Middleware	Remote Procedure Call (RPC)



Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Database	Sybase
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Storage	Compaq Enterprise Servers
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Application Servers	Compaq
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	Apache
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hewlett-Packard Hard Disk Drives
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hewlett-Packard Redundant Array of Independent Disks (RAID)
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Microprocessors
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM)
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Virtual LAN (VLAN)
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Cisco Gateway
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Cisco Router
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Cisco Switch
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	ICTG T1 Card
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	ISDN
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Network Interface Card (NIC)
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Transceivers

Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Hewlett-Packard Printers
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**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.

<b>1. Did you conduct an alternatives analysis for this project?</b>	Yes
<b>a. If "yes," provide the date the analysis was completed?</b>	1/27/2006
<b>b. If "no," what is the anticipated date this analysis will be completed?</b>	
<b>c. If no analysis is planned, please briefly explain why:</b>	

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	1- Volumetric Collection	Collection systems consolidated at locations requiring the largest number of collections and intercepts	167.653	0

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

Alternative 1 - Volumetric Collection. An analysis found that a DCS-5000 regionalized architecture 1) reduces overhead costs, and 2) improves quality and performance by consolidating expertise and minimizing complexity. A cost-effectiveness analysis of 10 alternatives was performed using evaluation factors - user and system location(s), technology, and collection volume. Alt 1 was chosen. It addresses shortfalls including multiple independent systems, capacity underutilization, and costly support for each site.

**4. What specific qualitative benefits will be realized?**

The primary benefits of a regionalized architectural approach for the next generation of DCS-5000 would be to: 1) reduce overhead costs by utilizing "economies of scale" practices, and 2) improve quality and performance by consolidating expertise and minimizing complexity. Regionalization will improve the FBI's collection and processing capability through the deployment of digital collection systems that will provide continuous digital collection in the event of catastrophic failure of individual systems. A regionalized architecture would meet 17 of 17 strategies, business and technologies/vulnerabilities assessment criteria; the current distributed architecture met only 5 of 17 criteria. Qualitative benefits include: operations - 1) consolidation of locations permits majority of users to be collocated at few sites, 2) better utilization of system collection capacity, consolidated training; maintenance - 1) centralization of support resources, 2) fewer systems to maintain; accessibility - file transfers among sites more efficient, less resource intensive; 3) resiliency - decreased point of failure due from unplanned outages. Additionally, this regionalized infrastructure will be EDMS compatible and complementary. The long-term gains of a regionalized architecture would be to alleviate ongoing installation, upgrade, and maintenance costs associated with fielded systems. Staffing would also be reduced since Computer Specialists and Linguists would reside at the Regional Offices. Staffing would be minimal at the field office locations.

## 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.

<b>1. Does the investment have a Risk Management Plan?</b>	Yes
<b>a. If "yes," what is the date of the plan?</b>	5/12/2006
<b>b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?</b>	No

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

Risks for the investment are identified within 3 categories: technical, acquisition, and financial. Each risk is evaluated as to its probability of occurrence and level of impact on schedule, cost, and technical performance to determine the overall risk rating. Given that, with very limited deviation, effort performed for digital collection implementation is completed by contracted support through firm fixed price contracts, there is limited risk associated with technical, cost and schedule performance. Baselines established are provided to contract vendors as contract requirements/deliverables; however, in order to mitigate the risk of unforeseen requirements and increased scope, a management reserve of 10% is maintained. Cost performance risk is mitigated through maximum usage of firm fixed price contracts and task orders. Budget projections are reviewed at least quarterly. Independent government cost estimates are developed, analyzed, and compared to contractor proposals for each major acquisition. Out-of-tolerance variances are brought to the contractors' attention and cost/price is negotiated.

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

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

Risks for the investment are identified within 3 categories: technical, acquisition, and financial. Each risk is evaluated as to its probability of occurrence and level of impact on schedule, cost, and technical performance to determine the overall risk rating. Given that, with very limited deviation, effort performed for digital collection implementation is completed by contracted support through firm fixed price contracts, there is limited risk associated with technical, cost and schedule performance. Baselines established are provided to contract vendors as contract requirements/deliverables; however, in order to mitigate the risk of unforeseen requirements and increased scope, a management reserve of 10% is maintained. Cost performance risk is mitigated through maximum usage of firm fixed price contracts and task orders. Budget projections are reviewed at least quarterly. Independent government cost estimates are developed, analyzed, and compared to contractor proposals for each major acquisition. Out-of-tolerance variances are brought to the contractors' attention and cost/price is negotiated.

## II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	Yes
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)?	190314
b. What is the Earned Value (EV)?	186714
c. What is the actual cost of work performed (AC)?	188808
d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor Only
e. "As of" date:	3/2/2006
3. What is the calculated Schedule Performance Index (SPI = EV/PV)?	0.98
4. What is the schedule variance (SV = EV-PV)?	-3600
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	0.98
6. What is the cost variance (CV=EV-AC)?	-2094
7. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)	No
a. If "yes," was it the?	
b. If "yes," explain the variance:	
c. If "yes," what corrective actions are being taken?	
d. What is most current "Estimate at Completion"?	
8. Have any significant changes been made to the baseline during the past fiscal year?	No

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

No

**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	DCS-3000 O&M	09/30/2005	\$3.268	09/30/2005	09/30/2005	\$3.268	\$3.096	0	\$0.172	100%
2	DCS-5000 O&M	09/30/2005	\$17.648	09/30/2005	09/30/2005	\$17.648	\$14.048	0	\$3.600	100%
3	DCS-6000 O&M	09/30/2005	\$11.648	09/30/2005	09/30/2005	\$11.648	\$8.160	0	\$3.488	100%
4	DCS-3000 O&M	09/30/2006	\$3.268	09/30/2006	09/30/2006	\$3.268	\$1.961	0	\$1.307	60%
5	DCS-5000 O&M	09/30/2006	\$15.898	09/30/2006		\$15.898	\$7.249		\$8.649	45%
6	DCS-6000 O&M	09/30/2006	\$9.201	09/30/2006		\$9.201	\$5.701		\$3.500	62%
7	DCS-3000 O&M	09/30/2007	\$3.544	09/30/2007		\$3.544				%
8	DCS-5000 Planning	09/30/2007	\$2.554	09/30/2007		\$2.554				%
9	DCS-5000 O&M	09/30/2007	\$17.772	09/30/2007		\$17.772				%
10	DCS-6000 O&M	09/30/2007	\$11.576	09/30/2007		\$11.576				%
11	DCS-3000 O&M	09/30/2008	\$2.963	09/30/2008		\$2.963				%
12	DCS-5000 Planning	09/30/2008	\$2.554	09/30/2008		\$2.554				%
13	DCS-5000 Acquisition	09/30/2008	\$14.146	09/30/2008		\$14.146				%
14	DCS-5000 O&M	09/30/2008	\$5.400	09/30/2008		\$5.400				%
15	DCS-6000 O&M	09/30/2008	\$7.184	09/30/2008		\$7.184				%
16										%
17										%
18										%
19										%
20										%
21										%
22										%
23										%
24										%
25										%
<b>Project Totals</b>		<b>09/30/2011</b>		<b>09/30/2011</b>	<b>09/30/2006</b>					<b>18.54</b>