

**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: 2/1/2010
- 2. Agency: Department of Justice
- 3. Bureau: Federal Bureau Of Investigation
- 4. Name of this Investment: FBI National Instant Criminal Background Check System (NICS)
- 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 011-10-01-03-01-2616-00
- 6. What kind of investment will this be in FY 2011? (Please NOTE: Investments moving to O&M in FY 2011, with Planning/Acquisition activities prior to FY 2011 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; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.

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. 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. The NICS Regulation required development of other electronic means of contact and 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; (2) the Interstate Identification Index and (3) the NICS Index. 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. On 08-13-2009, the FBI CJIS Division's NICS Section initiated a requirements study for the development of a new NICS that will encompass all internal and external processes, interfaces, and functionality required throughout the NICS community and will outline required modifications and improvements to the NICS to allow continued system operating capabilities.

a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register. The NICS Section completed an alternative analysis for this investment on 05-14-2007. This investment has a risk management plan and the date of this plan is 08-04-2008.

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. Contact information of Program/Project Manager?

Name

Phone Number

Email

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

**12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):**

OMB ID	Financial management system name(s)	System Acronym	Unique Project Identifier (UPI) number
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a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

**Section B: Summary of Funding (Budget Authority for 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. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

SUMMARY OF FUNDING 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 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:									
Acquisition:									
Subtotal Planning & Acquisition:									
Operations & Maintenance:									
Disposition Costs (optional):									
SUBTOTAL:									
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs									
Number of FTE represented by Costs:									
TOTAL (incl. FTE costs)									

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.

Note 2: The two sub-total rows and total row will be calculated – not for data entry.

2. If the summary of funding has changed from the FY2010 President's Budget request, briefly explain those changes:

The figures for out year costs provided in the previous submission were estimates based on the NICS as Status Quo operations. The figures have been updated to reflect actual commitments and obligations that are in the Criminal Justice Information Services (CJIS) Division internal financial tracking system. The funding profile has been updated to reflect projects that have been approved by the CJIS Resource Management Board. 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.

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

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 16)

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.

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 16)

Contract/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)
DJFA9G902095	Fixed Price Incentive	Yes	12/1/2008	12/1/2008	1/31/2014	89	No	Yes	Yes	NA	Yes
GS35F0287T	Firm-Fixed-Price	Yes	7/28/2009	8/10/2009	8/11/2010	1.33	No	No	Yes	NA	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:

The work done on on J-FBI-04-001 contract is for one of many NICS tasks. EVM is not broken down to the task order level

3. 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

**NOTE: Data structure to be used to identify contract numbers in FPDS.**

To assist in the linkage of Contract/Task Order Numbers from the Acquisition Strategy table to FPDS, agencies should provide the following information for "Contract/Task Order Numbers" based on the FPDS-NG data requirements (as specified in the FPDS-NG Data Element Dictionary- <http://www.fpdsg.com/downloads/FPDS-Data-Dictionary-Version1.3.pdf>):

Part of Indefinite Delivery Vehicle (IDV)?	Procurement Instrument Identifier	Example
Yes	Data Element 1A (NTE 50 characters)	"00063200203DNBCHC020042"
No	Data Element 1A, and the Referenced PIID, Data Element 1C. (NTE 100 characters)	"GS09Q08DN0165-IDV-GS10F0216N"

**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 and the relevant Agency Segment Architecture. The investment must discuss its performance measures in support of the agency's mission and strategic goals as outlined in the corresponding Segment Architecture. Performance measures (indicators) must be provided. 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 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.whitehouse.gov/omb/e-gov](http://www.whitehouse.gov/omb/e-gov). The table can be extended to include performance measures for years beyond the next President's Budget.

Performance Information Table											
OMB ID	Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results	Rating	Include In OMB Dashboard
17702	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	Not Met	
17701	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	Not Met	
17703	2003	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests	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	Not Met	

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 16)

Performance Information Table											
OMB ID	Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results	Rating	Include In OMB Dashboard
		of the American People									
17704	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	Not Met	
17706	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	Not Met	
17705	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	Not Met	
17707	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	Not Met	
17708	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	Not Met	
17710	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	Not Met	
17709	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	Not Met	

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		American People									
17711	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	Not Met	
17712	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	Not Met	
17714	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	Not Met	
17713	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	Not Met	
17715	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	Not Met	
17716	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	Not Met	
17718	2007	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American	Customer Results	Service Accessibility	Service Availability	Maintain System Availability of 98 percent or higher	99.64 percent	98 percent or higher	99.92 percent	Not Met	

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		People									
17717	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	Not Met	
17719	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	Not Met	
17720	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	Not Met	
17723	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%	Not Met	
17724	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%	Not Met	
17725	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%	Not Met	
17721	2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American	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%	Not Met	

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		People									
17722	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	Not Met	
17726	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 Compliancy Rate of processing transactions according to established procedures above 90 percent	This is a new measure in FY 2008. The Compliancy Rate for FY 2007 was 98 percent.	Above 90 percent	98%	Not Met	
17727	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%	Not Met	
17728	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%	Not Met	
17729	2008	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	This is a new measure in FY 2008. As of 9/30/07, the NICS Personal Production Average was 2.208 transactions per hour.	Increase by 2 percent	16.13%	Not Met	
17731	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%	Not Met	
17730	2008	Prevent Crime, Enforce Federal Laws, and Represent the Rights	Technology	Information and Data	Internal Data Sharing	Implement one or more information sharing initiatives per year	This is a new measure in FY 2008.	1 or more a year	4%	Not Met	

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		and Interests of the American People									
17733	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	1857	Increase by 5 percent over the previous year	2193	Not Met	
17734	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 collaboration and information sharing with customers, users, and external partners	TBD	1 or more per year	128 new ORI's	Not Met	
17732	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	90 percent	90 percent or higher	91.88 percent	Not Met	
17735	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 Compliance Rate of processing transactions according to established procedures above 90 percent	98 percent	Above 90 percent	99.46 percent	Not Met	
17737	2009	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Data Storage	Increase the number of Web services	10	1 or more a year	53	Not Met	
17736	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	1	1 or more a year	3	Not Met	
17739	2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests	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	2193	Increase by 5 percent over the previous year	TBD	Not Met	

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		of the American People									
17738	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	90 percent	90 percent or higher	TBD	Not Met	
17740	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	98 percent	Above 90 percent	TBD	Not Met	
17742	2010	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Information and Data	Data Storage	Increase the number of Web services	15	3 percent increase per year	TBD	Not Met	
17741	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	3	1 or more per year	TBD	Not Met	
17744	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	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	Not Met	
17743	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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	TBD	90 percent or higher	TBD	Not Met	
17745	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	Maintain Compliance Rate of processing transactions according to established procedures above 90 percent	TBD	Above 90 percent	TBD	Not Met	

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		American People				percent					
17747	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	Increase system responsiveness	TBD	3 percent increase per year	TBD	Not Met	
17746	2011	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	1 or more per year	TBD	Not Met	
17749	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	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	Not Met	
17748	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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	TBD	90 percent or higher	TBD	Not Met	
17750	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	Maintain Compliancy Rate of processing transactions according to established procedures above 90 percent	TBD	Above 90 percent	TBD	Not Met	
17752	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	Increase system responsiveness	TBD	3 percent increase per year	TBD	Not Met	
17751	2012	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American	Technology	Information and Data	Internal Data Sharing	Implement one or more information sharing initiatives per year	TBD	1 or more per year	TBD	Not Met	

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		People									
17754	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	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	Not Met	
17753	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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	TBD	90 percent or higher	TBD	Not Met	
17755	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	Maintain Compliance Rate of processing transactions according to established procedures above 90 percent	TBD	Above 90 percent	TBD	Not Met	
17757	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	Increase system responsiveness	TBD	3 percent increase per year	TBD	Not Met	
17756	2013	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	1 or more per year	TBD	Not Met	
17759	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	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	Not Met	
17758	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	Maintain an Immediate Determination Rate on Eligibility of at least 90 percent	TBD	90 percent or higher	TBD	Not Met	

Exhibit 300: FBI National Instant Criminal Background Check System (NICS) (Revision 16)

Performance Information Table											
OMB ID	Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results	Rating	Include In OMB Dashboard
17760	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	Maintain Compliance Rate of processing transactions according to established procedures above 90 percent	TBD	Above 90 percent	TBD	Not Met	
17762	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	Increase system responsiveness	TBD	3 percent increase per year	TBD	Not Met	
17761	2014	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	1 or more per year	TBD	Not Met	
17764	2015	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	Not Met	
17763	2015	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	Not Met	
17765	2015	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	Not Met	
17767	2015	Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Increase system responsiveness	TBD	3 percent increase per year	TBD	Not Met	
17766	2015	Prevent	Technology	Information	Internal Data	Implement	TBD	1 or more	TBD	Not Met	

Performance Information Table											
OMB ID	Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results	Rating	Include In OMB Dashboard
		Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People		and Data	Sharing	one or more information sharing initiatives per year		per year			

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

For IT investments, agencies should maintain up-to-date tracking of which systems in the FISMA inventory support any IT investment. Linking major IT investments to FISMA systems will be addressed outside the context of the A-11 budget submission of the Exhibit 300.

**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.

Have the requisite investment-level architecture documentation requirements (e.g., reference model mappings, FTF mappings, etc.) for this investment been documented in the corresponding Segment Architecture? For detailed guidance regarding segment architecture requirements, please refer to [www.whitehouse.gov/omb/e-gov](http://www.whitehouse.gov/omb/e-gov). See this guidance also regarding the reporting of six digit codes corresponding to agency segment architectures in Exhibit 53, and, for limited cases determined by the Chief Architect, reporting an investment alignment with multiple segments. Yes

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

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.

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

Agencies should be measuring the performance of operational assets against the baseline established during the planning or full acquisition phase (i.e., operational analysis), or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

EVM is required only on Planning or Acquisitions portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the cost and schedule performance table. This table should accurately reflect the milestones in the initial baseline, or approved current baseline.

For investments including Planning or Acquisitions spending, complete the following table on milestones used to measure cost and schedule performance, representing only one level of the investment's Work Breakdown Structure. This should generally show Level 3 of the Work Breakdown Structure. For activities related to Operations and Maintenance included in Mixed Life Cycle investments, provide milestones used to track cost and schedule performance in the same format used for development activities milestones.

**1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:**

Complete the following table to compare actual performance against the current 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"), baseline and actual start dates, and the baseline and actual total costs (in \$ Millions). Note that the 'Description of Milestone' and 'Percent Completed'-both Planned and Actual-fields are required.

Description of Milestone	Total Cost		Baseline (mm/dd/yyyy)				Percentages Complete	
	Planned Cost (\$M)	Actual Cost (\$M)	Start Date		Completion Date		Planned	Actual
			Planned	Actual	Planned	Actual		
O&M (2002 and earlier)	\$11.950000	\$11.954000	10/1/1998	10/1/1998	9/30/2002	9/30/2002	100%	100%
DME (2002 and earlier)	\$67.470000	\$67.474000	10/1/1998	10/1/1998	9/30/2002	9/30/2002	100%	100%
FTE	\$133.440000	\$133.442000	10/1/1998	10/1/1998	9/30/2002	9/30/2002	100%	100%
O&M 2003	\$7.080000	\$7.078000	10/1/2002	10/1/2002	9/30/2003	9/30/2003	100%	100%
Upgrades to Hardware and Software for System Availability Improvements	\$11.190000	\$11.187000	10/1/2002	10/1/2002	9/30/2003	9/30/2003	100%	100%
FTE	\$41.960000	\$41.956000	10/1/2002	10/1/2002	9/30/2003	9/30/2003	100%	100%
O&M 2004	\$7.480000	\$7.475000	10/1/2003	10/1/2003	9/30/2004	9/30/2004	100%	100%
PC Client System Efficiencies Upgrade - Phase I	\$3.280000	\$0.116000	10/1/2003	10/1/2003	9/30/2004	9/30/2004	100%	100%
Enterprise Storage Area Network - Design and Implementation	\$5.820000	\$8.988000	10/1/2003	10/1/2003	9/30/2004	9/30/2004	100%	100%
FTE	\$45.990000	\$45.989000	10/1/2003	10/1/2003	9/30/2004	9/30/2004	100%	100%
O&M 2005	\$6.940000	\$6.935000	10/1/2004	10/1/2004	9/30/2005	9/30/2005	100%	100%
III/NCIC Rehost	\$4.950000	\$4.948000	10/1/2004	10/1/2004	9/30/2005	9/30/2005	100%	100%
FTE	\$46.310000	\$46.310000	10/1/2004	10/1/2004	9/30/2005	9/30/2005	100%	100%
O&M 2006	\$7.370000	\$7.373000	10/1/2005	10/1/2005	9/30/2006	9/30/2006	100%	100%
NICS Initiative Development Efforts	\$1.220000	\$5.265000	10/1/2005	10/1/2005	9/30/2006	9/30/2006	100%	100%
Security Upgrades	\$1.690000	\$1.690000	10/1/2005	10/1/2005	9/30/2006	9/30/2006	100%	100%
Upgrades to Hardware and Software for System Availability Improvements	\$0.790000	\$0.790000	10/1/2005	10/1/2005	9/30/2006	9/30/2006	100%	100%
Support Services	\$1.040000	\$1.040000	10/1/2005	10/1/2005	9/30/2006	9/30/2006	100%	100%
Interim Disaster Recovery	\$0.530000	\$0.530000	10/1/2005	10/1/2005	9/30/2006	9/30/2006	100%	100%
FTE	\$47.650000	\$47.650000	10/1/2005	10/1/2005	9/30/2006	9/30/2006	100%	100%
O&M 2007	\$7.830000	\$7.834000	10/1/2006	10/1/2006	9/30/2007	9/30/2007	100%	100%
Concept Exploration - NICS Business Process Redesign Study	\$0.960000	\$0.960000	10/1/2006	10/1/2006	9/30/2007	9/30/2007	100%	100%
FTE	\$42.600000	\$42.599000	10/1/2006	10/1/2006	9/30/2007	9/30/2007	100%	100%
O&M 2008	\$4.828000	\$4.391000	10/1/2007	10/1/2007	9/30/2008	9/30/2008	100%	100%
Automated Appeals Management Database	\$0.362000	\$1.745000	10/1/2007	10/1/2007	9/30/2008	9/30/2008	100%	100%
FTE	\$2.671000	\$2.671000	10/1/2007	10/1/2007	9/30/2008	9/30/2008	100%	100%
NICS Requirements Analysis Study			9/30/2009	8/13/2009	9/29/2010		42%	42%
Project Management Office	\$0.941000	\$0.941000	10/1/2008	10/1/2008	9/29/2009	9/30/2009	100%	100%
Project Management Office			10/1/2009	10/1/2009	9/29/2010		41%	41%
Project Management Office			10/1/2010		9/29/2011		0%	0%

**1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:**

Complete the following table to compare actual performance against the current 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"), baseline and actual start dates, and the baseline and actual total costs (in \$ Millions). Note that the 'Description of Milestone' and 'Percent Completed'-both Planned and Actual-fields are required.

Description of Milestone	Total Cost		Baseline (mm/dd/yyyy)				Percentages Complete	
	Planned Cost (\$M)	Actual Cost (\$M)	Start Date		Completion Date		Planned	Actual
			Planned	Actual	Planned	Actual		
Project Management Office			10/1/2011		9/29/2012		0%	0%
Project Management Office			10/1/2012		9/29/2013		0%	0%
Project Management Office			10/1/2013		9/29/2014		0%	0%
Project Management Office			10/1/2014		9/29/2015		0%	0%
O&M 2009	\$9.594000	\$9.594000	10/1/2008	10/1/2008	9/29/2009	9/30/2009	100%	100%
O&M 2010			10/1/2009	10/1/2009	9/29/2010		41%	41%
O&M 2011			10/1/2010		9/29/2011		0%	0%
O&M 2012			10/1/2011		9/29/2012		0%	0%
O&M 2013			10/1/2012		9/29/2013		0%	0%
O&M 2014			10/1/2013		9/29/2014		0%	0%
O&M 2015			10/1/2014		9/29/2015		0%	0%
<b>Project Totals</b>								