

Exhibit 300 (BY2010)

PART ONE

OVERVIEW

1. Date of Submission:
2009-04-10

2. Agency:
015

3. Bureau:
04

4. Name of this Capital Asset:
Cross Border Major

5. Unique Project Identifier:
015-04-01-12-01-1021-00

6. What kind of investment will this be in FY2010?
Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB?
FY2010

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 Cross Border Funds Transmittal investment is a direct outgrowth of the Intelligence Reform and Terrorism Prevention Act of 2004 mandating increased efforts to combat money laundering and financial crimes and more authority to track cross-border financial transactions. Information relating to funds transfers, particularly those involving funds going into or out of the U.S., can be highly useful in preventing and detecting money laundering and terrorist financing. The Bank Secrecy Act requires U.S. financial institutions to record certain information about funds transfers exceeding \$3,000. Cross-border electronic funds transfer information generally contains only a few data elements. However, even these relatively few data elements add immensely to the ability of investigators and analysts to identify illicit activity. The Bank Secrecy Act as it has evolved over the years provides transparency to America's financial systems, making it difficult for criminals to launder the proceeds of their crimes without risk of detection. However, criminals can still move funds internationally with relative impunity. Unless the pattern of funds transfers itself is clearly suspicious or other information becomes known to the financial institution sufficient to cause the filing of a Suspicious Activity Report, the transaction will be effectively invisible. By its very nature, a system for collecting wire transmittal data would add a valuable layer of context and understanding to the current BSA data collection. If analysts and investigators have ready access to electronic funds transfer data, they could use that data to gain a fuller understanding of the operation of the U.S. financial system than is currently possible, more effectively identify suspicious patterns of financial activity, conduct more in-depth research into the activity of identified investigative subjects, and more quickly identify and locate persons of investigative interest as well as their associates and bank accounts.

9. Did the Agency's Executive/Investment Committee approve this request?
yes

9.a. If "yes," what was the date of this approval?
2008-11-21

10. Did the Program/Project Manager review this Exhibit?
yes

11. Program/Project Manager Name:
Silver, Michele
Program/Project Manager Phone:
703-905-3720
Program/Project Manager Email:
michele.silver@fincen.gov

11.a. What is the current FAC-P/PM certification level of the project/program manager?
New Program Manager

11.b. When was the Program/Project Manager Assigned?

2009-02-02

11.c. What date did the Program/Project Manager receive the FACP/PM certification? If the certification has not been issued, what is the anticipated date for certification?

2010-03-01

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.

yes

12.a. Will this investment include electronic assets (including computers)?

yes

12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

no

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

yes

If yes, select the initiatives that apply:

Expanded E-Government

13.a. Briefly and specifically describe 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?)

XXXX

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)?

no

15. Is this investment for information technology?

yes

16. What is the level of the IT Project (per CIO Council's PM Guidance)?

Level 1

17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)

(2) Project manager qualification is under review for this investment

18. Is 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

19.a.2. If no, what does it address?

Intelligence Reform Act of 2004 Section 6302

20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Area	Percentage
Hardware	52
Software	18
Services	23
Other	7

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

Greg Sohn

Phone Number

703-905-3831

Title

Privacy Officer

Email

greg.sohn@fincen.gov

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

yes

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

no

SUMMARY OF SPEND

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.

All amounts represent Budget Authority

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

Cost Type	Py-1 & Earlier -2007	PY 2008	CY 2009	BY 2010
Planning Budgetary Resources	0.000	0.000	0.000	0.160
Acquisition Budgetary Resources	0.000	0.000	0.000	5.829
Maintenance Budgetary Resources	0.000	0.000	0.000	1.325
Government FTE Cost	0.000	0.000	0.000	0.186
# of FTEs	0	0	0	1

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

no

PERFORMANCE

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 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.

	Fiscal Year	Strategic Goal Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	Customer Results	Delivery Time	Average number of hours from identification to availability for query or dissemination	45 Days	45 Days	
2	2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	Mission and Business Results	Intelligence Analysis and Production	Number of steps to find initial useful information	48 Steps	48 Steps	
3	2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	Processes and Activities	Efficiency	Number of work days required to develop moderate impact forms change	230 Days	230 Days	
4	2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	Technology	IT Contribution to Process, Customer, or Mission	Percent decrease in cost for a small MSB's to submit a CBFT	\$60K/Year	\$60K/Year	

Enterprise Architecture

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?

Yes

2. Is this investment included in the agency's EA Transition Strategy?

Yes

2.a. If yes, provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

Cross Border Wire Transfer

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?
yes

3.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.
113-000

4. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

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

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: 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.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Information Retrieval	Allow access to data and information for use by an organization and its stakeholders	Knowledge Management	Information Retrieval			No Reuse	20
2	Indentification and Authentication	Provide capabilities to identify and authenticate users.	Security Management	Identification and Authentication			No Reuse	2
3	Access Control	Provide capabilities to manage permission and right for information access.	Security Management	Access Control			No Reuse	2
4	Intrusion Detection	Provide capabilities to detect illegal entrance to the system.	Security Management	Intrusion Detection			No Reuse	2
5	Authorization	Provide capabilities to support authorization.	Customer Relationship Management	NEW			No Reuse	2
6	Administration	Provide capabilities to support the administration of user, application, system, and network accounts.	Customer Relationship Management	NEW			No Reuse	2

7	Permissions	Provide capabilities to support the user rights and permissions management.	Customer Relationship Management	NEW			No Reuse	2
8	Online Help	Permits on-line customers to access an electronic interface to customer assistance.	Customer Initiated Assistance	Online Help			No Reuse	3
9	Online Tutorials	Permit on-line customers to access an electronic interface to assist customers to learn how to query wire transfer data.	Customer Initiated Assistance	Online Tutorials			No Reuse	3
10	Access Security	Provide security for accessing the wire transfer data.	Customer Relationship Management	NEW			No Reuse	2
11	Web Design	Provide a tool to create the web pages.	Content Management	Content Authoring			No Reuse	5
12	Alerts and Notifications	Provide alerts when multiple users are researching the same suspects.	Customer Preferences	Alerts and Notifications			No Reuse	5
13	User Accounts	Manage the wire transfer user account	Customer Relationship Management	Customer / Account Management			No Reuse	5
14	Data Integration	Integrate the wire transfer data into the query system	Development and Integration	Data Integration			No Reuse	5
15	Software Development	Develop software to query the wire transfer forms.	Development and Integration	Software Development			No Reuse	10
16	Audit Trail Capture and Analysis	Capture all queries that the users make against the wire transfer data.	Security Management	Audit Trail Capture and Analysis			No Reuse	5
17	Query	A report writer is used to provide capabilities for dynamic and on-demand reporting needs to access wire transfer data.	Reporting	Ad Hoc			No Reuse	5
18	Query	Provide capabilities for pre-conceived	Reporting	Standardized / Canned			No Reuse	5

		wire transfer data reporting needs						
19	Data Mining	Provide capabilities to support exploring and analyzing the wire transfer data to uncover patterns and relationships.	Knowledge Discovery	Data Mining			No Reuse	5
20	Loading and Archiving	Load the raw data into the wire transfer database.	Data Management	Loading and Archiving			No Reuse	10
21	Data Recovery	Provide capabilities to restore and to stabilize the BSA data to a consistent, desired state.	Data Management	Data Recovery			No Reuse	2
22	Data Cleansing-ETL	Provide capabilities to ensure the data is stored in desired formats.	Data Management	Data Cleansing			No Reuse	5
23	Data Mart	Provide capabilities to support a subset of the data for a set of specified objectives.	Data Management	Data Mart			No Reuse	1
24	Data Warehouse	Provide capabilities to support the archiving and storage of wire transfer data.	Data Management	Data Warehouse			No Reuse	2

5. 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: 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.

Service Specification: 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.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Information Sharing	Service Access and Delivery	Access Channels	Collaboration / Communications	MS Internet Explorer, Netscape, Robohelp, Trainer Soft
2	Access Control	Service Access and Delivery	Access Channels	Other Electronic Channels	No procurement has been processed yet.
3	Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	No procurement has been processed yet.

4	Access Control	Service Access and Delivery	Service Transport	Service Transport	No procurement has been processed yet.
5	Data Warehouse	Service Access and Delivery	Service Requirements	Legislative / Compliance	No procurement has been processed yet.
6	Access Control	Service Access and Delivery	Delivery Channels	Internet	No procurement has been processed yet.
7	Customer / Account Management	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	No procurement has been processed yet.
8	Data Warehouse	Service Access and Delivery	Service Requirements	Hosting	No procurement has been processed yet.
9	Data Warehouse	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	No procurement has been processed yet.
10	Data Warehouse	Service Platform and Infrastructure	Support Platforms	Independent Platform	No procurement has been processed yet.
11	Online Tutorials	Service Platform and Infrastructure	Delivery Servers	Web Servers	No procurement has been processed yet.
12	Content Authoring	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	No procurement has been processed yet.
13	Data Cleansing	Service Platform and Infrastructure	Database / Storage	Database	No procurement has been processed yet.
14	Loading and Archiving	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	No procurement has been processed yet.
15	Data Warehouse	Service Platform and Infrastructure	Software Engineering	Test Management	No procurement has been processed yet.
16	Software Development	Service Platform and Infrastructure	Software Engineering	Modeling	No procurement has been processed yet.
17	Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	No procurement has been processed yet.
18	Software Development	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	No procurement has been processed yet.
19	Digital Signature Management	Component Framework	Security	Certificates / Digital Signatures	No procurement has been processed yet.
20	Software Development	Component Framework	User Presentation / Interface	Static Display	No procurement has been processed yet.
21	Software Development	Component Framework	Business Logic	Platform Independent Technologies	No procurement has been processed yet.
22	Alerts and Notifications	Component Framework	Data Interchange	Data Exchange	No procurement has been processed yet.
23	Access Control	Component Framework	Data Management	Database Connectivity	No procurement has been processed yet.
24	Data Integration	Service Interface and Integration	Interoperability	Data Types / Validation	No procurement has been processed yet.
25	Data Integration	Service Interface and Integration	Interoperability	Data Format / Classification	No procurement has been processed yet.
26	Data Integration	Service Interface and Integration	Interface	Service Description / Interface	No procurement has been processed yet.
27	Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	No procurement has been processed yet.

28	Data Warehouse	Service Access and Delivery	Service Requirements	Hosting	No procurement has been processed yet.
29	Software Development	Service Platform and Infrastructure	Software Engineering	Test Management	No procurement has been processed yet.
30	Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	No procurement has been processed yet.
31	Intrusion Detection	Component Framework	Security	Supporting Security Services	No procurement has been processed yet.
32	Data Mining	Component Framework	Data Management	Reporting and Analysis	No procurement has been processed yet.
33	Data Integration	Service Platform and Infrastructure	Delivery Servers	Application Servers	No procurement has been processed yet.
34	Access Control	Service Access and Delivery	Access Channels	Web Browser	No procurement has been processed yet.
35	Audit Trail Capture and Analysis	Service Platform and Infrastructure	Delivery Servers	Application Servers	No procurement has been processed yet.
36	Data Integration	Service Platform and Infrastructure	Delivery Servers	Portal Servers	No procurement has been processed yet.
37	Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	No procurement has been processed yet.
38	Access Control	Service Platform and Infrastructure	Database / Storage	Storage	No procurement has been processed yet.
39	Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	No procurement has been processed yet.
40	Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	No procurement has been processed yet.
41	Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	No procurement has been processed yet.

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

no

PART TWO

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop 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.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2009-03-19

1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

no

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

To address the risks of using IRS as a service provider and not having sufficient FinCEN and contractor program management as well as business and technical resources, the life cycle cost estimate was developed using techniques, models and historical data from other Treasury programs including IRS and industry cost estimate references.

COST & SCHEDULE

1. Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

yes

2. Is the CV% or SV% greater than $\pm 10\%$?

no

3. Has the investment re-baselined during the past fiscal year?

no