

I.A.: OVERVIEW BY10

Descriptive Information BY10

Template Name	BY2010
Investment Name	EBSA - EFAST
Investment Revision Number	5
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 - EFAST
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?	Operations and Maintenance
OMB Short Description	The EFAST system supports the steady-state processing of Form 5500 Series filings under ERISA.

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:

The Department of Labor's (DOL) Employee Benefits Security Administration's (EBSA) Employee Retirement Income Security Act (ERISA) Filing Acceptance System (EFAST) collects, verifies, corrects, and distributes data from and images of over 1 million employee benefit plan filings per year to the DOL, Internal Revenue Service (IRS), Pension Benefit Guaranty Corporation (PBGC), and Social Security Administration (SSA). The EFAST system is a "collaborative initiative" among multiple agencies (DOL, IRS, PBGC). The DOL needs EFAST data to administer Title I of ERISA, which contains rules for reporting and disclosure, vesting, participation, funding, fiduciary conduct, and civil enforcement of employee benefit plan administration.

The IRS needs EFAST data to administer Title II of ERISA.
 EFAST data is required to administer Title III of ERISA by both DOL and IRS.
 The PBGC needs EFAST data to administer Title IV of ERISA.

The EFAST Program conducted a strategy review in 2002 to address the program's performance gaps and ensure

continued program alignment with government-wide initiatives. This review resulted in recognition that, to meet the program's defined performance gaps and to be in full alignment with the government-wide initiatives, a 100% electronic filing and processing replacement system (EFAST2) would be required. The new system's requirements-definition efforts and planning were started in 2004 by the existing EFAST program office.

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)?	No
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:	Competitive Sourcing
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?)	The EFAST Program is a government-wide initiative and has been a "Multi-Agency Collaborative Program" since its inception in 2000. The EFAST system electronically collects, stores, and disseminates Form 5500 Series employee benefit plan filing data from a single shared database to three Federal agencies (DOL, IRS, and PBGC).

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	N/A

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?

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

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.

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	0	0	0	0	0	0	0
Acquisition									
Budgetary Resources	22000	0	0	0	0	0	0	0	0
Subtotal Planning & Acquisition									
Budgetary Resources	22000	0	0	0	0	0	0	0	0
Operations & Maintenance									
Budgetary Resources	37663	9194	16320	17020	17691	19145	18331	16447	8582
TOTAL									
Budgetary Resources	59663	9194	16320	17020	17691	19145	18331	16447	8582
Government FTE Costs									
Budgetary Resources	2420	650	676	710	746	223	233	245	257
Planning									
Budgetary Resources	0	0	0	0	0	0	0	0	0
Acquisition									
Budgetary Resources	0	0	0	0	0	0	0	0	0
Maintenance									
Budgetary Resources	2420	650	676	710	746	223	233	245	257

Full Time Equivalent BY10

Sensitive Data

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

I.C.: ACQUISITION/CONTRACT STRATEGY BY10

Sensitive Data

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

I.D.: PERFORMANCE INFORMATION BY10

Sensitive Data

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

I.E.: SECURITY AND PRIVACY BY10

Sensitive Data

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

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)? Yes

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

EFAST is a steady state system in its Operation and Maintenance phase. The EFAST system interfaces with EBSA's existing internal LAN and internal EBSA compliance applications/databases. The software applications, their hosted data and databases are unique to EBSA and have no horizontal or vertical data sharing outside of EBSA.

EFAST is executing on the reuse of existing internal Agency (EBSA) components/applications.

EFAST is the lone unique system providing pension filings extracts for 4 separate government agencies.

III.A.: RISK MANAGEMENT BY10

Risk Management Plan BY10

Part III is completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Part I above.

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

III.B.: COST AND SCHEDULE PERFORMANCE BY10

Sensitive Data

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