I.A.: OVERVIEW BY09

Descriptive Information BY09

<table>
<thead>
<tr>
<th>Template Name</th>
<th>BY2009</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Name</td>
<td>EBSA - EFAST2</td>
</tr>
<tr>
<td>Investment Revision Number</td>
<td>7</td>
</tr>
<tr>
<td>Is this investment a consolidated business case?</td>
<td>No</td>
</tr>
<tr>
<td>Revision Comment</td>
<td></td>
</tr>
<tr>
<td>Date of Submission</td>
<td>9/10/2007</td>
</tr>
<tr>
<td>Agency</td>
<td>Department of Labor</td>
</tr>
<tr>
<td>Bureau</td>
<td>Employee Benefits Security Administration</td>
</tr>
<tr>
<td>Name of this Capital Asset</td>
<td>EBSA - EFAST2</td>
</tr>
<tr>
<td>Exhibit 53 Part</td>
<td>IT Investments by Mission Area</td>
</tr>
<tr>
<td>OMB Investment Type</td>
<td>01 - Major Investment</td>
</tr>
<tr>
<td>OMB Exhibit 53 Major Mission Area</td>
<td>Strengthened Economic Protections</td>
</tr>
<tr>
<td>What kind of investment will this be in this Budget Year?</td>
<td>Multi-Agency Collaboration</td>
</tr>
<tr>
<td>OMB Short Description</td>
<td>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.</td>
</tr>
</tbody>
</table>

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? Yes

If "yes," will this investment meet sustainable design principles? Yes

If "yes," is it designed to be 30% more energy efficient than relevant code? Yes

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.

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>What project management qualifications does the Project Manager have?</td>
<td>(1) Project manager has been validated as qualified for this investment</td>
</tr>
<tr>
<td>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?</td>
<td>Yes</td>
</tr>
<tr>
<td>Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**I.B.: SUMMARY OF SPENDING BY09**

Summary of Spending BY09

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

**Full Time Equivalents BY09**

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

**I.C.: ACQUISITION/CONTRACT STRATEGY BY09**

Sensitive Data

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

**I.D.: PERFORMANCE INFORMATION BY09**

Sensitive Data

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

**I.E.: SECURITY AND PRIVACY BY09**

Sensitive Data

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

<table>
<thead>
<tr>
<th>Partner Agency Name</th>
<th>Partner Agency</th>
<th>Joint Exhibit Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labor, Department of</td>
<td><em>Sensitive Data was omitted completely</em></td>
<td>9/10/2007</td>
</tr>
<tr>
<td>Treasury, Department of</td>
<td><em>Sensitive Data was omitted completely</em></td>
<td>8/17/2007</td>
</tr>
</tbody>
</table>

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

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