

FBI National Instant Criminal Background Check System (NICS)

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

I.A. Overview

1. Date of Submission:	12/8/2006
2. Agency:	Department of Justice
3. Bureau:	Federal Bureau of Investigation
4. Name of this Capital Asset:	FBI National Instant Criminal Background Check System (NICS)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	011-10-01-03-01-2616-00
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?	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:

The NICS prevents the transfer of a firearm to persons who are prohibited from possessing or receiving a firearm while allowing the timely transfer to those individuals that are not prohibited. Title 18, Section 922 of the United States Code defines who is prohibited from shipping, transporting, possessing, or receiving any firearm or ammunition in or affecting commerce. The NICS was created through the collaborative efforts of the FBI; the Bureau of Alcohol, Tobacco, Firearms and Explosives; the Department of Justice; local, state, and other federal law enforcement agencies; and private contractor support. The NICS Regulation, Title 28, Code of Federal Regulations (CFR), Part 25, Subpart A requires the NICS to provide Federal Firearms Licensees (FFL) with an immediate response regarding the person for whom the receipt of a firearm would violate the Code. Additionally, if the initial response is a "delay," the NICS is required to provide the FFLs with a "proceed" or "deny" response within three business days. The NICS Regulation provides the states with the option to act as a point of contact (POC) for NICS transactions and allows the FBI to serve as the POC in those states that have chosen not to perform the checks. There are currently 13 full POC states/territories, eight partial POC state/territories, and 35 non-POC state/territories. The NICS Regulation required development of other electronic means of contact as an alternative to the telephone. Therefore, the NICS E-Check was developed. This function enables the FFLs to initiate an unassisted NICS background check for firearm transfers via the Internet. When the FFLs conduct a NICS check, a name search is conducted for matching records in the following three databases: 1) The National Crime Information Center, which contains information on wanted persons; 2) The Interstate Identification Index, which contains criminal history records; and 3) The NICS Index, which contains the names of prohibited persons as outlined in the Brady Act. During FY 06 & 07, the NICS will undergo an extensive Business Process Re-design study to seek opportunities to improve the NICS services. FY 08 funding will be used to finalize the results of the study, provide project management and business case support and conduct requirements development efforts.

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	
Hammit, Jr., Bobby P	
Phone Number	(304) 625-3501
Email	bhamil@leo.gov
12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	Yes
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, Expanded E-Government
13a. Briefly describe how this asset directly supports the identified initiative(s)?	By consolidating and disseminating information concerning prospective firearms purchasers, the levels a service requester must go through is reduced. The NICS expands citizen-centered government by implementing an e-business platform that utilizes the Internet to conduct background checks, receive printable hard-copy documentation of completed checks, as well as obtain important documents, standard forms, responses to frequently asked questions and other informational materials.

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.)	Yes
a. If "yes," does this investment address a weakness found during the PART review?	Yes
b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	Criminal Justice Services
c. If "yes," what PART rating did it receive?	Moderately Effective
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 2
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):	(4) Project manager assigned but qualification status review has not yet started
18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	No
19. Is this a financial management system?	No
a. If "yes," does this investment address a FFMI A 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	20
Software	17
Services	63

Other

0

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

FBI Senior Privacy Official

E-mail

Patrick Kelley@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	2.356	1.359	0.606	0.108					
Acquisition									

Budgetary Resources	90.205	4.361	0.801	3.023					
Subtotal Planning & Acquisition									
Budgetary Resources	92.561	5.72	1.407	3.131					
Operations & Maintenance									
Budgetary Resources	33.426	7.407	7.416	7.296					
TOTAL									
Budgetary Resources	125.987	13.127	8.823	10.427					
Government FTE Costs									
Budgetary Resources	267.697	45.361	46.245	47.147					
Number of FTE represented by Costs:	4379	671	671	671					

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 Exhibit 51/53 provided to DOJ included financial data from Exhibit 300s submitted in March 2006 and included both personnel and non-personnel costs factored into planning, full acquisition, and Operations and Maintenance. The Exhibit 300 submitted in June 2006 did not factor FTE costs into the 3 areas. The figures provided in the previous submission were estimates. The FY06 figures in this submission are the actual commitments and obligations that are in the CJIS internal financial tracking system. The FY07 figures are based on the CJIS ITRMB list submitted to management. The projects that were approved by management and received funding for FY07 are the basis for the numbers that are in FY07 for this reporting period. The funding profile has been updated to reflect those projects that have been approved by the CJIS ITRB. The out years are estimates based on the assumption if a project is funded in FY07 and also had an out year cost listed on the ITRM summary sheet, those would be funded and those were the numbers that were used for the out years.

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:

Both the O & M and TRP development contracts have EVM criteria within the PWS and are currently being managed with EVM and performance-based incentives.

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why:	The CJIS Division has implemented an extensive and well-structured process for acquisitions that ensure procurements are conducted in compliance with all appropriate Federal regulations and policies. The Contract Administration Office was established within the CJIS Division to ensure that all procurement policies are followed and all requirements are complied with or adhered to. During the requisition approval process the chosen vendor completes a Section 508 compliance form.
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	12/15/2004
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	Strategic Goal(s)	Performance Measure	Actual/baseline (from	Planned Performance	Performance Metric

Year	Supported		Previous Year)	Metric (Target)	Results (Actual)
2000	FBI Priorities: 1, 6, 8, 9, 10	Immediate Proceed Rate	The Immediate Proceed Rate for FY 99 was 72.6%	Increase the Immediate Proceed Rate	The Immediate Proceed Rate for FY 00 was 71.28%
2001	FBI Priorities: 1, 6, 8, 9, 10	Immediate Proceed Rate	The Immediate Proceed Rate for FY 00 was 71.28%	Increase the Immediate Proceed Rate	The Immediate Proceed Rate for FY 01 was 70.0%
2002	FBI Priorities: 1, 6, 8, 9, 10	Immediate Proceed Rate	The Immediate Proceed Rate for FY 01 was 70.0%	Increase the Immediate Proceed Rate	The Immediate Proceed Rate for FY 02 was 77.32%
2003	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR) - Combines the immediate proceeds from the call center and those transferred to the FBI	The Immediate Proceed Rate for FY 02 was 77.32%	Raise the IRD above the 90% level as directed by the Attorney General (AG)	The IDR for FY 03 was 91.23%
2004	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR)	The IDR for FY 03 was 91.23%	Maintain the IRD above the 90% level as directed by the Attorney General (AG)	The IDR for FY 04 was 91.85%
2004	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	As of 10/03 there were 3.2 million records in the NICS Index	Increase the value of the NICS Index	As of 10/04 there were 3.6 million records in the NICS Index
2005	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR)	The IDR for FY 04 was 91.85%	Maintain the IRD above the 90% level as directed by the AG	The IDR for FY 05 was 91.45%
2005	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	As of 10/04 there were 3.6 million records in the NICS Index	Increase the value of the NICS Index	As of 10/05 there were 3.9 million records in the NICS Index
2005	FBI Priorities: 1, 6, 8, 9, 10	Number of trips to States visited by the NICS POC Support Team to provide training or support	Establish a baseline	Improve support to States to ensure compliance with NICS Procedures and Disposition Availability	16 states were provided training or support as of 9/30/2006.
2006	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR)	The IDR for FY 05 was 91.45%	Maintain the IRD above the 90% level as directed by the AG	TBD
2006	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	As of 10/05 there were 3.9 million records in the NICS Index	Increase the value of the NICS Index	TBD
2006	FBI Priorities: 1, 6, 8, 9, 10	Number of POC States visited by the NICS POC Support Team to provide training or support	16 states were provided training or support as of 9/30/2006	Improve support for POC States to ensure compliance with NICS Procedures and Disposition Availability	TBD
2007	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination	TBD	Maintain the IRD above the	TBD

		Rate (IDR)		90% level as directed by the AG	
2007	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	TBD	Increase the value of the NICS Index	TBD
2007	FBI Priorities: 1, 6, 8, 9, 10	Number of POC States visited by the NICS POC Support Team to provide training or support	TBD	Improve support for POC States to ensure compliance with NICS Procedures and Disposition Availability	TBD
2008	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR)	TBD	Maintain the IRD above the 90% level as directed by the AG	TBD
2008	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	TBD	Increase the value of the NICS Index	TBD
2008	FBI Priorities: 1, 6, 8, 9, 10	Number of POC States visited by the NICS POC Support Team to provide training or support	TBD	Improve support for POC States to ensure compliance with NICS Procedures and Disposition Availability	TBD
2009	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR)	TBD	Maintain the IRD above the 90% level as directed by the AG	TBD
2009	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	TBD	Increase the value of the NICS Index	TBD
2009	FBI Priorities: 1, 6, 8, 9, 10	Number of POC States visited by the NICS POC Support Team to provide training or support	TBD	Improve support for POC States to ensure compliance with NICS Procedures and Disposition Availability	TBD
2010	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR)	TBD	Maintain the IRD above the 90% level as directed by the AG	TBD
2010	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	TBD	Increase the value of the NICS Index	TBD
2010	FBI Priorities: 1, 6, 8, 9, 10	Number of POC States visited by the NICS POC Support Team to provide training or support	TBD	Improve support for POC States to ensure compliance with NICS Procedures and Disposition Availability	TBD
2011	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination	TBD	Maintain the IRD above the	TBD

		Rate (IDR)		90% level as directed by the AG	
2011	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	TBD	Increase the value of the NICS Index	TBD
2011	FBI Priorities: 1, 6, 8, 9, 10	Number of POC States visited by the NICS POC Support Team to provide training or support	TBD	Improve support for POC States to ensure compliance with NICS Procedures and Disposition Availability	TBD
2012	FBI Priorities: 1, 6, 8, 9, 10	Immediate Determination Rate (IDR)	TBD	Maintain the IRD above the 90% level as directed by the AG	TBD
2012	FBI Priorities: 1, 6, 8, 9, 10	Number of records contributed to the NICS Index	TBD	Increase the value of the NICS Index	TBD
2012	FBI Priorities: 1, 6, 8, 9, 10	Number of POC States visited by the NICS POC Support Team to provide training or support	TBD	Improve support for POC States to ensure compliance with NICS Procedures and Disposition Availability	TBD

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

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:	4.48
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
NICS	Government Only	10/5/2001	10/2/2006

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
NICS	Contractor and Government		Yes	10/2/2006	FIPS 200 / NIST 800-53	8/30/2006	5/31/2006

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?

FBI personnel operate the system in conjunction with support contractors that are on-site at the CJIS Division facility. The contractors receive an annual security awareness briefing in conjunction with the FBI briefings. All security incidents are reported to the CJIS Chief Security Officer. The COTR is responsible for assuring the security requirements and procedures identified in the contract are adhered to by the contractors, through site visits and performance reviews. The COTR is supported in this endeavor by the ISSM, ISSO and other CJIS Contract Administration Office staff members who review all contract modifications. Security-specific requirements are included as part of the Statements of Work to ensure contractors are aware of their responsibilities. Additionally, for those contractors who work at an off-site location, an In-Plant Security Plan is required. This Plan is verified by FBI personnel prior to the contractors beginning work on an FBI project. Site visits are also performed on an annual basis to ensure the security requirements remain in effect.

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?
NICS	No	Yes.	Yes.	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. National Instant Criminal Background Checks System (NICS)

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	Extraction and Transformation			No Reuse	2
		Back Office Services	Data Management	Loading and Archiving			No Reuse	2
		Customer Services	Customer Preferences	Alerts and Notifications			No Reuse	5
		Customer Services	Customer Relationship Management	Call Center Management			No Reuse	10
		Customer Services	Customer Relationship Management	Customer Feedback			No Reuse	2
		Customer Services	Customer Relationship Management	Partner Relationship Management			No Reuse	6
		Digital Asset Services	Document Management	Classification			No Reuse	2
		Digital Asset Services	Document Management	Document Revisions			No Reuse	2
		Digital Asset Services	Document Management	Indexing			No Reuse	4
		Digital Asset Services	Document Management	Library / Storage			No Reuse	2
		Digital Asset Services	Knowledge Management	Categorization			No Reuse	2
		Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy			No Reuse	2

		Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	10
		Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	12
		Digital Asset Services	Knowledge Management	Knowledge Capture			No Reuse	3
		Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	10
		Digital Asset Services	Records Management	Digital Rights Management			No Reuse	2
		Digital Asset Services	Records Management	Document Classification			No Reuse	2
		Digital Asset Services	Records Management	Document Retirement			No Reuse	4
		Process Automation Services	Tracking and Workflow	Case Management			No Reuse	6
		Process Automation Services	Tracking and Workflow	Process Tracking			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)
Extraction and Transformation	Component Framework	Business Logic	Platform Dependent	C.C++ bundled with HP-UX 11i
Partner Relationship Management	Component Framework	Business Logic	Platform Dependent	C.C++ bundled with HP-UX 11i
Extraction and Transformation	Component Framework	Business Logic	Platform Independent	C, C++, Java versions TBD
Call Center Management	Component Framework	Business Logic	Platform Independent	C, C++, Java versions TBD
Partner Relationship Management	Component Framework	Business Logic	Platform Independent	C, C++, Java versions TBD
Customer Feedback	Component Framework	Business Logic	Platform Independent	C, C++, Java versions TBD
Call Center Management	Component Framework	Business Logic	Platform Independent	C.C++ bundled with HP-UX 11i
Partner Relationship Management	Component Framework	Presentation / Interface	Content Rendering	Dynamic HTML (DHTML)
Extraction and Transformation	Component Framework	Presentation / Interface	Content Rendering	Dynamic HTML (DHTML) Bundled with MS Windows 2000 and HP -UX 11i
Call Center Management	Component Framework	Presentation / Interface	Content Rendering	Dynamic HTML (DHTML) Bundled with MS Windows 2000 and HP -UX 11i
Call Center Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages (JSP) release TBD
Partner Relationship Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages (JSP) release TBD
Call Center Management	Component Framework	Presentation / Interface	Static Display	C, C++ and Java internally developed code
Partner Relationship Management	Component Framework	Presentation / Interface	Static Display	C, C++ and Java internally developed code
Call Center Management	Component Framework	Security	Certificates / Digital Signatures	Digital Certificate Authentication Secure Sockets Layer (SSL) Provided by StoneBeat Management 4.3.3 and XCert Sentry CA software
Partner Relationship Management	Component Framework	Security	Certificates / Digital Signatures	Digital Certificate Authentication Secure Sockets Layer (SSL) Provided by StoneBeat Management 4.3.3 and XCert Sentry CA software

Call Center Management	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Partner Relationship Management	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Customer Feedback	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Information Sharing	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Information Retrieval	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Categorization	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Knowledge Distribution and Delivery	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Knowledge Capture	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Digital Rights Management	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Alerts and Notifications	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Process Tracking	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Extraction and Transformation	Service Access and Delivery	Access Channels	Collaboration / Communications	BEA Tuxedo Server
Call Center Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Partner Relationship Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Customer Feedback	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Information Sharing	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Information Retrieval	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Categorization	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Knowledge	Service Access and Delivery	Access Channels	Collaboration /	Integrated Fax Server version TBD

Distribution and Delivery	Delivery		Communications	
Knowledge Capture	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Digital Rights Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Alerts and Notifications	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Process Tracking	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Extraction and Transformation	Service Access and Delivery	Access Channels	Collaboration / Communications	Integrated Fax Server version TBD
Call Center Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Partner Relationship Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Customer Feedback	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Information Sharing	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Information Retrieval	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Process Tracking	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Knowledge Distribution and Delivery	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Knowledge Capture	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Digital Rights Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Alerts and Notifications	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP) - supported by MS Windows 2000 and HP-UX 11i
Call Center Management	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX
Partner Relationship Management	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX
Information Sharing	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX

	Delivery			
Knowledge Distribution and Delivery	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX
Knowledge Capture	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX
Digital Rights Management	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX
Alerts and Notifications	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX
Extraction and Transformation	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX
Customer Feedback	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	Provided by HP-UX 11i and Cisco IOX.
Call Center Management	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Partner Relationship Management	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Customer Feedback	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Information Sharing	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Knowledge Distribution and Delivery	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Digital Rights Management	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Alerts and Notifications	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Extraction and Transformation	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN-1
Call Center Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508 Compliance through observance of standards
Partner Relationship Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508 Compliance through observance of standards
Customer Feedback	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508 Compliance through observance of standards
Information Sharing	Service Access and	Service	Legislative /	Section 508 Compliance through observance of standards

	Delivery	Requirements	Compliance	
Knowledge Distribution and Delivery	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508 Compliance through observance of standards
Digital Rights Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508 Compliance through observance of standards
Alerts and Notifications	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508 Compliance through observance of standards
Call Center Management	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Partner Relationship Management	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Information Sharing	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Information Mapping / Taxonomy	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Digital Rights Management	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Alerts and Notifications	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Extraction and Transformation	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Customer Feedback	Service Access and Delivery	Service Transport	Supporting Network Services	HP OpenView version TBD
Call Center Management	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Partner Relationship Management	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Information Sharing	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i

Information Mapping / Taxonomy	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Digital Rights Management	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Alerts and Notifications	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Extraction and Transformation	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Customer Feedback	Service Access and Delivery	Service Transport	Supporting Network Services	Internet Message Access Protocol/Post Office Protocol (IMAP/POP3). Multipurpose Internet Mail Extensions (MIME). Directory Services (X.500). Domain Name System (DNS X.400) - Bundled in MS Windows 2000 & HP-UX 11i
Call Center Management	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX.
Partner Relationship Management	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX.
Extraction and Transformation	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX
Information Sharing	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX.
Information Mapping / Taxonomy	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX.
Knowledge	Service Access and	Service Transport	Supporting Network	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text

Distribution and Delivery	Delivery		Services	Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX.
Alerts and Notifications	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX.
Customer Feedback	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Control Protocol (TCP), Internet Protocol (IP), Hyper Text Transfer Protocol (HTTP), File Transfer Protocol (FTP) -- Bundled with MS Windows 2000, HP-UX 11i, and Cisco IOX.
Extraction and Transformation	Service Interface and Integration	Integration	Middleware	Remote Procedure Call (RPC) supported by HP-UX 11i
Call Center Management	Service Interface and Integration	Integration	Middleware	Remote Procedure Call (RPC) supported by HP-UX 11i
Partner Relationship Management	Service Interface and Integration	Integration	Middleware	Remote Procedure Call (RPC) supported by HP-UX 11i
Extraction and Transformation	Service Interface and Integration	Integration	Middleware	Tuxedo 8.1
Call Center Management	Service Interface and Integration	Integration	Middleware	Tuxedo 8.1
Partner Relationship Management	Service Interface and Integration	Integration	Middleware	Tuxedo 8.1
Extraction and Transformation	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interfaces (API). - Vendors of most operating system software and device firmware embedded in NICS have included one or more APIs. APIs are also provided by 3rd parties.
Call Center Management	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interfaces (API). - Vendors of most operating system software and device firmware embedded in NICS have included one or more APIs. APIs are also provided by 3rd parties.
Partner Relationship Management	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interfaces (API). - Vendors of most operating system software and device firmware embedded in NICS have included one or more APIs. APIs are also provided by 3rd parties.
Extraction and Transformation	Service Interface and Integration	Interoperability	Data Format / Classification	eXtensible Markup Language (XML) release TBD
Partner Relationship Management	Service Interface and Integration	Interoperability	Data Format / Classification	eXtensible Markup Language (XML) release TBD
Extraction and Transformation	Service Interface and Integration	Interoperability	Data Types / Validation	XML Schema developed internally
Partner Relationship Management	Service Interface and Integration	Interoperability	Data Types / Validation	XML Schema developed internally
Partner Relationship Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD

Call Center Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Customer Feedback	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Information Sharing	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Information Mapping / Taxonomy	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Categorization	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Digital Rights Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Alerts and Notifications	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Process Tracking	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Case Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Document Revisions	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Indexing	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Classification	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Document Retirement	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Loading and	Service Platform	Database /	Database	Oracle 8.1.6 SQL Server version TBD

Archiving	and Infrastructure	Storage		
Extraction and Transformation	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6 SQL Server version TBD
Partner Relationship Management	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Call Center Management	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Customer Feedback	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Information Sharing	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Information Mapping / Taxonomy	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Categorization	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Digital Rights Management	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Alerts and Notifications	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Process Tracking	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Case Management	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Document Revisions	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Indexing	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Classification	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches

Document Classification	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Document Retirement	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Loading and Archiving	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Extraction and Transformation	Service Platform and Infrastructure	Database / Storage	Storage	Storage Area Network (SAN) supported by LSI 4600 RAID and Brocade 12000 switches
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM), Hard Disk Drive, Network Interface Card (NIC) - bundled with Dell and HP systems.
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM), Hard Disk Drive, Network Interface Card (NIC) - bundled with Dell and HP systems.
Customer Feedback	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM), Hard Disk Drive, Network Interface Card (NIC) - bundled with Dell and HP systems.
Information Sharing	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM), Hard Disk Drive, Network Interface Card (NIC) - bundled with Dell and HP systems.
Information Mapping / Taxonomy	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM), Hard Disk Drive, Network Interface Card (NIC) - bundled with Dell and HP systems.
Extraction and Transformation	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM), Hard Disk Drive, Network Interface Card (NIC) - bundled with Dell and HP systems.
Extraction and Transformation	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet, Virtual LAN (VLAN), - Provided by Cisco IOS release 11.0 and higher
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet, Virtual LAN (VLAN), - Provided by Cisco IOS release 11.0 and higher
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet, Virtual LAN (VLAN), - Provided by Cisco IOS release 11.0 and higher
Customer Feedback	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet, Virtual LAN (VLAN), - Provided by Cisco IOS release 11.0 and higher
Extraction and Transformation	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Switch Cisco 6509, Router Cisco 3662 T1/T3 & Cisco 4500 Firewall CheckPoint NG
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Switch Cisco 6509, Router Cisco 3662 T1/T3 & Cisco 4500 Firewall CheckPoint NG
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Switch Cisco 6509, Router Cisco 3662 T1/T3 & Cisco 4500 Firewall CheckPoint NG
Customer Feedback	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Switch Cisco 6509, Router Cisco 3662 T1/T3 & Cisco 4500 Firewall CheckPoint NG
Information Sharing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer TBD/Scanner TBD

Information Mapping / Taxonomy	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer TBD/Scanner TBD
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer TBD/Scanner TBD
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer TBD/Scanner TBD
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer TBD/Scanner TBD
Customer Feedback	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer TBD/Scanner TBD
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Customer Feedback	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Information Sharing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Information Mapping / Taxonomy	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Categorization	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Digital Rights Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Alerts and Notifications	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Process Tracking	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Case Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Document Revisions	Service Platform	Hardware /	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000

	and Infrastructure	Infrastructure		
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Document Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Extraction and Transformation	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450, HP Superdome 32000
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Video Conferencing	TBD
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Video Conferencing	TBD
Customer Feedback	Service Platform and Infrastructure	Hardware / Infrastructure	Video Conferencing	TBD
Information Mapping / Taxonomy	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay, Asynchronous Transfer Mode (ATM) --Provided by Cisco IOS release 11.0 and higher
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay, Asynchronous Transfer Mode (ATM) --Provided by Cisco IOS release 11.0 and higher
Partner Relationship Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay, Asynchronous Transfer Mode (ATM) --Provided by Cisco IOS release 11.0 and higher
Customer Feedback	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay, Asynchronous Transfer Mode (ATM) --Provided by Cisco IOS release 11.0 and higher
Extraction and Transformation	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay, Asynchronous Transfer Mode (ATM) --Provided by Cisco IOS release 11.0 and higher
Call Center Management	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Partner Relationship Management	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Customer Feedback	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Information Sharing	Service Platform	Software	Test Management	Supported by internal development and test procedures

	and Infrastructure	Engineering		
Information Retrieval	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Information Mapping / Taxonomy	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Categorization	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Knowledge Capture	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Digital Rights Management	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Alerts and Notifications	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Process Tracking	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Case Management	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Document Revisions	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Library / Storage	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Indexing	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Classification	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Document Classification	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Document Retirement	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Loading and Archiving	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Extraction and Transformation	Service Platform and Infrastructure	Software Engineering	Test Management	Supported by internal development and test procedures
Partner Relationship Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i

Call Center Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Customer Feedback	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Information Sharing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Information Mapping / Taxonomy	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Categorization	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Knowledge Capture	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Digital Rights Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Alerts and Notifications	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Process Tracking	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Case Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Document Revisions	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Library / Storage	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Indexing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Classification	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Document Classification	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Document Retirement	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i
Loading and	Service Platform	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i

Archiving	and Infrastructure			
Extraction and Transformation	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000 and HP-UX 11i

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?	Yes
a. If "yes," provide the date the analysis was completed?	6/6/2001
b. If "no," what is the anticipated date this analysis will be completed?	5/30/2007
c. If no analysis is planned, please briefly explain why:	

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	3 - Internet based software	The FBI would establish a NICS background check secure website on the Internet. Access to the website would be limited to FFLs and other law enforcement agencies that had a legitimate purpose to access the system. The FFL would initiate NICS background checks through an Internet Service Provider of their choice.	13.251	12.4

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

The NICS Regulation required the development of an electronic means of contact as an alternative to telephone communications. The FBI conducted a survey to identify what form of electronic access to provide the FFLs. The survey was distributed to the dealers who account for approximately 80 percent of the NICS transactions. The Internet-based solution was selected based on low maintenance costs, high level of secure access, and the wide-spread availability of personal computers.

4. What specific qualitative benefits will be realized?

With the implementation of the NICS E-Check, it was anticipated that the NICS users would see the speed and accessibility advantage of the NICS E-Check. Thus, a reduction in call center transaction volume and significant cost avoidance would be realized.

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?	7/28/2005
b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No

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

2. If there currently is no plan, will a plan be developed?	Yes
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:

Cost Reserve Control and Use At the start of the program, each non-level-of-effort task is planned at 90% of the task's proposed budget. The 10% budget remaining is set aside into the management reserve. The Program Manager reviews and analyzes each task order in terms of cost performance and releases a portion of the reserve as required. Quarterly, the contractor compiles reports and holds financial reviews with government including the CO, COTR, CPM, PM and financial representatives from both the contractor and the government. The financial reports indicate these reserves, while monthly questionnaire reports prepared by the CPMs reflect the plan with the management reserve withheld. Schedule Reserve Control and Use At the start of each non-level-of-effort task order, the PM will examine the critical path of a task order's schedule to determine the amount of reserve needed and the commitment required to achieve an accelerated schedule. This reserve is typically taken out of the schedule in areas where the PM identifies that additional internal risks can be taken (typically in the front of the schedule), and is applied in the most challenging and complex areas, typically at the end of the schedule. The majority of the reserve is placed after the last major event/milestone that defines mission success.

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	Yes
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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)?	1167479
b. What is the Earned Value (EV)?	1020272
c. What is the actual cost of work performed (AC)?	967253
d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor Only
e. "As of" date:	3/19/2006
3. What is the calculated Schedule Performance Index (SPI = EV/PV)?	0.87
4. What is the schedule variance (SV = EV-PV)?	-147208
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	1.05
6. What is the cost variance (CV=EV-AC)?	53016
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

