

**Exhibit 300: Capital Asset Plan and Business Case Summary****Part I: Summary Information And Justification (All Capital Assets)****Section A: Overview (All Capital Assets)**

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|--|--|
| 1. Date of Submission:   | 8/15/2007  |
| 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 FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 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:   |  |
| <p>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 final determination 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, 8 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 and others; 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 FY2007, the NICS Section initiated an extensive Business Process Re-design study to seek opportunities to improve the NICS.</p> |  |
| 9. Did the Agency's Executive/Investment Committee approve this request?   | Yes  |
| a. If "yes," what was the date of this approval?   | 5/19/2007  |
| 10. Did the Project Manager review this Exhibit?   | Yes  |
| 11. Contact information of Project Manager?  |  |
| Name   | Bobby P. Hamil, Jr.  |
| Phone Number   | 304-625-3501   |
| Email  | bhamil@leo.gov   |
| a. What is the current FAC-P/PM certification level of the project/program manager?  | TBD  |
| 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?  | No   |
| a. Will this investment include electronic assets (including computers)?   | Yes  |
| b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable   | No   |

to non-IT assets only)

1. If "yes," is an ESPC or UESC being used to help fund this investment?

2. If "yes," will this investment meet sustainable design principles?

3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? Yes

If "yes," check all that apply:

Human Capital  
Expanded E-Government

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

By consolidating and disseminating information concerning prospective firearms purchasers, the levels a service requester must go through are reduced. The NICS expands citizen-centered government by implementing an e-business platform that uses 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](http://www.whitehouse.gov/omb/part).) Yes

a. If "yes," does this investment address a weakness found during a PART review? Yes

b. If "yes," what is the name of the PARTed program? Criminal Justice Services

c. If "yes," what rating did the PART receive? Moderately Effective

15. Is this investment for information technology? Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

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) (1) Project manager has been validated as qualified for this investment

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23) No

19. Is this a financial management system? No

a. If "yes," does this investment address a FFMI compliance area?

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 FY2009 funding request for the following? (This should total 100%)

Hardware	0
Software	0
Services	16
Other	84

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 David C. Larson  
 Phone Number 202-324-1691  
 Title Acting FBI Privacy & Civil Liberties Officer  
 E-mail David.Larson@ic.fbi.gov

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

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? Yes

**Section B: Summary of Spending (All Capital Assets)**

1. 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 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	3.701	0.225	0.243	0.252					
Acquisition:	94.277	0.735	0	0					
Subtotal Planning & Acquisition:	97.978	0.960	0.243	0.252					
Operations & Maintenance:	40.815	7.834	8.11	7.502					
TOTAL:	138.793	8.794	8.353	7.754					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	315.347	39.225	40.137	41.071					
Number of FTE represented by Costs:	5047	668	668	668					

Note: For the multi-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 FY2008 President's budget request, briefly explain those changes:

The figures in this submission are the actual commitments and obligations that are in the Criminal Justice Information Services (CJIS) Division internal financial tracking system. The projects that were approved by management and received funding for FY2007 are the basis for the numbers that are in FY2007 for this reporting period. The funding profile has been updated to reflect only those projects that have been approved by the CJIS Resource Management Board.

**Section C: Acquisition/Contract Strategy (All Capital Assets)**

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 fees for each contract. Contracts and/or task orders completed do not need to be included.

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)

Contracts/Task Orders Table:															* Costs in millions	
Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
V797(049A3G)P-070TRDP - O-M	FFP	Yes	6/30/2005	6/30/2005	9/30/2011		No	Yes		NA	Yes	Yes	Linda S. Patterson	(304) 625-5537 /	Level 1	Yes
GS-09-F-0056Z TO#20003	CPAF	Yes	8/15/2002	8/15/2002	8/14/2007	59.581	No	Yes	Yes	NA	Yes	Yes	Linda S. Patterson	(304) 625-5537 /	Level 1	Yes

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:

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 (CAO) 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:

**Section D: Performance Information (All Capital Assets)**

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 (indicators) 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 the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). 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 each of the four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov). The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2003	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	This is a new measure for FY 03	98 percent or higher	99.25 percent System Availability
2003	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	The Immediate Proceed Rate for FY 02 was 77.32 percent	Raise the IDR above 90 percent as directed by the US Attorney General	The IDR for FY 03 was 91.03 percent
2004	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	System Availability for FY 03 was 99.25 percent	Maintain 98 percent or higher System Availability	99.14 percent System Availability
2004	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	The IDR for FY 03 was 91.03percent	The US Attorney General has mandated an IDR above 90 percent	The IDR for FY 04 was 91.85 percent
2005	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	System Availability for FY 04 was 99.14 percent	Maintain 98 percent or higher System Availability	99 percent System Availability

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	The IDR for FY 04 was 91.85 percent	Maintain the IDR above 90 percent	The IDR for FY 05 was 91.45 percent
2006	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	System Availability for FY 05 was 99 percent	Maintain 98 percent or higher System Availability	99.64 System Availability for FY 06
2006	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	The IDR for FY 05 was 91.45 percent	Maintain the IDR above 90 percent	The IDR for FY 06 was 91.40 percent
2007	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	System Availability for FY 06 was 99.64 percent	Maintain 98 percent or higher System Availability	TBD
2007	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	The IDR for FY 06 was 91.40 percent	Maintain the IDR above 90 percent	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction	Customer Satisfaction/Awareness Survey	This is a new measure for FY 08	Above 95 percent Customer Satisfaction	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	TBD	Maintain 98 percent or higher System Availability	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Coverage	New Customers and Market Penetration	Number of new customers for the NICS E-Check	This is a new measure in FY 08	Increase NICS E-Check users by 5 percent over the previous year	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	TBD	Maintain the IDR above 90 percent	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Number of new states contributing to the NCIS Index	This is a new measure for FY 08	At least 1 new state per year	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Compliance Rate	This is a new measure in FY 08	Above 90 percent	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Percentage of Quick Wins implemented from Business Process Redesign study	This is a new measure in FY 08	At least 3 percent	TBD

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	American People							
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Successful Testing of Contingency Plan Components	This is a new Measure in FY 08	20 percent tested successfully	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity and Efficiency	Productivity	Personal Production Averages	This is a new Measure in FY 08	Above 2.2 transactions per hour	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of technical advancements tied to Strategic Objectives	This is a new Measure in FY 08	5 percent	TBD
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing	Number of new technical information sharing initiatives implemented	This is a new Measure in FY 08	one or more a year	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction	Customer Satisfaction/Awareness Survey	TBD	Above 95 percent	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	TBD	Maintain 98 percent System Availability	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Coverage	New Customers and Market Penetration	number of new customers for NICS E-Check	TBD	Increase NICS E-Check customers by 5 percent over the previous year	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	TBD	Maintain the IDR above 90 percent	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Number of new states contributing to the NICS Index	TBD	At least 1 per year	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Compliance Rate	TBD	Above 90 percent	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Percentage of Quick Wins implemented from the NICS Business Process Redesign Study	TBD	At least 3 percent	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and	Processes and Activities	Management and Innovation	Innovation and Improvement	Successful testing of Contingency Plan Components	TBD	20 percent tested successfully	TBD

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Interests of the American People							
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity and Efficiency	Productivity	Personal Production Averages	TBD	Increase by 2 percent	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of technical advancements tied to Strategic Objectives	TBD	5 percent	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing	Number of new technical information sharing initiatives implemented	TBD	one or more a year	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction	Customer Satisfaction/Awareness Survey	TBD	Above 95 percent	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	TBD	Maintain 98 percent or higher System Availability	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Coverage	New Customers and Market Penetration	Number of new customers for the NCIS E-Check	TBD	Increase Customers using NICS E-Check by 5 percent	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	TBD	Maintain the IDR above 90 percent	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Number of new states contributing to the NICS Index	TBD	At least 1 per year	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Compliance Rate	TBD	Above 90 percent	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Percentage of Quick Wins from the NICS Business Process Redesign Study	TBD	At least 3 percent	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Successful testing of Contingency Plan components	TBD	20 percent tested successfully	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of technical advancements tied to Strategic	TBD	5 percent	TBD



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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Rights and Interests of the American People				Objectives			
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing	Number of new technical information sharing initiatives implemented	TBD	one or more per year	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction	Customer Satisfaction/Awareness Survey	TBD	Above 95 percent	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	TBD	Maintain 98 percent or higher System Availability	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Coverage	New Customers and Market Penetration	Number of new customers for NICS E-Check	TBD	Increase new NICS E-Check customers by 5 percent over the previous year	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	TBD	Maintain the IDR above 90 percent	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Number of new states contributing to the NICS Index	TBD	At least 1 per year	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Compliance Rate	TBD	Above 90 percent	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Percentage of Quick Wins implemented from the NICS Business Process Redesign Study	TBD	At least 3 percent	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Successful testing of Contingency Plan Components	TBD	20 percent tested successfully	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity and Efficiency	Productivity	Personal Production Averages	TBD	Increase of 2 percent	TBD
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of technical advancements tied to Strategic Objectives	TBD	5 percent	TBD
2011	Prevent Crime, Enforce Federal Laws, and	Technology	Information and Data	Internal Data Sharing	Number of new technical information	TBD	one or more per year	TBD

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Represent the Rights and Interests of the American People				sharing initiatives implemented			
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction	Customer Satisfaction/Awareness Survey	TBD	Above 95 percent	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	TBD	Maintain 98 percent or higher System Availability	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Coverage	New Customers and Market Penetration	Number of new customers using the NCIS E-Check	TBD	Increase NICS E-check customers by 5 percent over the previous year	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	TBD	Maintain the IDR above 90 percent	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Number of new states contributing to the NICS Index	TBD	At least 1 per year	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Compliance Rate	TBD	Above 90 percent	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Percentage of Quick wins implemented from the NICS Business Process Redesign Study	TBD	At least 3 percent	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Successful testing of Contingency Plan Components	TBD	20 percent tested successfully	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity and Efficiency	Productivity	Personal Production Averages	TBD	Increase by 2 percent	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of technical advancements tied to Strategic Objectives	TBD	5 percent	TBD
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing	Number of new technical information sharing initiatives implemented	TBD	one or more per year	TBD
2013	Prevent Crime, Enforce Federal	Customer Results	Customer Benefit	Customer Satisfaction	Customer Satisfaction/Awa	TBD	Above 95 percent	TBD

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Laws, and Represent the Rights and Interests of the American People				reness Survey			
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Availability	System Availability	TBD	Maintain 98 percent or higher System Availability	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Coverage	New Customers and Market Penetration	Number of new customers using the NICS E-Check	TBD	Increase new Nics E-Check customers by 5 percent over the previous year	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Immediate Determination Rate (IDR)	TBD	Maintain the IDR above 90 percent	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Mission and Business Results	Law Enforcement	Criminal Investigation and Surveillance	Number of new states contributing to the NICS Index	TBD	At least 1 per year	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Compliance Rate	TBD	Above 90 percent	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Percentage of Quick wins implemented from the Business Process Redesign Study	TBD	At least 3 percent	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement	Successful testing of Contingency Plan Components	TBD	20 percent tested successfully	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity and Efficiency	Productivity	Personal Production Averages	TBD	Increase of 2 percent	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Percentage of technical advancements tied to Strategic Objectives	TBD	5 percent	TBD
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing	Number of new technical information sharing initiatives implemented	TBD	one or more per year	TBD

**Section E: Security and Privacy (IT Capital Assets only)**

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

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)

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).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

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:
  - a. If "yes," provide the "Percentage IT Security" for the budget year:
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.

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
FBI National Instant Criminal Background Check System (NICS)	Contractor and Government		

Name of System	Agency/ or Contractor Operated System?	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, NIST 800-26, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
FBI National Instant Criminal Background Check System (NICS)	Contractor and Government	Yes	10/2/2006	FIPS 200 / NIST 800-53	4/6/2007	6/15/2007

5. Have any weaknesses, not yet remediated, 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 into the 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, and validated by the agency for the contractor systems above?

**8. Planning & Operational Systems - Privacy Table:**

**Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)**

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
NICS	No	Yes	<a href="http://foia.fbi.gov/privacy_assessments.htm">http://foia.fbi.gov/privacy_assessments.htm</a>	Yes	FBI-018: <a href="http://www.usdoj.gov/jm/d/privacyact.html">http://www.usdoj.gov/jm/d/privacyact.html</a>

**Details for Text Options:**  
 Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.  
 Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.  
 Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

**Section F: Enterprise Architecture (EA) (IT Capital Assets only)**

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate 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. FBI National Instant Criminal Background Check System (NICS)
  - b. If "no," please explain why?
  
3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? Yes
  - a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment. Justice Information Services

**4. Service Component 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.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Software Development	Defines the set of capabilities to support the creation of both graphical and process application or system software.	Back Office Services	Development and Integration	Software Development			No Reuse	15
Call Center Management	Defines the set of capabilities that handle telephone sales and/or service to the end customer.	Customer Services	Customer Relationship Management	Call Center Management			No Reuse	5
Information Mapping / Taxonomy	Defines the set of capabilities that support the creation and maintenance of relationships between data entities, naming standards and categorization.	Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy			No Reuse	20
Information Retrieval	Defines the set of capabilities to allow access to data and	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	25

**Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)**

**4. Service Component 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.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	information for use by an organization and its stakeholders							
Knowledge Capture	Defines the set of capabilities that facilitate collection of data and information.	Digital Asset Services	Knowledge Management	Knowledge Capture			No Reuse	2
Knowledge Distribution and Delivery	Defines the set of capabilities that support the transfer of knowledge to the end customer.	Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	30
User Identification	Defines the set of capabilities that provide user identification.	Support Services	Security Management	Identification and Authentication			No Reuse	3

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

b. 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.

c. '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.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

**5. 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 (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Software Development	Component Framework	Business Logic	Platform Dependent	HP C/ANSI C
Software Development	Component Framework	Business Logic	Platform Independent	C, C , Java versions
Software Development	Component Framework	Business Logic	Platform Independent	eXtensible Markup Language (XML)
Software Development	Component Framework	Business Logic	Platform Independent	SCI Tools Understand for C
Information Retrieval	Component Framework	Presentation / Interface	Content Rendering	Dynamic HTML
Knowledge Distribution and Delivery	Component Framework	Presentation / Interface	Content Rendering	DynamicHTML
Software Development	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages
Knowledge Distribution and Delivery	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java ServerPages
Software Development	Component Framework	Presentation / Interface	Static Display	HTML
Knowledge Distribution and Delivery	Component Framework	Security	Certificates / Digital Signatures	Stonebeat Management 4.3.3
Knowledge Distribution and Delivery	Component Framework	Security	Certificates / Digital Signatures	XCert Sentry CA
Knowledge Distribution and Delivery	Component Framework	Security	Supporting Security Services	CheckPoint NG Firewall
Identification and Authentication	Component Framework	Security	Supporting Security Services	Secure Shell (SSH)
Information Retrieval	Service Access and Delivery	Access Channels	Collaboration / Communications	BISCOM Fax Server
Information Retrieval	Service Access and Delivery	Access Channels	Collaboration / Communications	Simple Mail Transfer Protocol (SMTP)
Information Retrieval	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Information Retrieval	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	(See Support Platforms)
Information Retrieval	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	CheckPoint VPN1
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	Internet Message Access Protocol (IMAP) /Post Office Protocol (POP3)

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)

<b>5. Technical Reference Model (TRM) Table:</b>				
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.				
<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b) (i.e., vendor and product name)</b>
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP) / Internet Protocol (IP)
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	X.500
Information Mapping / Taxonomy	Service Access and Delivery	Service Transport	Supporting Network Services	Domain Name System (DNS)
Information Retrieval	Service Access and Delivery	Service Transport	Supporting Network Services	Simple Network Management Protocol (SNMP)
Knowledge Distribution and Delivery	Service Interface and Integration	Integration	Middleware	BEA Tuxedo
Information Retrieval	Service Interface and Integration	Integration	Middleware	BEA Tuxedo 8.1
Information Retrieval	Service Interface and Integration	Integration	Middleware	Remote Procedure Call (RPC)
Knowledge Distribution and Delivery	Service Interface and Integration	Interface	Service Description / Interface	APIs / FBI Developed Software
Information Retrieval	Service Interface and Integration	Interface	Service Description / Interface	APIs and FBI Developed Software
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8.1.6
Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i Real Application Clusters
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Storage	Brocade 12000 - switched SAN
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Storage	Brocade 12000 - switched SAN
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle Application Server Enterprise Edition Version 9i
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	LSI 4600 RAID
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Cisco 3662
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Cisco 4500
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Cisco 6509
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Cisco IOS 12.4
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Gigabit Ethernet
Software Development	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell Blade Server
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell Blade Servers
Call Center Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2450
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	HPSuperdome
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Sun
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay Asynchronous Transfer
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	IBM Rational ClearCase 3.2
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Platform Dependent	HP OpenView GlancePlus/UX Pak for S800 11
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Platform Dependent	HP/UX 11i
Call Center Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Platform Dependent	MS Windows 2000
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Sun Solaris
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Support Platforms	Platform Independent	Linux
Software Development	Service Platform and Infrastructure	Support Platforms	Platform Independent	Linux

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)

<b>5. Technical Reference Model (TRM) Table:</b>				
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.				
<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b) (i.e., vendor and product name)</b>
	Infrastructure			

a. 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

b. 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.

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

a. If "yes," please describe.



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

**Section A: Alternatives Analysis (All Capital Assets)**

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?
  - c. If no analysis is planned, please briefly explain why:

2. Alternative Analysis Results: <span style="float: right;">* Costs in millions</span>			
Use the results of your alternatives analysis to complete the following table:			
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
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 original NICS Regulation required the development of an electronic means of contact as an alternative to telephone communications. As a result, the FBI pursued the development of Alternative # 3, the Internet Based Software. This functionality ultimately known as NICS E-Check was developed through an interagency agreement with DOJ through the Information Technology Partnership, and the Department of Energy through the Oak Ridge Operations Information Technology Work for Others Program.

4. What specific qualitative benefits will be realized?

The NICS E-Check can be accessed 24 hours per day unless there is an interruption from system failure or scheduled maintenance. Historically, the NICS E-Check has maintained over 99.90% system availability. The NICS E-Check provides for increased accuracy of information due to automated data entry validation and self-auditing capability. Printing of hard copy completed transactions enables the FFL to validate information in preparation of possible ATF audits of firearms transactions. In addition, FFLs can enter firearms transactions and receive immediate responses for proceed responses beyond the typical NICS 17 hour business day. Delayed transactions are forwarded to the delay queue and are researched during the next business day.

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 significant cost avoidance would be realized.

5. Will the selected alternative replace a legacy system in-part or in-whole?      No

- a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment.
- b. If "yes," please provide the following information:

List of Legacy Investment or Systems		
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement

**Section B: Risk Management (All Capital Assets)**

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? 4/28/2007
  - 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?
  - 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 Control and Use -**

The government requires the contractor to implement cost control processes. These cost control process begins with a comprehensive and accurate task/subtask cost baseline. The labor and cost estimates are time-phased against interim project milestones included in the integrated Contractor Master Program Schedule components to facilitate tracking of actual labor and cost expended against work planned. Quarterly, the contractor compiles reports and holds financial reviews with government including the Contracting Officer (CO), COTR, Contractor Project Manager (CPM), Project Manager (PM) and financial representatives from both the contractor and the government.

**Schedule Control and Use -**

The contractor planning and control process enables effective management of subtask work and ensures overall program technical, cost and schedule performance. This proactive management approach also provides the flexibility to identify and rapidly adapt to emerging CJIS priorities and requirements, innovative approaches, and best practices that evolve from the emphasis on continuous improvement.

**Section C: Cost and Schedule Performance (All Capital Assets)**

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748? Yes
2. 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 CV or SV or both?
  - b. If "yes," explain the causes of the variance:
  - c. If "yes," describe the corrective actions:
3. Has the investment re-baselined during the past fiscal year? No
  - a. If "yes," when was it approved by the agency head?

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 1)

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate 'O' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	O-M (2002 and earlier)	9/30/2002	\$31.46	9/30/2002	9/30/2002	\$11.95	\$11.95	0	\$0	100%
2	DME (2002 and earlier)	9/30/2002	\$183.75	9/30/2002	9/30/2002	\$67.47	\$67.12	0	\$0.35	100%
3	FTE 2002	9/30/2002	\$0	9/30/2002	9/30/2002	\$133.44	\$133.44	0	\$0	100%
4	O-M 2003	9/30/2003	\$22.26	9/30/2003	9/30/2003	\$7.08	\$6.94	0	\$0.14	100%
5	DME 2003	9/30/2003	\$37.88	9/30/2003	9/30/2003	\$11.19	\$11.18	0	\$0.01	100%
6	FTE 2003	9/30/2003	\$0	9/30/2003	9/30/2003	\$41.96	\$41.96	0	\$0	100%
7	O-M 2004	9/30/2004	\$22.37	9/30/2004	9/30/2004	\$7.48	\$6.34	0	\$1.14	100%
8	DME 2004	9/30/2004	\$33.78	9/30/2004	9/30/2004	\$9.1	\$3.07	0	\$6.03	100%
9	FTE 2004	9/30/2004	\$0	9/30/2004	9/30/2004	\$45.99	\$45.99	0	\$0	100%
10	O-M 2005	9/30/2005	\$23.68	9/30/2005	9/30/2005	\$6.94	\$6.63	0	\$0.31	100%
11	DME 2005	9/30/2005	\$32.87	9/30/2005	9/30/2005	\$5	\$1.13	0	\$3.87	100%
12	FTE 2005	9/30/2005	\$0	9/30/2005	9/30/2005	\$46.31	\$46.31	0	\$0	100%
13	O-M 2006	9/30/2006	\$24.71	9/30/2006	9/30/2006	\$7.41	\$7.37	0	\$0.04	100%
14	DME 2006	9/30/2006	\$32.66	9/30/2006	9/30/2006	\$5.72	\$5.27	0	\$0.45	100%
15	FTE 2006	9/30/2006	\$0	9/30/2006	9/30/2006	\$47.65	\$45.36	0	\$2.29	100%
16	O-M 2007	9/30/2007	\$25.77	9/30/2007		\$8.06	\$7.83		\$-3.8	50%
17	DME 2007	9/30/2007	\$32.45	9/30/2007		\$1.41	\$0.74		\$-0.035	50%
18	FTE 2007	9/30/2007	\$0	9/30/2007		\$39.22	\$19.61		\$0	50%
19	O-M 2008	9/30/2008	\$26.87	9/30/2008		\$8.11	\$0		\$0	0%
20	DME 2008	9/30/2008	\$32.22	9/30/2008		\$0.24	\$0		\$0	0%
21	FTE 2008	9/30/2008	\$0	9/30/2008		\$40.14	\$0		\$0	0%
22	O-M 2009	9/30/2009	\$28	9/30/2009		\$7.5	\$0		\$0	0%
23	DME 2009	9/30/2009	\$31.98	9/30/2009		\$0.25	\$0		\$0	0%
24	FTE 2009	9/30/2009	\$0	9/30/2009		\$41.07	\$0		\$0	0%