REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)	LEAVE BLANK (NARA use only)
	JOB NUMBER N1-317-11-1
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	DATE RECEIVED 9/23/10
1 FROM (Agency or establishment) U. S. Department of Labor	NOTIFICATION TO AGENCY
2 MAJOR SUBDIVISION Employee Benefits Security Administration	
3 MINOR SUBDIVISION Office of Technology and Information Services	

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Pam Rhodes	202-693-8488	10 M 2011	

6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached 1 page(s) are not needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manuel for Guidance of Federal Agencies,

☒ is not required,   ☐ is attached, or   ☐ has been requested

DATE 9-3-2009	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE Departmental Records Officer

7. ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Comprehensive Records Schedule **U.S. Department of Labor** **Employee Benefit Security Administration** **Office of Technology and Information Services** **Division of Data Administration and Database Applications**	N1-317-02-01, Items 2-6	
1 - 6	See attached detailed descriptive listing for the ERISA Filing Acceptance System 2 (EFAST2) records series proposed disposition.		
1	ERAST2 System Web Portal		
2	EFAST2 System Inputs: IREG Database; IFILE Submissions; Certified Third Party Software Submissions		
3	EFAST2 System Master Files: Input Message Archive Database		
4	EFAST2 System Outputs: Tracking/Filing Status Database; Email Archive File; Output Dissemination Database; Annual XML Archive File		

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91)
Prescribed by NARA
36 CFR 1228

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY
5	**EFAST2 System Documentation**		
6	EFAST2 Administrative, Management and Other Records: Management Report; Business Communications and other interaction records; Electronic mail, spreadsheet, and word processing system copies		

Comprehensive Records Schedule
U.S. Department of Labor
Employee Benefit Security Administration
Office of Technology and Information Services
Division of Data Administration and Database Applications

Agency: Employee Benefits Security Administration (EBSA), Office of Technology and Information Services, Division of Data Administration and Database Applications

Name of System: ERISA Filing Acceptance System 2 (EFAST2)

Dates of Operation: 1/2010-7/2020

Background: The Employee Benefit Security Administration (EBSA) administers and enforces Title I of the Employee Retirement Income Security Act of 1974 (ERISA) (29 USC Chapter 18 Subchapter I) 29 USC 1023 requires administrators of certain private pension and welfare plans to file with the Secretary of Labor, annual reports relating to each plan, describing the financial operations of the plan and the person(s) responsible for handling of plan funds and assets

The annual reports under Title I of ERISA are filed on the Form 5500/Form 5500-SF The Form 5500/Form 5500-SF consists of a primary filing and a variety of schedules, depending on the characteristics of the plan The Form 5500/Form 5500-SF filing may also include a variety of attachments, including an accountant's report, financial statement, and actuarial report Collectively, any forms, schedules and attachments that are submitted pursuant to the annual reporting requirements of Title I of ERISA are called Form 5500/Form 5500-SF filings for the purposes of this Schedule

New versions of Form 5500 and Form 5500-SF are created each year to be used by filers for the plan year that began during that calendar year Each year's version of the Form 5500/Form 5500-SF must be filed 210 days after the end of the plan year or before the expiration of any time extension granted

In compliance with Interagency Agreement No TIRNO-07-FY2010 dated 8/15/07 between the Internal Revenue Service (IRS) and Department of Labor (DOL), and Interagency Agreement No PBGC 01-1A-07-0509 dated 9/28/07 between Pension Benefits Guaranty Corporation (PBGC) and DOL, beginning on January 1, 2010 the Form 5500/Form 5500-SF will be filed with a private contractor acting on behalf of DOL/EBSA The contractor maintains and operates the ERISA Filing Acceptance System 2 (EFAST2) under the authority and management oversight of the DOL/ EBSA/ Office of Information Management (OTIS)/ Division of Data Administration and Database Applications (DDADA) The EFAST2 system is an electronic internet web-based system This system was developed in compliance with the Pension Protection Act of 2006 legislation, the Government Paperwork Elimination Act (GPEA), and the E-Government Act of 2002 EFAST2 will support EBSA's regulation to require electronic filing of Form 5500 reports, "Electronic Filing of Annual Reports," as published in the *Federal Register* requiring mandated electronic filing of all Form 5500/5500-SF returns/reports made to satisfy the annual reporting obligations under Title I of ERISA

Purpose: The primary functions of the EFAST2 internet based system are receipt, validation, acceptance, and distribution of electronic Form 5500/Form 5500-SF filing submissions Electronic filing is the only method of submitting Form 5500/Form 5500-SF Return/Reports to EFAST2 for

processing Paper filing submissions will not be accepted The electronic system will automatically accept or not accept filings in their entirety Acknowledgement messages are delivered to filers electronically soon after acceptance or non-acceptance occurs A not accepted filing can be fixed and resubmitted by the filer, but to change an accepted filing the filer must amend the original filing

General Overview: EFAST2 is an Internet-based web based system for accepting and processing electronic Form 5500/Form 5500-SF filings from third party software via approved transmitters The EFAST2 system is XML-based and accepts individual and batch filings based on sender credentials The XML schemas, web service operations, and request and response message structure are generally consistent with the IRS's Modernized eFile (MeF) program, which began to offer web services in 2006 Filers may use third party software or a free Web-based application (IFILE) to author filing components and submit completed filings Distributions to system stakeholders are made according to their specifications

Restrictions: There are no restrictions on data access Data is maintained for legal use for six years

Updates: The records are updated continually. The system is updated annually

Location: The system is located in Lawrence, Kansas The back-up location is in Denver, Colorado

Superseded Job Citation This schedule supersedes N1-317-02-1 in its entirety

Note: The disposition instructions apply to records regardless of physical form or characteristics Records may be maintained in any format or any medium The records are media neutral unless otherwise noted

1. **System Access:**

   a **Web Portal** The web portal provides a central point of access to a variety of EFAST2 functions, including general information and instructions, registration (IREG), authoring of forms and schedules (IFILE), retrieval of filing status, data dissemination (including public disclosure), software developer support, and special facilities for Contact Center and authorized Government end users

   (1) **Disposition: Temporary.** Cut off annually on June 30th Destroy/delete screen shots after 6 years, or after applicable contract is closed

2. **Inputs:**

   a **IREG Database** The Internet registration (IREG) application allows the public to electronically register and attain electronic filing credentials These credentials are required for accessing restricted portions of the Web Portal, signing the Form 5500/Form 5500-SF and issuing any authenticated web service request to the EFAST2 system The system will use the registration database to restrict Web Portal access, authenticate web service requests and validate filing signatures upon receipt of each filing

   (2) **Disposition: Temporary** Destroy/delete after when no longer needed for current business, or after applicable contract is closed

b **Filing Submissions.**

1   IFILE Submissions. IFILE is a free limited-function web application allowing the creation of Form 5500/5500-SF returns/reports The free Web-based application allows filers to author or upload filing components, validate filings and sign and submit completed filings Filing components consist of individual forms, schedules, and attachments When the user is finished, IFILE supports the capability to sign and submit the completed filing and IFILE transmits it electronically to the Internet Filing Acceptance Service (IFAS) of the EFAST2 System IFILE is a basic no-frills offering for the small proportion of electronic filers who do not choose to use value-added, third party software to author and submit filings to EFAST2

Disposition: See Section 4.d., Annual XML Archive File and Section 4.a., Tracking Database.

2   Certified Third Party Software Submissions. Third party software receives a *TransmissionSoftwareId* after rigorous PATS testing and certification Submissions from third party software to the EFAST2 System may include multiple filings in a single batch transmission EFAST2 third party software can be broadly divided into two categories filing preparation software and filing transmission software Filing preparation software is the software used to prepare forms and schedules, assemble them into filings, pre-validate and sign them Filing transmission software is the software used to transmit completed filings and filing status requests to EFAST2 via the web services protocol In many instances one software package may provide both functions, but this need not always be the case The two categories of software have separate functional requirements, and separate testing and certification credentials

Disposition: See Section 4.d., Annual XML Archive File and Section 4.a., Tracking Database

3 **Master Files:**

a **Input Message Archive Database** The EFAST2 Input Message Archive (IMA) serves as the primary storage and retrieval mechanism for all submitted filings not rejected at the message header level The IMA is populated by IFAS The IMA-stored filing data elements shall be as identical as possible to the original submission The IMA does not have any less data than the unprocessed, originally submitted filing information Submissions may be made through the free IFILE application available through the website or through approved third party software applications available for a fee

Disposition: See Section 4.d., Annual XML Archive File.

4 **Outputs:**

a **Tracking/Filing Status Database.** The purpose of the Tracking/Filing Status Database is to support Production Control (PC) Reports and to provide an auditable basis for measuring system performance, and to allow Government users to review and query filing information across multiple plan years Filers will receive a "receipt" within seconds of filing submission indicating that an attempt to file has occurred Filers will receive an "acknowledgment" within minutes of filing submission that indicates either acceptance or non-acceptance (with a list of error conditions) For all filing submissions received via valid web service requests, filing acceptance status including a detailed list of errors (authentication, schema errors, and edit test failures) shall be logged in a database immediately upon the conclusion of acceptance processing and made available to authorized users through the EFAST2 web portal or appropriate web service request

(3) **Disposition: Temporary** Cut off annually on June 30th Destroy/delete after 10 years, or after applicable contract is closed

b **E-Mail Archive File.** The system will send instructions to filers via E-Mail regarding IREG credentials, and filings requiring electronic signatures The Contact Center personnel will receive and respond to E-Mails from filers All E-Mails will be electronically archived in the E-Mail Archive File

(4) **Disposition: Temporary** Cut off annually on June 30th Destroy/delete after 7 years, or after applicable contract is closed

c **Output/Dissemination Database.** Data dissemination and public disclosure of EFAST2 information is provided by the Output/Dissemination Database The EFAST2 system creates structured data records for each accepted filing submission, and maintains them in a production database The EFAST2 system allows public and authorized Government users to query, view, download, and print portions of filings depending on their credentials Stakeholder distributions (extracts) will also be generated and provided to Government End Users from the Output/Dissemination database

(5) **Disposition: Temporary** Cut off annually on June 30th Destroy delete after 7 years, or after applicable contract is closed

d **Annual XML Archive File** At the end of each option period, the Contractor shall deliver the Input Message Archive (IMA) as the Annual XML Archive File to the Government for retirement to the National Archives At the end of the first year of processing, this file will contain all filings from the IMA Subsequent deliveries shall contain all filings processed since the previous distribution

(6) **Disposition: Permanent.** Cut off annually on June 30th Transfer a copy of the structured database upon approval of this schedule in accordance to 36 CFR 1228 270 After initial transfer of the database to the National Archives and Records Administration (NARA), transfer a copy of the database annually to National Archives 1 year after the beginning of each processing year

4

5 **System Documentation:**

a **EFAST2 System Documentation** The system documentation includes but is not limited to flow charts, file structure, edit tests, record layouts and IFILE documentation

(17) **Disposition: Permanent.** Cut off annually on June 30th Transfer documentation for the structured database to the National Archives at the time of initial transfer of the structured database Subsequent transfers of documentation shall take place if the system is significantly upgraded or modified *GRS 20, Item 11a(2)*

6 **EFAST2 Administrative, Management and Other Records.** Administrative and management records include records created under more usual business circumstances or when employees of the contractor interact with the public or other agencies on behalf of DOL This item may include paper or electronic communications and includes electronic copies of records that are created on electronic mail, spreadsheet, and word processing systems and used solely to generate a record keeping copy of the records covered by the other items in this schedule It also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination

a **Management Reports.** The EFAST2 system is managed in part through the Contract Work Breakdown Structure (CWBS) covering progress and expenditures, Quality Control Report covering performance indicators, Monitoring Reports, Various Deliverables and the Deliverable Review, System Issue Tracker Report covering changes needed to the EFAST2 system, and Performance Reports comparing performance indicators to performance standards

(17) (18) **Disposition: Temporary.** Cut off annually on June 30th Destroy/delete after 10 years or after applicable contract is closed

b **Business Communications and other interaction records.**

(9) (19) **Disposition: Temporary.** Cut off annually on June 30th Destroy/delete after 10 years or after applicable contract is closed

c **Electronic mail, spreadsheet, and word processing system copies.** This item includes electronic copies of records that are created on electronic mail, spreadsheet, and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule It also includes electronic copies of records created on electronic mail, spreadsheet, and word processing documents that are maintained for updating, revision, or dissemination

~~Disposition: Temporary. Destroy/delete when no longer needed~~ *GRS 20, Items 13, 14, 15.*