

I.A.: OVERVIEW BY09

Descriptive Information BY09

Template Name	BY2009
Investment Name	EBSA - EFAST2
Investment Revision Number	7
Is this investment a consolidated business case?	No
Revision Comment	
Date of Submission	9/10/2007
Agency	Department of Labor
Bureau	Employee Benefits Security Administration
Name of this Capital Asset	EBSA - EFAST2
Exhibit 53 Part	IT Investments by Mission Area
OMB Investment Type	01 - Major Investment
OMB Exhibit 53 Major Mission Area	Strengthened Economic Protections
What kind of investment will this be in this Budget Year?	Multi-Agency Collaboration
OMB Short Description	EFAST2 is a new Web-based system to replace the current legacy, paper based EFAST production system based on mandated electronic filing of Form 5500 returns.

Screening Questions BY09

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 ERISA Act of 1974 and provisions of the Internal Revenue Code require certain employee benefit plans to submit information annually to the Federal government (EBSA, IRS, and PBGC). Regulatory changes have mandated electronic filing for all Form 5500 filings made under Title 1 of ERISA beginning on January 1, 2009. The EFAST2 system is a "collaborative initiative" between multiple agencies (DOL, IRS, PBGC):

Specific EFAST2 data agency needs:

DOL - To administer Title I & III of ERISA, which contains rules for reporting, disclosure, vesting, participation, funding, fiduciary conduct, and civil enforcement. IRS - To administer Title II & III of ERISA. PBGC - to administer Title IV of ERISA.

Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	7/5/2007
Did the Project Manager review this Exhibit?	Yes
Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	Yes
Will this investment include electronic assets (including computers)?	Yes
Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
If "yes," is an ESPC or UESC being used to help fund this investment?	
If "yes," will this investment meet sustainable design principles?	
If "yes," is it designed to be 30% more energy efficient than relevant code?	
Does this investment directly support one of the PMA initiatives?	Yes
If "yes," check all of the PMA initiatives that apply:	Expanded E-Government
Is this investment for information technology?	Yes
Briefly describe how this asset directly supports the identified initiative(s)?	EFAST2 supports the PMA initiatives for Expanded Electronic Government and Competitive Sourcing.

E-Gov: EFAST2 reconceptualizes and reengineers current EFAST with an eye toward using electronic technology to improve the process of collecting and disseminating information about employee benefit plans and their operations.

IT Screening Questions BY09

If the answer to Question, "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.

What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance): (1) Project manager has been validated as qualified for this investment

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? Yes

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

I.B.: SUMMARY OF SPENDING BY09

Summary of Spending BY09

Competition/ Procurement Sensitive Data

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Full Time Equivalents BY09

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I.C.: ACQUISITION/CONTRACT STRATEGY BY09

Sensitive Data

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I.D.: PERFORMANCE INFORMATION BY09

Sensitive Data

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I.E.: SECURITY AND PRIVACY BY09

Sensitive Data

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I.F.: ENTERPRISE ARCHITECTURE (EA) BY09

General EA Questions BY09

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.

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

If "no," please explain why this investment is not included in your agency's target enterprise architecture?

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

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

If "yes," please describe how the application will leverage existing components and/or applications across the Government.

IV.A.: MULTI-AGENCY COLLABORATION OVERSIGHT BY09

Partners BY09

Part IV should be completed only for investments identified as an E-Gov initiative, a Line of Business(LOB) Initiative, or a Multi-Agency Collaboration effort. The "Multi-Agency Collaboration" choice should be selected in response to Question 6 in Part I, Section A above. Investments identified as "Multi-Agency Collaboration" will complete only Parts I and IV of the exhibit 300.

Multi-agency Collaborations, such as E-Gov and LOB initiatives, should develop a joint exhibit 300.

As a joint exhibit 300, please identify the agency stakeholders. Provide the partner agency and partner agency approval date for this joint exhibit 300.

Stakeholder Table		
Partner Agency Name	Partner Agency	Joint Exhibit Approval Date
Labor, Department of	*Sensitive Data-was omitted completely*	9/10/2007
Treasury, Department of	*Sensitive Data-was omitted completely*	8/17/2007

Analysis Background BY09

An Alternatives Analysis for multi-agency collaborations should also be obtained. At least three viable alternatives, in addition to the current baseline (i.e., the status quo), should be included in the joint exhibit 300. 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.

Did you conduct an alternatives analysis for this project? Yes

IV.B.: RISK MANAGEMENT BY09

Risk Management Plan BY09

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.

Does the investment have a Risk Management Plan? Yes

What is the date of the risk management plan? 6/30/2007

IV.C.: COST AND SCHEDULE PERFORMANCE BY09

Sensitive Data

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