

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

1. Date of Submission: 3/20/2009
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 FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 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 (USC), 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 (ATF); the Department of Justice (DOJ); 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 (FFLs) with an immediate response regarding the person for whom the receipt of a firearm would violate the USC. 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 Handgun Violence Prevention Act of 1993 (Brady Act). During FY2007, the FBI Criminal Justice Information Services (CJIS) Division's NICS Section initiated an extensive Business Process Redesign study to seek opportunities to improve the NICS. Funding was requested in the FY 2010 Budget for development and implementation.
9. Did the Agency's Executive/Investment Committee approve this request? Yes
- a. If "yes," what was the date of this approval? 5/16/2008
10. Did the Project Manager review this Exhibit? Yes
11. Contact information of Program/Project Manager?
- Name
- Phone Number
- Email
- a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager? New Program Manager
- b. When was the Program/Project Manager Assigned? 8/25/2008
- c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification? 12/31/2008
12. Has the agency developed and/or promoted cost No

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effective, energy-efficient and environmentally sustainable techniques or practices for this project?

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?

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: Expanded E-Government
Human Capital

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 of service a 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, and receives 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 a PART review? Yes

b. If "yes," what is the name of the PARTed program? 10002204 - 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. In addition to the answer in 11(a), 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 2008 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 FFMA 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 FY2010 funding request for the following? (This should total 100%)

Hardware	3
Software	3
Services	6

Other 88
 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

Phone Number

Title

E-mail

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 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	3.926	0.243	0.252	0.258					
Acquisition:	95.012	2.689	3.285	2.876					
Subtotal Planning & Acquisition:	98.938	2.932	3.537	3.134					
Operations & Maintenance:	48.649	4.629	5.398	6.089					
TOTAL:	147.587	7.561	8.935	9.223					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	357.947	40.974	41.48	42.901					
Number of FTE represented by Costs:	5715	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? Yes

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

3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes:

In addition, during FY 2007, the FBI initiated an extensive Business Process Redesign study to seek opportunities to improve the NICS. This study was intended to evaluate all of the internal/external NICS processes, interfaces, and functionality within the NICS community and to provide recommendations to align the NICS for changes and enhancements as identified in the FBI CJIS Division's strategic plan and streamlining initiatives. One of the major deliverables of this study was a Mission Needs Statement that proposed an array of capabilities that should be implemented in an incremental approach that would best serve the FBI. Phase I of this effort included the development of a solid platform upon which to build future capabilities. Specifically, development activities that will be accomplished include: (1) separation of database details from the NICS business software source code into a more manageable and generic software architecture; (2) construction of an Service Oriented Architecture framework around existing CJIS? and NICS? components; (3) migration to a more flexible Graphical User Interface that is implemented as a Web browser; and (4) migration to a more flexible purging algorithm that can be changed in a more timely fashion if necessary. This primary set of capabilities must be implemented before any future capabilities can be developed to prevent design, development, and integration issues. Funding was requested in the FY 2010 Budget for development and implementation.

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

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 7)

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.

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Contracts/Task Orders Table:																* Costs in millions
Contract or Task Order Number	Type of Contract/ Task Order (In accordance with FAR Part 16)	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 FAC-C or DAWIA 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)

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?

a. Explain why not or how this is being done?

4. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? Yes

a. If "yes," what is the date? 12/15/2004

1. Is it Current? Yes

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. The table can be extended to include performance measures for years beyond the next President's Budget.

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	Service Availability	Achieve System Availability of 98 percent or higher	This is a new measure for FY 2003.	98 percent or higher	99.25 percent
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	Achieve an Immediate Determination Rate of at least 90 percent of higher	77.32 percent	90 percent or higher	91.03 percent
2003	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity	Increase the number of transactions processed by the NICS	As of 09/30/2002 over 8.8 million transactions were processed by the NICS.	1 percent increase per year	8.5 million
2003	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Data Storage	Increase storage capability for NICS Index Records	As of 09/30/2002 there were 2.8 million records in the NICS Index.	10 percent increase per year	3.2 million
2004	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability	Maintain System Availability of 98 percent or higher	99.25 percent	98 percent or higher	99.14 percent
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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	91.03 percent	90 percent or higher	91.85 percent

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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
2004	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity	Increase the number of transactions processed by the NICS	8.5 million	1 percent increase per year	8.6 million
2004	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Data Storage	Increase storage capability for NICS Index Records	3.2 million	10 percent increase per year	3.6 million
2005	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability	Maintain System Availability of 98 percent or higher	99.14 percent	98 percent or higher	99.00 percent
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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	91.85 percent	90 percent or higher	91.45 percent
2005	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity	Increase the number of transactions processed by the NICS	8.6 million	1 percent increase per year	8.8 million
2005	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Data Storage	Increase storage capability for NICS Index Records	3.6 million	10 percent increase per year	3.9 million
2006	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability	Maintain System Availability of 98 percent or higher	99 percent	98 percent or higher	99.64 percent
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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	91.45 percent	90 percent or higher	91.40 percent
2006	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity	Increase the number of transactions processed by the NICS	8.8 million	3 percent increase per year	9.7 million
2006	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Data Storage	Increase storage capability for NICS Index Records	3.9 million	10 percent increase per year	4.2 million
2007	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability	Maintain System Availability of 98 percent or higher	99.64 percent	98 percent or higher	99.92 percent
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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	91.40 percent	90 percent or higher	91.63 percent

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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
2007	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity	Increase the number of transactions processed by the NICS	9.7 million	3 percent increase per year	10.9 million
2007	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Data Storage	Increase storage capability for NICS Index Records	4.2 million	10 percent increase per year	4.7 million
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction	Achieve a Customer Satisfaction rating above 95 percent	This is a new measure for FY 2008. As of 09/2007, the NICS had an overall Customer Satisfaction rating of 99 percent.	95 percent or higher	94%
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability	Maintain System Availability of 98 percent or higher	System Availability for FY 2007 was 99.92 percent.	98 percent or higher	99%
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	Increase the number of new NICS E-check users by 5 percent over the previous year	This is a new measure in FY 2008. As of 9/30/07, there were 1,842 FFLs submitting NICS background checks via the NICS E-Check.	Increase by 5 percent over the previous year	24.6%
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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	91.63 percent	90 percent or higher	91%
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	Increase the number of states contributing to the NICS Index	This is a new measure for FY 2008. As of 9/30/07, there were 41 states contributing to the NICS Index.	At least 1 new state per year	5
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	Achieve a Compliance Rate of processing transactions according to established procedures above 90 percent	This is a new measure in FY 2008. The Compliance Rate for FY 2007 was 98 percent.	Above 90 percent	98%
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	Implement at least 3 percent of the quick wins identified from the NICS Business Process Redesign Study	This is a new measure in FY 2008. The NICS identified a total of 27 Quick Wins that could be implemented from the NICS Business Process Redesign Study.	At least 3 percent	11%
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	Successfully test 20 percent of the NICS Contingency Plan components	This is a new measure in FY 2008. As of 09/30/07 the NICS Contingency Plan remains in draft.	20 percent tested successfully	100%
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and	Processes and Activities	Productivity	Productivity	Increase the average number of transactions processed per NICS Examiner	This is a new measure in FY 2008. As of 9/30/07, the NICS Personal	Increase by 2 percent	16.13%

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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					Production Average was 2.208 transactions per hour.		
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	5 percent of technical advancements tied to Strategic Objectives	This is a new measure in FY 2008.	5 percent	5%
2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing	Implement one or more information sharing initiatives per year	This is a new measure in FY 2008.	One or more a year	4%
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction	Achieve a Customer Satisfaction rating above 95 percent	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	Service Availability	Maintain System Availability of 98 percent or higher	TBD	98 percent or higher	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	Increase the number of new NICS E-check users by 5 percent over the previous year	TBD	Increase 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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	TBD	90 percent or higher	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	Increase the number of 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	Maintain Compliancy Rate of processing transactions according to established procedures above 90 percent	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	Implement at least 3 percent of the quick wins identified from the NICS Business Process Redesign Study	TBD	At least 3 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	Successfully test 20 percent of the NICS Contingency Plan components	TBD	20 percent tested successfully	TBD
2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity	Increase the average number of transactions processed per NICS Examiner	TBD	Increase by 2 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
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	5 percent 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	Implement one or more information sharing initiatives per year	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	Achieve a Customer Satisfaction rating above 95 percent	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	Service Availability	Maintain System Availability of 98 percent or higher	TBD	98 percent or higher	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	Increase the number of new NICS E-check users by 5 percent over the previous year	TBD	Increase by 5 percent over the previous year	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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	TBD	90 percent or higher	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	Increase the number of 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	Maintain Compliance Rate of processing transactions according to established procedures above 90 percent	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	Implement at least 3 percent of the quick wins identified 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	Successfully test 20 percent of the NICS Contingency Plan components	TBD	20 percent tested successfully	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	5 percent of technical advancements tied to Strategic Objectives	TBD	5 percent	TBD
2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing	Implement one or more information sharing initiatives per year	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
	American People							
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction				
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability				
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				
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				
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				
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				
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				
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				
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity				
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				
2011	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing				
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the	Customer Results	Customer Benefit	Customer Satisfaction				

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	American People							
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability				
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				
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				
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				
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				
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				
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				
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity				
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				
2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing				
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction				
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability				

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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							
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				
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				
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				
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				
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				
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				
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity				
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				
2013	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Customer Benefit	Customer Satisfaction				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Accessibility	Service Availability				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Customer Results	Service Coverage	New Customers and Market Penetration				

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	American People							
2014	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				
2014	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				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Management and Innovation	Innovation and Improvement				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Processes and Activities	Productivity	Productivity				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission				
2014	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Internal Data Sharing				

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 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).

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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, Other, N/A)	Date Completed: 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	5/7/2008	3/28/2008

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:

(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	http://foia.fbi.gov/privacy_assessments.htm	Yes	FBI-018; http://www.usdoj.gov/jmd/privacyact.html

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

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 7)

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 and approved segment architecture? Yes

a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>. 115-000

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 information for use by an organization and its stakeholders	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	25
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

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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 Technologies	
Software Development	Component Framework	Business Logic	Platform Independent Technologies	
Software Development	Component Framework	Business Logic	Platform Independent Technologies	
Software Development	Component Framework	Business Logic	Platform Independent Technologies	
Knowledge Distribution and Delivery	Component Framework	Security	Certificates / Digital Signatures	
Knowledge Distribution and Delivery	Component Framework	Security	Certificates / Digital Signatures	
Knowledge Distribution and Delivery	Component Framework	Security	Supporting Security Services	
Identification and Authentication	Component Framework	Security	Supporting Security Services	
Information Retrieval	Component Framework	User Presentation / Interface	Content Rendering	
Knowledge Distribution and Delivery	Component Framework	User Presentation / Interface	Content Rendering	
Software Development	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	
Knowledge Distribution and Delivery	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	
Software Development	Component Framework	User Presentation / Interface	Static Display	
Information Retrieval	Service Access and Delivery	Access Channels	Collaboration / Communications	
Information Retrieval	Service Access and Delivery	Access Channels	Collaboration / Communications	
Information Retrieval	Service Access and Delivery	Access Channels	Web Browser	
Information Retrieval	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	
Information Retrieval	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	
Information Mapping / Taxonomy	Service Access and Delivery	Service Transport	Supporting Network Services	
Information Retrieval	Service Access and Delivery	Service Transport	Supporting Network Services	
Knowledge Distribution and Delivery	Service Interface and Integration	Integration	Middleware	
Information Retrieval	Service Interface and Integration	Integration	Middleware	
Information Retrieval	Service Interface and Integration	Integration	Middleware	
Knowledge Distribution and Delivery	Service Interface and Integration	Interface	Service Description / Interface	
Information Retrieval	Service Interface and Integration	Interface	Service Description / Interface	
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Database	
Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	

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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)
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Storage	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Storage	
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
Software Development	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Case Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Call Center Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Support Platforms	Independent Platform	
Software Development	Service Platform and Infrastructure	Support Platforms	Independent Platform	

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., USA.gov, 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? 5/14/2007
 - 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: * Costs in millions			
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
2 - Modernization Base Case - Flexible Acquisition	Proceed with an acquisition strategy that uses task orders under an umbrella contract to incrementally specify and manage the development activities as appropriate and in accordance with the concepts detailed in the project's concept of operations (CONOPS) and the design concepts description (DCD) documents.		

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

The selection of the Base Case - Flexible Acquisition approach provides the flexibility to develop the initiatives described in the CONOPS, DCD, and the Mission Needs Statement deliverables from the study in a dynamic and selective manner. The timing of which initiatives to develop can be determined periodically by the FBI based on which initiatives best serve the needs of the FBI. The benefit and rationale of this approach lie in the fact that the future NICS business demands and evolving CJIS architecture are dynamic and tend to change with the political climate. Therefore, it will be important to provide flexibility to be able to manage other inter-related projects and evolving information technologies successfully. This alternative also provides the FBI with the flexibility to perform some of the developmental work using less expensive FBI CJIS personnel (if resources are available) who may possess more historical and governmental system knowledge.

a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.)

4. What specific qualitative benefits will be realized?

The NICS Upgrades will support the main goals of the FBI's service-oriented architecture. The enhancements will better align the NICS investment with the mission of the CJIS Division and the FBI through increased collaboration and information sharing with customer, users, and external partners. The NICS will be redesigned to enable operations and interfaces to be less complex, more flexible, and efficient. In addition, the removal of segmented, redundant data tiers will reduce duplication, optimize service reuse, increase interoperability and improve system responsiveness. More high quality data supports more efficient and effective name matching within the NICS. Improved data management will ease maintenance and enhancement of the NICS database environment. More efficient, flexible, and normalized database design going forward will make it easier for the NICS to share data with external agencies. Improved documentation will enable better system maintenance, strengthen configuration management processes and facilitate a more efficient means of implementing system modifications. By redesigning the NICS and reducing the time it takes to make decisions, the NICS Section will be able to provide optimal services to the public and maintain their high standard of excellence. Customers will recognize improved service and performance, resulting in higher customer satisfaction. The NICS Section will also improve program performance by meeting established productivity and performance goals.

5. Federal Quantitative Benefits				
What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:				
	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
PY - 1 2007 & Prior	0	0	N/A	Not Applicable.
PY 2008	0	0	N/A	Not Applicable.
CY 2009	0	0	N/A	Not Applicable.
BY 2010	0	0.74		These savings are the result of system efficiencies gained through the re-design of the

5. Federal Quantitative Benefits				
What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:				
	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
				NICS and Information Sharing Capabilities Improvements.
Total LCC Benefit			LCC = Life-cycle Cost	

6. 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:

5b. 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? 8/4/2008
 - 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 Reserve Control and Use -
 The government requires the contractor to implement cost control processes. This 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.

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?

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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 '0' 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	\$0.00	100%
1	O-M (2002 and earlier)	9/30/2002	\$31.46	9/30/2002	9/30/2002	\$11.95	\$11.95	0	\$0.00	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%
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	9/30/2002	\$0.00	9/30/2002	9/30/2002	\$133.44	\$133.44	0	\$0.00	100%
3	FTE	9/30/2002	\$0.00	9/30/2002	9/30/2002	\$133.44	\$133.44	0	\$0.00	100%
4	O-M	9/30/2003	\$22.26	9/30/2003	9/30/2003	\$7.08	\$6.94	0	\$0.14	100%
4	O-M	9/30/2003	\$22.26	9/30/2003	9/30/2003	\$7.08	\$6.94	0	\$0.14	100%
5	Upgrades to Hardware and Software for System Availability Improvements	9/30/2003	\$37.88	9/30/2003	9/30/2003	\$11.19	\$11.18	0	\$0.01	100%
5	Upgrades to Hardware and Software for System Availability Improvements	9/30/2003	\$37.88	9/30/2003	9/30/2003	\$11.19	\$11.18	0	\$0.01	100%
6	FTE	9/30/2003	\$0.00	9/30/2003	9/30/2003	\$41.96	\$41.96	0	\$0.00	100%
6	FTE	9/30/2003	\$0.00	9/30/2003	9/30/2003	\$41.96	\$41.96	0	\$0.00	100%
7	O-M	9/30/2004	\$22.37	9/30/2004	9/30/2004	\$7.48	\$6.34	0	\$1.14	100%
7	O-M	9/30/2004	\$22.37	9/30/2004	9/30/2004	\$7.48	\$6.34	0	\$1.14	100%
8	PC Client System Efficiencies Upgrade - Phase I	9/30/2004	\$12.16	9/30/2004	9/30/2004	\$3.28	\$1.10	0	\$2.18	100%
8	PC Client System Efficiencies Upgrade - Phase I	9/30/2004	\$12.16	9/30/2004	9/30/2004	\$3.28	\$1.10	0	\$2.18	100%
9	Enterprise Storage Area Network - Design and Implementation	9/30/2004	\$21.62	9/30/2004	9/30/2004	\$5.82	\$1.97	0	\$3.85	100%
9	Enterprise Storage Area Network - Design and Implementation	9/30/2004	\$21.62	9/30/2004	9/30/2004	\$5.82	\$1.97	0	\$3.85	100%
10	FTE	9/30/2004	\$0.00	9/30/2004	9/30/2004	\$45.99	\$45.99	0	\$0.00	100%
10	FTE	9/30/2004	\$0.00	9/30/2004	9/30/2004	\$45.99	\$45.99	0	\$0.00	100%
11	O-M	9/30/2005	\$23.68	9/30/2005	9/30/2005	\$6.94	\$6.63	0	\$0.31	100%
11	O-M	9/30/2005	\$23.68	9/30/2005	9/30/2005	\$6.94	\$6.63	0	\$0.31	100%
12	III/NCIC Rehost	9/30/2005	\$32.87	9/30/2005	9/30/2005	\$4.95	\$1.13	0	\$3.82	100%
12	III/NCIC Rehost	9/30/2005	\$32.87	9/30/2005	9/30/2005	\$4.95	\$1.13	0	\$3.82	100%
13	FTE	9/30/2005	\$0.00	9/30/2005	9/30/2005	\$46.31	\$46.31	0	\$0.00	100%

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 7)

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 '0' 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			
13	FTE	9/30/2005	\$0.00	9/30/2005	9/30/2005	\$46.31	\$46.31	0	\$0.00	100%
14	O-M	9/30/2006	\$24.71	9/30/2006	9/30/2006	\$7.37	\$7.37	0	\$0.00	100%
14	O-M	9/30/2006	\$24.71	9/30/2006	9/30/2006	\$7.37	\$7.37	0	\$0.00	100%
15	PC Client System Efficiencies Upgrade - Phase II	9/30/2006	\$7.51	9/30/2006	9/30/2006	\$1.22	\$1.22	0	\$0.00	100%
15	PC Client System Efficiencies Upgrade - Phase II	9/30/2006	\$7.51	9/30/2006	9/30/2006	\$1.22	\$1.22	0	\$0.00	100%
16	Security Upgrades	9/30/2006	\$9.46	9/30/2006	9/30/2006	\$1.69	\$1.69	0	\$0.00	100%
16	Security Upgrades	9/30/2006	\$9.46	9/30/2006	9/30/2006	\$1.69	\$1.69	0	\$0.00	100%
17	Upgrades to Hardware and Software for System Availability Improvements	9/30/2006	\$4.90	9/30/2006	9/30/2006	\$0.79	\$0.79	0	\$0.00	100%
17	Upgrades to Hardware and Software for System Availability Improvements	9/30/2006	\$4.90	9/30/2006	9/30/2006	\$0.79	\$0.79	0	\$0.00	100%
18	Support Services	9/30/2006	\$7.52	9/30/2006	9/30/2006	\$1.04	\$1.04	0	\$0.00	100%
18	Support Services	9/30/2006	\$7.52	9/30/2006	9/30/2006	\$1.04	\$1.04	0	\$0.00	100%
19	Interim Disaster Recovery	9/30/2006	\$3.27	9/30/2006	9/30/2006	\$0.53	\$0.53	0	\$0.00	100%
19	Interim Disaster Recovery	9/30/2006	\$3.27	9/30/2006	9/30/2006	\$0.53	\$0.53	0	\$0.00	100%
20	FTE	9/30/2006	\$0.00	9/30/2006	9/30/2006	\$47.65	\$45.36	0	\$2.29	100%
20	FTE	9/30/2006	\$0.00	9/30/2006	9/30/2006	\$47.65	\$45.36	0	\$2.29	100%
21	O-M	9/30/2007	\$25.77	9/30/2007	9/30/2007	\$7.83	\$7.83	0	\$0.00	100%
21	O-M	9/30/2007	\$25.77	9/30/2007	9/30/2007	\$7.83	\$7.83	0	\$0.00	100%
22	Concept Exploration - NICS Business Process Redesign Study	9/30/2007	\$32.45	9/30/2007	9/30/2007	\$0.96	\$0.74	0	\$0.22	100%
22	Concept Exploration - NICS Business Process Redesign Study	9/30/2007	\$32.45	9/30/2007	9/30/2007	\$0.96	\$0.74	0	\$0.22	100%
23	FTE	9/30/2007	\$0.00	9/30/2007	9/30/2007	\$42.60	\$19.61	0	\$22.99	100%
23	FTE	9/30/2007	\$0.00	9/30/2007	9/30/2007	\$42.60	\$19.61	0	\$22.99	100%
24	O-M	9/30/2008	\$26.87	9/30/2008		\$4.83	\$4.63		(\$2.22)	50%
24	O-M	9/30/2008	\$26.87	9/30/2008		\$4.83	\$4.63		(\$2.22)	50%
25	Automated Appeals Management Database	9/30/2008	\$32.22	9/30/2008		\$0.36	\$0.32		(\$0.14)	50%

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 7)

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 '0' 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			
25	Automated Appeals Management Database	9/30/2008	\$32.22	9/30/2008		\$0.36	\$0.32		(\$0.14)	50%
26	FTE	9/30/2008	\$0.00	9/30/2008		\$43.59	\$43.59		(\$21.80)	50%
26	FTE	9/30/2008	\$0.00	9/30/2008		\$43.59	\$43.59		(\$21.80)	50%
27	O-M	9/30/2009	\$28.00	9/30/2009		\$5.40	\$0.00		\$0.00	0%
27	O-M	9/30/2009	\$28.00	9/30/2009		\$5.40	\$0.00		\$0.00	0%
28	NICS Requirements Documentation Consolidation	9/30/2009	\$31.98	9/30/2009		\$0.41	\$0.00		\$0.00	0%
28	NICS Requirements Documentation Consolidation	9/30/2009	\$31.98	9/30/2009		\$0.41	\$0.00		\$0.00	0%
29	FTE	9/30/2009	\$0.00	9/30/2009		\$44.60	\$0.00		\$0.00	0%
29	FTE	9/30/2009	\$0.00	9/30/2009		\$44.60	\$0.00		\$0.00	0%
30	NICS NICS Modernization Initiatives Planning	9/30/2010	\$0.00	9/30/2010		\$0.26	\$0.00		\$0.00	0%
30	NICS NICS Modernization Initiatives Planning	9/30/2010	\$0.00	9/30/2010		\$0.26	\$0.00		\$0.00	0%
31	NICS Requirements Documentation Consolidation - Phase II	9/30/2010	\$0.00	9/30/2010		\$0.14	\$0.00		\$0.00	0%
31	NICS Requirements Documentation Consolidation - Phase II	9/30/2010	\$0.00	9/30/2010		\$0.14	\$0.00		\$0.00	0%
32	FTE	9/30/2010	\$0.00	9/30/2010		\$45.64	\$0.00		\$0.00	0%
32	FTE	9/30/2010	\$0.00	9/30/2010		\$45.64	\$0.00		\$0.00	0%
33	O-M	9/30/2010	\$0.00	9/30/2010		\$6.09	\$0.00		\$0.00	0%
33	O-M	9/30/2010	\$0.00	9/30/2010		\$6.09	\$0.00		\$0.00	0%
34	MC3 - Hardware/Software Acquisition	9/30/2010	\$0.00	9/30/2010		\$1.67	\$0.00		\$0.00	0%
34	MC3 - Hardware/Software Acquisition	9/30/2010	\$0.00	9/30/2010		\$1.67	\$0.00		\$0.00	0%
35	MC3 - Integration, Development, Testing, and Acceptance	9/30/2010	\$0.00	9/30/2010		\$0.19	\$0.00		\$0.00	0%
35	MC3 - Integration, Development, Testing, and Acceptance	9/30/2010	\$0.00	9/30/2010		\$0.19	\$0.00		\$0.00	0%

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 '0' 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			
Project Totals										