

I.A.: OVERVIEW BY10

Descriptive Information BY10

Template Name	BY2010
Investment Name	EBSA - EFAST2
Investment Revision Number	8
Is this investment a consolidated business case?	No
Point of Contact	
Revision Comment	
Date of Submission	4/10/2009
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 supporting mandated electronic filing of Form 5500 returns. EFAST2 will replace the current legacy, paper-based EFAST production system.

Screening Questions BY10

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:

ERISA (The Employee Retirement Income Security 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) through the Form 5500. Regulatory changes have mandated electronic filing and disclosure for all Form 5500 filings beginning on January 1, 2010.

The EFAST2 (ERISA Filing Acceptance System2) system is a "collaborative initiative" among three agencies to collect, process and disclose the Form 5500. EFAST2 will replace the legacy paper-based system EFAST. EFAST2 is a web-based system designed to process Form 5500 filings starting January 1, 2010. The 21-month development phase is planned for April 2008 through December 2009.

The information collected on the Form 5500 allows DOL to administer Title I & III of ERISA, allows IRS - to administer Title II & III of ERISA and allows PBGC - to administer Title IV of ERISA.

The EFAST2 contract was awarded on February 29, 2008 and became effective April 1, 2008. EFAST2 System development is scheduled to last 21 months leading-up to EFAST2 startup of operations January 1, 2010.

Performance Gap: EFAST2 will reduce this total processing cycle turnaround time to 1 day, and accuracy will be improved to 100% through electronic filing and automated edit checking performed prior to acceptance of a filing.

Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	8/31/2008
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:	
Is this investment for information technology?	Yes
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?)	Government-Wide Collaborative Initiatives: EFAST2 replaces current EFAST paper-based processing with a 100% internet-based system for the collection & dissemination of Form 5500 series employee benefit plan filing data. EFAST2 uses COTS software and is publicly accessible from a free self-service internet filing system. Competitive Sourcing: EFAST2 system is outsourced through a full and open competitive contract award. The program also uses competitive sourcing for IV&V support activities

IT Screening Questions BY10

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.

In addition to the Project/Program Manager FAC-P/PM or DAWIA certification level, 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
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?	No

I.B.: SUMMARY OF SPENDING BY10

Summary of Spending BY10

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in thousands, 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.

REDACTED EXHIBIT 300 MULTI-AGENCY BY10: EBSA - EFAST2 (Revision 8)

SUMMARY OF SPENDING FOR PROJECT STAGES

* Costs in thousands

	2002 and Prior	2003	2004	2005	2006	2007	PY 2008	CY 2009	BY 2010
Planning									
Budgetary Resources	0	0	1316.853	1451.853	1451.853	0	0	0	0
Acquisition									
Budgetary Resources	0	0	0	0	0	2609.115	9853.06	12562.196	2569.389
Subtotal Planning & Acquisition									
Budgetary Resources	0	0	1316.853	1451.853	1451.853	2609.115	9853.06	12562.196	2569.389
Operations & Maintenance									
Budgetary Resources	0	0	0	0	0	0	0	0	10566.729
TOTAL									
Budgetary Resources	0	0	1316.853	1451.853	1451.853	2609.115	9853.06	12562.196	13136.118
Government FTE Costs									
Budgetary Resources	0	0	310.65	310.65	310.65	621.3	1174.256	1758.124	1805.284
Planning									
Budgetary Resources	0	0	310.65	310.65	310.65	0	0	0	0
Acquisition									
Budgetary Resources	0	0	0	0	0	621.3	1174.256	1758.124	451.321
Maintenance									
Budgetary Resources	0	0	0	0	0	0	0	0	1353.963

I.C.: ACQUISITION/CONTRACT STRATEGY BY10

Sensitive Data

* * * SENSITIVE DATA: This information was omitted completely * * *

I.D.: PERFORMANCE INFORMATION BY10

Sensitive Data

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I.E.: SECURITY AND PRIVACY BY10

Sensitive Data

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I.F.: ENTERPRISE ARCHITECTURE (EA) BY10

General EA Questions BY10

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., USA.gov, Pay.Gov, etc)? No

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

FEA Primary Mapping BY10

FEA Primary Mapping

Reference Model: BRM
 Business Area: Services For Citizens
 Line of Business: Income Security
 Sub Function: General Retirement and Disability
 Primary Mapping Code: 112036

IV.A.: MULTI-AGENCY COLLABORATION OVERSIGHT BY10

Partners BY10

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

Stakeholder Table		
Partner Agency Name	Partner Agency	Joint Exhibit Approval Date
Labor, Department of	012	9/8/2008
Treasury, Department of	015	8/29/2008

Analysis Background BY10

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 investment? Yes

IV.B.: RISK MANAGEMENT BY10

Risk Management Plan BY10

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? 12/31/2008

IV.C.: COST AND SCHEDULE PERFORMANCE BY10

Sensitive Data

* * * SENSITIVE DATA: This information was omitted completely * * *