

I.A.: OVERVIEW BY09

Descriptive Information BY09

Template Name	BY2009
Investment Name	EBSA - EFAST
Investment Revision Number	4
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 - 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?	Multi-Agency Collaboration
OMB Short Description	The EFAST system supports the steady state processing of Form 5500 Series filings under ERISA.

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 Department of Labor's (DOL) Employee Benefits Security Administration's (EBSA) Employee Retirement Income Security Act (ERISA) Filing Acceptance System (EFAST) processing system collects, verifies, corrects, and distributes over 1.4 million pension 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" between 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.

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.

EFAST is a legacy program that has been in its "Steady State" Operations and Maintenance (O&M) phase since FY2001. As a legacy system EFAST does not meet the following three performance gaps. These performance gaps will be met by EFAST's replacement system EFAST2 starting in 2010.

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The EFAST Program conducted an e-Gov Strategy Review in 2002 to address the program's performance gaps and ensure continued program alignment with the PMA Expanded E-GOV initiative. This e-GOV Strategy Review resulted in recognition that to meet the program's defined performance gaps and to be in full alignment with the PMA's e-GOV initiative a 100% electronic filing and processing replacement system (EFAST2) would be required by 2010.

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.	No
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: Expanded E-Government

Is this investment for information technology? Yes

Briefly describe how this asset directly supports the identified initiative(s)? The EFAST system electronically collects, stores, and disseminates Form 5500 Series pension plan filing data from a single shared database to three customer Federal agencies (DOL, IRS, and PBGC).

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? N/A

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

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I.C.: ACQUISITION/CONTRACT STRATEGY BY09

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I.D.: PERFORMANCE INFORMATION BY09

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I.E.: SECURITY AND PRIVACY BY09

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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)?	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.	

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*	8/10/2007

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
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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?	1/15/2008

IV.C.: COST AND SCHEDULE PERFORMANCE BY09

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