



Financial Management Systems Information Technology Support Services (FMS-ITSS)

**Single Award
Indefinite Delivery/Indefinite Quantity (IDIQ)**

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1.0 Introduction, Background, and Objective

The Employee Retirement Income Security Act of 1974 (ERISA) established Pension Benefit Guaranty Corporation (PBGC) as a federal corporation to encourage the growth of defined benefit pension plans, provide timely and uninterrupted payment of pension benefits and keep pension insurance premiums at a minimum. Defined benefit pension plans promise to pay a specified monthly benefit at retirement, commonly based on salary and years on the job. PBGC, a wholly owned United States Government Corporation, administers the insurance program and termination process for most defined benefit pension plans that are tax-qualified under the Internal Revenue Code.

1.1 Introduction

As reported in the 2017 Annual Report, the Pension Benefit Guaranty Corporation (PBGC) protects the pensions of nearly 40 million workers and retirees in more than 24,000 private defined benefit pension plans. The Corporation receives no funds from general tax revenues. Operations are financed by insurance premiums paid by companies that sponsor defined benefit pension plans or from the plans' assets, investment income, and assets from terminated plans. PBGC administers two insurance programs. The single-employer program protects nearly 30 million workers and retirees in about 22,500 pension plans. Under this program, a company can voluntarily seek to terminate its plan using either a standard termination or a distress termination procedure. Additionally, PBGC may seek termination of a plan without the employer's consent to protect the interest of the plan participants of the plan or of PBGC. PBGC must seek termination when a plan cannot pay current benefits. Ultimately, as a result of the termination of pension plans, PBGC pays benefits to participants and beneficiaries. In addition to the single-employer program, about 10 million people are covered by about 1,400 multiemployer plans.

PBGC is headed by a Director who is appointed by the President and subject to Senate confirmation. The Director reports to a Board of Directors consisting of the Secretaries of Labor (Chair), Commerce, and Treasury. General tax revenues do not fund PBGC. PBGC collects insurance premiums from employers that sponsor insured pension plans, earns money from investments and receives funds from pension plans it takes over. Information about PBGC can be found at: <http://www.pbgc.gov/>

PBGC is a leader among federal agencies achieving 25 consecutive years of unmodified audit opinions. To preserve this elite status, several opportunities exist to improve financial management in support of the PBGC Strategic Plan. These opportunities include focusing on the continued development of strategic resources in areas such as IT Security, Integrated Financial Systems that lead to greater operational efficiency, regulatory compliance, and the continued transformation of our IT Infrastructure Program to enable the implementation of new business solutions efficiently and securely.

1.2 Background

In order to carry out its statutory mission, the PBGC relies on the Financial Operations Department (FOD) to administer and manage the Corporation's financial and accounting programs and to prepare the financial statements for the Corporation. FOD is comprised of the following four divisions:

- **Controller Operations Division (COD):** COD's mission is to manage the general and investment accounting programs of the Corporation. COD consists of the Financial Reporting and Accounting Analysis Group (FRAAG), which administers PBGC's external financial reports and statements and responds to special PBGC financial reviews; the General Accounting Branch (GAB), which administers the general accounting programs including vendor payments, benefit funding, and budgetary funds control for PBGC; and the Investment Accounting Branch (IAB), which performs accounting functions for plan assets PBGC receives from distressed or involuntarily terminated plans.
- **Administrative Division (AD):** AD's mission is to plan and implement the administrative programs and services for FOD. In addition, AD manages PBGC wide programs for payroll, travel, and the mass transit benefit.
- **Policies, Procedures and Control Division (PPCD):** The PPCD's mission is to manage and establish financial policies and procedures, maintain internal controls through the implementation of these policies and procedures, and ensure the integration of the Corporation's financial systems. PPCD consists of the Financial Systems Branch (FSB), which oversees, coordinates, and controls the design, development, and maintenance of accounting and financial management systems and internal control processes; and the Corporate Financial Policies and Procedures Group (CFPPG), which develops, revises, implements, and communicates PBGC's financial policies and procedures.
- **Collection and Compliance Division (CCD):** CCD's mission is to administer PBGC's premium program for the receipt, accounting, collection, and internal review of receivables including: PBGC insurance premiums, interest and penalties, ERISA Section 4071 penalties, and, to a much lesser extent, Due and Unpaid Employer Contributions (DUECs), employer liability under ERISA Section 4062, and participant recoveries. CCD consists of the Premium Operations Branch (POB), which focuses on management of premiums, and the Receivables and Analysis Branch (RAB), which manages and accounts for PBGC's premium plan filings and payments. The Technical Enhancement Branch (TEB) within CCD is primarily responsible for oversight of the IT system requirements supporting the premium program.

PBGC's Financial Operations Department (FOD) conducts premium processing operations to provide premium filing, collection and enforcement services to pension practitioners (e.g., plan administrators, plan sponsors, and actuaries) allowing practitioners to comply with premium filing and payment obligations (under Title 4 of ERISA). FOD's premium operations staff also supports corporate-wide functions such as plan monitoring, plan auditing, standard terminations, legal claims, and FOIA (Freedom of Information Act) requests.

The primary services currently performed by PBGC's premium operations staff include:

- Premium filings and payments processed
- Filing error notices issued
- Invoices and past due filing notices issued
- Penalty waiver and reconsideration responses
- Practitioner inquiry responses (calls, letters, and e-mails)
- Refunds issued
- Account histories issued
- Premium financial reports
- Premium operational status reports

The Business Innovation Services Department (BISD) provides IT support to PBGC departments throughout the Corporation. BISD leverages best practices and state of the art technology to deliver IT innovation to PBGC business operations and customer service. BISD provides IT program management, IT project management, and IT contract oversight services while establishing and utilizing proven implementation approaches to further business area goals. Within BISD, the Financial Management Services Division (FMSD) provides overall IT support for financial systems and oversight of IT contracts supports those systems.

The following are the current FOD operations business processes and associated financial IT systems supporting those operations:

Premium Filing/Payment Receipt and My Plan Administration Account (MyPAA)

FOD is responsible for the processing of premium filings and associated payments that (by law) are submitted each year to PBGC and, therefore, is the primary business owner of My Plan Administration Account (MyPAA). This web application enables premium filings and payments to be electronically submitted to PBGC and provides other related services (e.g., an on-line confirmation of receipt by PBGC and an option to view PBGC's posting of a plan's filings and payments (i.e., a plan's account history). Information about PBGC's MyPAA application can be found at: <https://www.pbgc.gov/prac/prem/online-premium-filing-with-my-paa.html>

MyPAA's objective is to facilitate premium e-filings to be submitted properly (i.e., based on each year's requirements) for every plan year starting 2004 to the present (because filings for all plan years may continue to be submitted). To meet this objective, MyPAA must continue to be maintained for every plan year (starting 2004) and must also be enhanced each year to incorporate the upcoming plan year's requirements (without negatively impacting the submission of filings for prior plan years). Currently, all plans must electronically submit their yearly premium filings, in accordance with PBGC's mandatory premium e-filing regulation which was effective for all plans for plan years beginning on or after 1/1/2007. While there are similarities, each plan year has unique requirements that must be maintained and not impacted when a new plan year's requirements are implemented. The premium instructions that describe each year's filing requirements (including illustrative forms) can be found at: <https://www.pbgc.gov/prac/prem/premium-filing-payment-and-instructions.html>

In support of mandatory e-filing, My PAA must continue to offer a variety of electronic filing options to meet the business needs of the filing community, offer customer-friendly features, and comply with PBGC's business and systems requirements (e.g., internal controls and auditing requirements). Enhancements must be determined to be cost-effective and must efficiently integrate with PBGC's corporate systems and infrastructure. PBGC coordinates with private sector software vendors who market software products to practitioners and in-house developers of filing software (currently about five vendors/developers). Their software is typically purchased/utilized by practitioners to create filings for various federal agencies (e.g., PBGC, Department of Labor (DOL), and Internal Revenue Service (IRS)). In order to be used for PBGC's filings, PBGC must provide updated Extensible Markup Language (XML) schemas that vendors/developers use to update their software products to produce an XML document that conforms to PBGC's requirements. Information regarding PBGC's XML requirements and related information can be found at: <https://www.pbgc.gov/prac/prem/filings/e-filing-resources.html>

There are some primary differences between PBGC's premium filings and other agency/company filings. For example, PBGC offers three e-filing methods (rather than only one method) and requires multiple e-signatures/authorizations for many premium filings (while other agencies typically require only one e-signature) – which results in routing and e-signature routines within My PAA. In addition, PBGC requires premium payments while other agencies do not typically receive payments with their filings – which results in various payment alternatives being offered (i.e., payments may be made within My PAA or outside of My PAA).

My PAA is a secure web-based application that enables pension plan professionals (e.g., plan administrators, plan sponsors, actuaries, and consultants) to electronically submit premium filings and associated payments to PBGC for plan years 2004 and later. My PAA is the customer-facing front-end to the premium processing system. My PAA transfers premium filing and payment data to the Premium and Practitioner System (PPS) for processing and posting to plan accounts. In addition, information about payments made via My PAA is passed along to PBGC's bank via Automated Clearing House (ACH) transactions.

- My PAA Filing Options
 - Screen Prepared - My PAA's data entry and editing screens may be used to create, edit, route, e-sign, pay (within My PAA or outside of My PAA), and submit premium filings to PBGC. The received filings are then transferred to the back-end premium system for processing and posting to the plans' accounts.
 - XML Import: Private-sector software may be used to create premium filings (files that meet PBGC's XML standards). My PAA validates the structure of the XML file and imports the filings (individually or multiple filings within a batch) into My PAA's data entry and editing screens for review/routing, editing, e-signature, payment (within My PAA or outside My PAA), and submission to PBGC. The received filings are then transferred to the back-end premium system for processing and posting to the plans' accounts
 - XML Upload – Private-sector software may be used to create premium filings (files that meet PBGC's XML standards) that are uploaded (individually or multiple filings within a batch) to PBGC via My PAA. My PAA validates the structure of the XML

file and transfers the filings to the back-end premium system for processing and posting to the plans' accounts.

- My PAA also provides other on-line tasks and services to facilitate the completion of premium filings:
 - Using My PAA's data entry and editing screens, some fields may be pre-populated using information from a previous filing.
 - For screen prepared filings and for XML imported filings, premium filers can keep track of the status of the filings for each pension plan and can access on-line filing receipts that reflect the filing data submitted. For uploaded filings, the uploader can access the on-line filing receipts. Plan account histories that reflect filings and payments submitted (as well as any amounts owed or overpaid) for each plan year, may be accessed using My PAA.
 - My PAA also enables each filer to set up an account (e.g., user ID, password, and secret question/answer) in order to use My PAA.
 - My PAA e-filing teams are set up by the designated plan's "filing coordinator" (the person identified by the plan or sponsor to be responsible for coordinating the plan's on-line premium filings). After the filing coordinator "Adds a Plan" to his/her account, the filing coordinator "invites" other practitioners to be part of the plan's e-filing team and assigns each person the appropriate e-filing roles (e.g., to e-sign as the plan administrator).and the filing coordinator then makes the necessary updates as people change over time.
- MyPAA Premium Payment Options -
 - MyPAA Application: Premium payments may be made within My PAA (along with the associated filing) via Automated Clearing House (ACH) information and payment details. This information is routed via a secure FedACHService web service to the My PAA ACH processor, Pay.gov. **NOTE:** Only single-filing uploads may be paid within My PAA or outside of MyPAA. If a premium filing was uploaded to MyPAA, and contains multiple filings, each filing must be paid separately outside of My PAA.
 - Outside of MyPAA Application: Premium payments may also be made outside of MyPAA, directly with Pay.gov using ACH payment information, with or without an associated premium filing. Lastly, those practitioners who prefer to pay via wire transfer can also utilize Fedwire.
- My Plan Administrator Account (My PAA) Administrator Module - For internal management purposes, My PAA provides FOD with the My PAA Admin Module to facilitate the following administrative functions:
 - Perform premium filing support activities and to access related reports
 - Support functionality for a user to set up an account (e.g., with a user ID, password and secret question/answer) and to make changes (e.g., to the user's name and email address).
 - Approve filing coordinator requests to "add a plan" to their accounts if their submitted data does not match the premium system data
 - Reset user passwords

- Assist filers if their filing coordinator has left the filing team (without designating another filing coordinator)
- Access My PAA report data for daily monitoring activities (e.g., cash reconciliation).
- Technical Framework: My PAA is an n-tiered distributed web architecture and is logically divided into three main parts:
 - Customer Module – public facing interface that PBGC’s practitioner customers use to submit premium filings and payments
 - System integration components – the use of Business Process Execution Language (BPEL) and Web Services to submit filing transactions from My PAA to the Premium Accounting System.
 - Admin Module – internal PBGC utility to allow FOD staff to provide support to practitioners using the Customer Module and to provide an interface to monitor operations

The My PAA system architecture was developed as a combination of .NET, Java Platform, Enterprise Edition (J2EE), and Oracle technologies. The system utilizes a combination of Extensible Hypertext Markup Language (XHTML), Java Server Pages (JSP), XML, Java, Visual Basic (VB), and service-oriented architecture (SOA) principles and methodologies.

The My PAA Customer Module is an n-tiered .NET application comprising of a presentation tier, business logic tier, and data tier. The customer module presentation tier is designed and developed utilizing Web based technologies including JavaScript, Asynchronous Javascript and XML (AJAX), XHTML, and VB coding principles. The presentation tier also uses cascading style sheets (CSS) with industry standard form controls provided by the Bootstrap front-end framework.

An XML validation utility is also provided for the practitioners and vendors, so they can make any updates to XML formatted filings prior to submitting to MyPAA via the import or upload function. The MyPAA Vendor validator is an independent Web application module on the Java 2 Platform, Enterprise Edition (J2EE) Framework. Although not yet bundled with the Customer Module interface, the vendor validator is currently a stand-alone utility in the Production DMZ.

The data integration and middle tier consists of the Data Access Objects, for the transport of data between the different tiers, and Web services classes developed utilizing a combination of SOA principles to transport data between the presentation and business logic tiers.

My PAA Admin Module is an n-tiered application built on the Java 2 Platform, Enterprise Edition (J2EE) framework. The Web application is deployed on an Oracle application server that runs on a Linux server behind the PBGC firewall. The presentation tier consists of Java Server Pages (JSPs) and Java Servlets that are largely responsible for data display, data formatting and data capture functions. The business tier consists of JavaBeans that retrieve data and perform transactions on user entered data. The My PAA business tier connects to the database tier using Java Database Connectivity (JDBC).

Finally, the system also includes a Business Process Execution Language (BPEL) process that is deployed to separate Linux servers and is used to submit filings and payments submitted through

the My PAA application to the PPS system. The BPEL processor listens for filings placed on Oracle's Advance Queue for processing, once these filings are placed on the queue the filings are processed by BPEL and submitted to PPS for processing.

- My PAA Integration with Premium and Practitioner System (PPS): Premium filings submitted through My PAA are automatically loaded into the back-end premium accounting system (through the use of web services) for processing and posting to plan account histories. The PPS is the system of record for premium filings and payments received by PBGC for each plan year. PPS uses a web service to receive and validate the filing and payment information received from My PAA. It creates an image of the electronic data, processes filings and payments per normal procedures, computes any interest and penalty owed, and calculates overpayments (amounts owed to plans) and underpayments (amounts owed to PBGC for underpaid premiums or for late premiums). This information is included in the plan account histories and invoices that are issued for each plan year. In addition, the premium system determines whether filings are missing so that past due filing notices may be issued and reports may be generated that provide financial information for PBGC's annual reports.

In addition to My PAA submitting the premium filings to PPS, there is additional interaction between the two systems. For example, when a filing is created via the My PAA data entry and editing screens, My PAA uses a web service to request plan information from PPS and automatically prepopulates some form fields (e.g., address information) to make it easier for filers to create a new filing. Also, after this screen prepared e-filing is submitted, an online receipt is generated that includes the submitted filing information and the date and time of receipt by PBGC. The date and time is also used by the premium system for its date-related processing functions. In addition, after a filing is submitted and posted to the plan's account history (which shows the filing information, any late payment charges, and any overpayments and underpayments for each plan year), the account history from PPS is available as a web service to My PAA for online filer access. Additionally, enhancements are planned to increase the information provided to premium filers by MyPAA as sourced from PPS as well as additional means of correspondence and communication between FOD and premium filers.

Premium Filing Processing/Validation, Premium Accounting, Plan Administration and Premium and Practitioner System (PPS)

FOD processes premium filings and payments to prepare financial statements and administer the Corporation's financial and accounting programs. FOD currently uses the Premium and Practitioner System (PPS) to automate the filing processes and facilitate premium filing, collection, and enforcement services. PPS is effectively PBGC's accounts receivable sub-ledger for premium payments as well as processor for premium filings and plan management. PPS replaced the legacy Premium Accounting System (PAS) in December 2013.

PPS represents a hybrid between legacy, custom-Java coded PAS components and new Oracle E-Business Suite (EBS) COTS components that have been customized for PBGC premium operations. EBS was upgraded to Release 12.1.3 (R12) in August of 2014 with plans to upgrade again in the near future. The majority of PPS reporting is done via Oracle XML and BI Publisher. The legacy PPS components use Oracle Forms 10g, Reports 10g, PL/SQL, JAVA and J2EE (on middle tiers) to process filing information and to calculate the premium, interest, and

penalties due from defined-benefit pension plans. It also applies the cash received from each plan against amounts due to PBGC and generates plan specific Statement of Accounts (SOAs) for unpaid premiums, interest, and penalties. It generates Past Due Filing Notices (PDFNs) to be sent to those plan administrators who fail to file. These middle tier servers utilize an RHEL operating system along with Oracle Weblogic.

PPS requires skilled, technical services to resolve production issues, provide subject-matter expertise, and ensure that the PPS system remains operational and effective in supporting FOD business processes, premium operations, and accounting and reporting of premium financial transactions.

The PPS O&M team should be familiar with the following technologies that make up the system:

- Oracle E-Business-Suite (EBS) Release 12 including: TCA Module, CRM Teleservices Module, GL Integration, AP Processes
- Oracle EBS Forms and Reports
- Oracle BI Publisher
- Oracle Weblogic server
- Oracle Rules Engine
- Java Web services
- Oracle 11g/12C database administration
- UNIX shell scripting and cron jobs
- Java/J2EE
- PL/SQL
- Spring Framework
- iBatis
- Oracle ADF
- JAX-WS JAXB

PBGC developed PPS using a phased approach to deliver desired features within the following four releases:

- GL Interface Release (Released May, 2013): The GL Interface Release was a custom program and supporting components that transfers journal entries from PPS to the CFS. The effort included application flows (both manual and programmatic steps), the definition of custom forms and reports, details on Oracle E-Business Suite 11.5.10 configuration, and the definition of interface components including source to target table mapping and processing rules
- 2014 Filing Changes Release (Released in December, 2013) - 2014 Filing Changes Release: The objective of the 2014 Filing Changes was to enhance the PPS 2.0 system by implementing the 2014 filing and processing changes and to maintain the operational stability and performance of the system in the production environment. Because of regulatory changes approved by the Office of Management and Budget (OMB), changes were implemented as configurable rule sets to be turned on for PYC 1/1/2014, or later, depending upon the outcome of OMB's process.

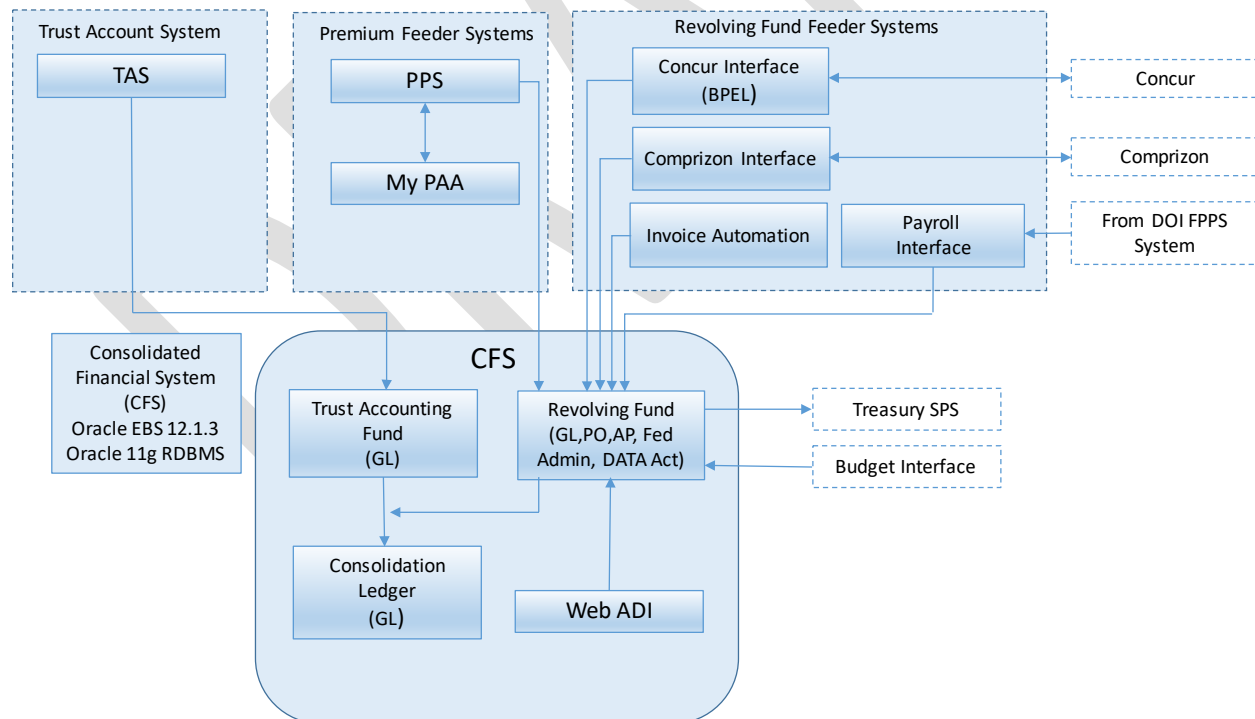
The following provides a brief description of the PPS automated interfaces.

- **My Plan Administration Account (MyPAA):** The MyPAA interface enables PBGC to send filings collected in MyPAA to the PPS solution. Filings are interfaced through a PPS hosted web service. Additional webservices between the systems are discussed above.
- **Customer Correspondence System (CCS):** The PPS letter generation components interface with CCS to generate and print SOA, PDFN and NFE letters. The program specifies letter contents and letter templates and uses an CCS hosted web services to interface letter data to the CCS solution.
- **Image Processing System (IPS):** Interfaces images of filings and payments to the Image Process Systems (IPS) for storage, using web services. The PPS solution also enables end-users to open and view filing and payment related images stored on IPS.
- **Bank of America (BOA):** The PPS solution receives payment files (from check deposits) from BOA through an automated SFTP process. The PPS preprocessor loads and processes these files. This is being replaced by another interface for Lockbox receipt of payments and correspondence.
- **Department of Labor ERISA Filing Acceptance System II (DOL EFAST2):** Form 5500 data is provided from the DOL to the solution for matching purposes. Data is sent through flat files that are transferred to a file server via SFTP.
- **Case Management System (CMS):** The CMS Interface enables the processing of information related to Coverage Determinations, Plan Terminations, Trusteeships, and Bankruptcy cases managed within the CMS system.
- **Risk Management and Early Warning (RMEW):** The RMEW interface extracts Single Employer and Multiemployer premium filing data from the solution for use in CFRD actuarial PPS calculations for the yearly contingency list, and for assessing the health of the plan.
- **Corporate Performance Reporting System (CPRS):** CPRS is an automated warehouse that provides historical premium and plan filing information and plan termination information for reporting, research, and analysis.
- **Corporate Data Management System (CDMS):** CDMS is an automated warehouse that provides historical premium and plan filing information and plan termination information for reporting, research, and analysis.
- **Treasury's FedDebt:** Provides payment information for any debt owed to PBGC that was referred to FedDebt for delinquent collections and that they successfully collected. New functionality is now in development that will also automatically refer new delinquent debt to FedDebt. The interface transfers flat files through Direct:Connect software.

- Treasury Collections Information Repository (CIR): A daily extract file, transferred by VPN, provides payment information for different types of Treasury payment sources including Pay.gov, Credit gateway-ACH, Credit Gateway-Fedwire and Bank of America. Along with other attributes of transaction such as Transaction date, Amount, EIN/PN/PYC, the extract captures the status of each transaction (e.g., Settled and Returned).
- PBGC IPVFB: IPVFB is an actuarial valuation system used to determine the PBGC's Present Value of Future Benefits liability. IPVFB uses PPS data to support the Actuarial Services Department in reviewing Nonseriatim (NS) Multiemployer (ME) data submitted through form 5500 filings with the Department of Labor (DOL) "EFAST" system.

Financial Accounting, Financial Management, Financial Statement Generation and Consolidated Financial System (CFS)

FOD is responsible for all PBGC financial accounting, financial management and financial statement generation. Supporting all of these activities is the CFS system. CFS is a major information system within FOD and is an essential application for Continuity of Operations Plan (COOP) purposes. The CFS addresses the PBGC's budgetary, fiscal, financial, management, and reporting needs for the enterprise revolving fund, trust accounting, and consolidated financial operations. The following diagram shows the high-level architecture of the CFS system and its internal/external interfaces:



The CFS is comprised of the following systems:

- The Consolidated Financial System Revolving Fund System; and

- The Consolidated Financial System Consolidated System.

Each of these components is described in greater detail below:

- The Consolidated Financial System Revolving Fund System - The General Accounting Branch (GAB) is the primary user of the CFS Revolving Fund System. It is comprised of the following subsystems:
 - o Oracle Federal Financials for Revolving Fund Accounting; Oracle Federal Financials Revolving Fund is a set of functionality based on the Oracle Federal Financials Commercial Off-the-Shelf software package, Oracle e-business Suite, version 12.1.3, and running on the Oracle Relational Database Management System 11.2.0.3 (to be upgraded to 12c). The Revolving Fund system records budgetary, administrative and operational transactions associated with PBGC's revolving fund accounts. The Revolving Fund system is a major information system and is identified as an essential application for Continuity of Operations Plan purposes. The Revolving Fund system is comprised of the following Oracle Federal Financial modules: Oracle General Ledger, Oracle Financial Statement Generator, Oracle Federal Administrator, Oracle Purchasing, Oracle Accounts Payable and Oracle HR (employee table maintenance only) modules along with Oracle's Mass Allocation and Cross Validation functionality and Oracle's Systems Administration functionality. The Revolving Fund system is mainly used by the General Accounting Branch (GAB), Budget Department, Budget Liaison Officers and Contracting Officer's Representatives. The Revolving Fund system is a subsidiary ledger to the PBGC's consolidated financial reports. The CFS Revolving Fund system supports single year and multi-year funds. There are approximately 300 active users in the system. The CFS Revolving Fund system utilizes standard, customized and Financial Statement Generator reports. There are approximately 75 custom oracle reports and Financial Statement Generator reports currently in use. The Revolving Fund system incorporates certain custom extensions, objects, code and personalized forms to assist with user needs and further enhance security and internal controls.
 - o DATA Act Reporting: An integrated Processing solution within CFS, which enabled PBGC to fully meet DATA Act requirements; including ingesting required data, transforming data to meet standards, storing/archiving data, reconciling data inputs, and reporting required data to the US Treasury. This reporting was operationalized in April-2017.
 - o Government-wide Treasury Account Symbol Adjusted Trial Balance System (GTAS) Functionality – PBGC has implemented Oracle GTAS patches to ensure continuation of vendor support, product upgradability and it also provides PBGC the opportunity to automate and improve the reporting processes, by furthering the use of CFS as the prime application for government reporting. GTAS and existing FACTS II reporting is currently executed outside of the CFS application. With implementation of the GTAS patches in January-2018, PBGC is planning to leverage the automated GTAS Bulk File generation from within the COTS product.

- Web Application Desktop Integrator (Web-ADI) for Revolving Fund Accounting; The Application Desktop Integrator is an automated, Excel-based Oracle Commercial Off-the-Shelf package that allows authorized CFS General Ledger users to prepare journal entries in Microsoft Excel format to import into the CFS General Ledger for posting. This application provides CFS users the flexibility of maintaining a secured, organized library of journal entries required for PBGC's ongoing accounting operations. The application does data validation upon the start of the import process to ensure that entries created using the Application Desktop Integrator conform to the security and validation rules defined within the CFS Revolving general ledger module. Currently the Application Desktop Integrator is a web version of Application Desktop Integrator.
- Comprizon Interface; The Comprizon Interface is an automated interface between PBGC's Comprizon application and the CFS Application. Solicitations and contract awards entered into Comprizon are automatically transferred to the CFS for the appropriate commitment and obligation accounting. Comprizon is a Commercial Off-the-Shelf application provided by CACI. The CFS Comprizon Interface is specifically designed between CFS and Comprizon to communicate and transfer transaction data and statuses between the two systems. The CFS Comprizon Interface is a backend process that uses a DB-Link to access the ComprizonSuite External Interface Manager (EIM) database schema to pull and push transaction data. The following transactions are transferred to CFS and imported into Payables and Purchasing Oracle modules:
 - o COFA (Check of Funds Availability);
 - o Commitments;
 - o De-commitments;
 - o Obligations; and,
 - o De-obligations.

Upon a successful or unsuccessful import the Interface provides a status data back to the Comprizon system.

- Payroll Interface; PBGC payroll is processed by the Department of Interior (DOI) payroll system. DOI provides a summary transaction file to PBGC for each payroll process, which is used to update PBGC's financial system. The processing of this file is handled by the Payroll Interface System. Payroll Interface System was developed in the fiscal year 2011 to replace a legacy PowerBuilder solution. The PBGC Payroll Travel Office (PTO) staff downloads a file from DOI into the PBGC network and place it in a secured folder ready for processing. Payroll Interface is an Oracle technology (forms, reports, and Structured Query Language/Procedural Language-Structured Query Language) based application bolt-on to the CFS. This bolt-on reads, validates, aggregates, and imports payroll results from the DOI Federal Personnel/Payroll System into the CFS. Once the file has been properly processed and imported into the CFS, the source payroll file is archived onto the secure FOD drive for retention purposes. The CFS custom payroll interface tables does retain certain Personally Identifiable Information data, however that data is encrypted. The Interface provides the capability to generate multiple reports and export them to Microsoft Excel or Adobe Portable Document Format (PDF).

- **CFS Concur Interface;** PBGC uses GSA provided Concur system for its travel needs. Concur is a web-based system which manages PBGC employees' official travel plans. Concur provides an online end-to-end service for PBGC employees and is more specifically used to plan, book, reserve, track, and approve travel reservations and process reimbursements for travel services. The purpose of the CFS Concur Interface is to integrate the PBGC's Concur and CFS systems. The CFS Concur Interface was developed and deployed in Aug 2014. The scope of the CFS Concur Interface starts when the SOAP message is sent to Demilitarized Zone (DMZ) from the Concur CGE EAI Web Service call, which defines the way to process the transaction within the CFS system and also sends back the expected Status response to Concur application. The references made are with respect to CFS system. All Travel transactions will be initiated in Concur by the Traveler or the preparer on behalf of the traveler. A traveler in Concur is always defined as either an employee or an invitational traveler. The Travel Authorization, Travel Advance, Pre-Trip Vouchers, Local Vouchers and Vouchers are the major transactions which are created in Concur and received by CFS. Once travel transaction is stamped PTO FINAL APPROVED, Concur sends the transaction data to CFS, The transactions then must be validated by the CFS Concur Interface which determines the state of document based on the Pass or Fail response. A document in Concur is not considered to be "Completed" until the successful Document Status response is returned from CFS. CFS returns a Document Status (DocumentStatus) response to Concur based on the type of transaction. Once the document status is returned from CFS, CFS Concur Interface will populate CFS with successfully transmitted through the interface data.

- **Invoice Automation;** Invoice Automation is an automated workflow that links PBGC's Image Processing System (IPS) Document Manager (DM) with the CFS. Invoices are scanned into the IPS DM and then automatically transferred to the CFS workflow via Business Process Execution Language (BPEL). Prior to the fiscal year 2011 PBGC used a manual, paper-based procedure for the invoice processing and tracking. The Invoice Tracking System (ITS) was providing basic tracking and notification and was an internally developed, custom Access system. The Invoice Automation project was designed to provide an automated process to transfer the invoice scanned image and metadata from the Document Management System (DMS) to CFS, and to automatically generate invoice entries into CFS. The CFS Invoice Automation System is designed to have two major components:
 - o CFS Invoice Automation Business Process Execution Language (BPEL) process
 - o Contracting Officer Representative (COR) Approval Workflow

The Invoice Automation process transfers the invoice scanned image and metadata from the IPS Document Manager to CFS. Invoices are scanned into the FileNet image repository and kept on the PBGC Image Processing system (IPS) and then automatically transferred to the CFS staging area via BPEL. The BPEL process invokes the CFS System to receive the Invoice metadata and it will send an Acknowledgement Notification back to DMS. It will parse the Invoice metadata schema file and load the file into the CFS staging tables. The scheduled COR Approval Workflow will process the records from the staging tables and import them into the CFS Open Interface once the COR has approved the invoice for payment. The system will call the Payable Import Program to populate the records into Oracle Payables. This program will create Invoices in CFS automatically with distribution details. The image of the invoice can be viewed during the approval process and after the CFS import. In addition the Interface provides the capability to generate multiple reports and export them to Microsoft Excel or Adobe PDF.

PBGC is currently working to adopt Treasury's shared service invoice solution Invoice Processing Platform (IPP) by summer of 2018.

- **Budget Execution Interface;** The PBGC Budget Execution Open Interface is automated, Structured Query Language-based, customized, software that processes data from customized Excel spreadsheets to create a CFS -formatted journal entry file for import into the Oracle Financials – Revolving Fund's General Ledger module. The Budget Interface allows the loading of budget Appropriation, Apportionment and Allotment transactions into the Oracle CFS Federal Admin module so that funding can be allocated to various projects. It was developed in the fiscal year 2009. The interface accepts an Excel worksheet (comma separated file) as the source data for loading records through the budget execution open interface tables. The interface is comprised of four distinct processes:

- o Loading budget data;
- o Staging data in temporary tables;
- o Validating business rules; and,
- o Uploading data into CFS through the budget open interface tables.
- o Secure Payment System; and,

- **The Secure Payment System (SPS)** is an application that provides a mechanism by which government agencies can create payment schedules in a secure fashion, and with a strictly enforced separation of duties. This application allows personnel at Federal Program Agency (FPA) locations to submit payment schedules to Financial Management Services (FMS) over a browser/web interface. Two different user-types and roles are required for an FPA to submit schedules to SPS. These are:

- o A Data Entry Operator (DEO) who creates a schedule and submits the schedule for certification; and,
- o A Certifying Officer (CO) who examines the schedule and upon verification, certifies the schedule which results in the schedule being submitted to FMS.

The Payment files are generated from the CFS Account Payables module and saved to a secure file folder. The file is transferred to a secure Universal Serial Bus (USB) flash drive and provided to the SPS user for loading into the SPS application.

- **PPS General Ledger and Premium Refund Interface.** The GL Interface Release was a custom program and supporting components that transfers journal entries from PPS to the CFS. The effort included application flows (both manual and programmatic steps), the definition of custom forms and reports, details on Oracle E-Business Suite configuration, and the definition of interface components including source to target table mapping and processing rules. The Premium Refund Interface is automated customized software that transfers premium refund invoices from the PPS into the Oracle Financials – Revolving Fund's interface tables for import into the Accounts Payable Module of Revolving Set of Books for processing and payment. This interface is supported by the Premium Practitioner System technical team. The Refund interface provides a summary of refund invoices for CFS which is automated to load into CFS, via the GL Interface table(s).

- **TAS and Trust Accounting System Interface.** The Trust Accounting System (TAS) interface is an automated interface between PBGC's TAS application and CFS. The TAS application is a sub ledger used to account for all trust accounting transactions. Every month a summary journal is sent through an automated interface to be loaded into the CFS trust set of books. TAS is based on the Commercial off-the Shelf (COTS) solution, Eagle Investment Systems Accounting & Data Management (ADMS). TAS (Eagle ADMS) and CFS TAS interface are deployed in production in January 2013. TAS (Eagle ADMS) sends summarized Trust posting transactions by Plan in a set of three CSV files. All financial transactions are transferred through a Secure File Transfer Protocol (SFTP) connection between TAS (Eagle ADMS) and CFS. CFS will receive monthly and yearly trust posting transactions. Once the files are received by PBGC, an automated interface processes the transaction files and imports a journal entry into the GL interface tables. A reconciliation process is conducted to ensure that the data reconciles between the TAS application and CFS. In addition the Interface provides the capability to generate multiple reports and export them to Microsoft Excel or Adobe Portable Document Format.
- **The Consolidated Financial System Consolidated Financials.** The Financial Reporting and Accounting Analysis Group is the primary user of the CFS Consolidated Financials to prepare PBGC's quarterly and annual financial statements. It consolidates summary level data from the Trust Set of Books and Revolving Set of Books. The CFS Consolidated Ledger utilizes Oracle customized and Financial Statement Generator reports. There are approximately ten custom Oracle Reports and Financial Statement Generators being maintained for use by system.

Trust Accounting and the Trust Accounting Systems (TAS)

This trust accounting area involves a group of business processes that perform accounting for assets of terminated pension plans. This includes the transfer of assets to the PBGC custodian bank (State Street Bank), from other financial institutions after the DOTR, as well as the accounting for commingled assets at the PBGC custodian bank. This group of business processes is unique to PBGC and is performed by the FOD Investment Accounting Branch (IAB). IAB responsibilities include:

- **Asset Accounting:** IAB staff members record accounting transactions of terminated plans as of the date of plan termination (DOPT).
- **Current Value Accounting:** IAB monitors and records the current value of assets, income and expenses, after DOPT, until the assets have been transferred to PBGC's custodian bank (State Street).
- **Transfer of Plan Asset Accounting:** IAB records all transfer of plan assets from a plan's interim custodian bank to PBGC's custodian bank (State Street) until all plan assets have been received and commingled with other PBGC managed assets.
- **Commingled Asset Accounting:** IAB monitors and records transactions for commingled assets after the date of commingling.
- **Financial Reporting:** IAB prepares, generates and reviews reports from the Trust Accounting system and the Consolidated Financial System (CFS) and submits to appropriate entities.

- **Month, Quarter, and Year End Processing:** These processes include verifying that all transactions have successfully posted, closing the current month, preparing and submitting various financial reports and providing information needed by the Financial Reporting and Account Analysis Group (FRAAG) to prepare internal and external reports. The year-end closing process includes both manual and automated steps.

Financial Reporting and Account Analysis Group (FRAAG) The Financial Reporting and Account Analysis Group (FRAAG) is responsible for the preparation and issuance of the Corporation's annual financial statements and internal monthly and quarterly reports. FRAAG responsibilities include:

- **Financial Reporting:** FRAAG prepares and issues PBGC's financial statements on a quarterly and annual basis. FRAAG also prepares and issues all financial data for the Government-wide Financial Reporting System (GFRS) at the Treasury Department.
- **Account Analysis:** FRAAG reviews the Account Analysis reports (provided by the Investment Accounting Branch and the General Accounting Branch) which detail various transactions of the trust and revolving funds to prepare financial statements.
- **Chart of Account Maintenance:** FRAAG maintains and manages the Chart of Accounts for the Consolidated Financial System (CFS).
- **Audit Information:** FRAAG serves as the Point of Contact (POC) for all FOD audit deliverables.
- **Fluctuation Analysis:** FRAAG performs quarterly and year-end analysis detailing changes in material asset, liability, income, and expense accounts and also in cash flow line items.

The Trust Accounting System (TAS) currently supports the trust accounting area. It is a major information system, leased by FOD. The TAS is comprised of the commercial off-the-shelf (COTS) product, Eagle Accounting and Data Management Solution (ADMS), and is hosted by Eagle Investment Systems LLC. Eagle Investments is a subsidiary of Bank of New York/Mellon. The service is hosted at the Bank of New York/Mellon Data Center based in Pittsburgh, PA.

The TAS has been in production since January 2013. The TAS is predominantly used for the financial reporting of the assets of plans terminated by PBGC prior to PBGC's trusteeship (non-commingled) and the management and financial reporting of assets of plans trusted by PBGC once they have been transferred to PBGC's custodian bank (commingled). The majority of the TAS and its supporting components have been developed by configuring and customizing the COTS Eagle ADMS application. In addition, various interfaces have been developed between Eagle ADMS and PBGC applications to ensure seamless integration. Accounting for terminated pension plans from the date of plan termination (DOPT) through the date of trusteeship (DOTR) and for the commingled trust portfolio assets is a critical component of PBGC's financial responsibilities. It is a continuous effort to ensure this process is streamlined through the use of technologies that meet the requirements and goals of the PBGC. While PBGC is currently running Eagle ADMS version 13, PBGC is actively engaged in an upgrade to the latest version (Eagle ADMS 2017 R2) with implementation scheduled for December 2018. The Eagle ADMS

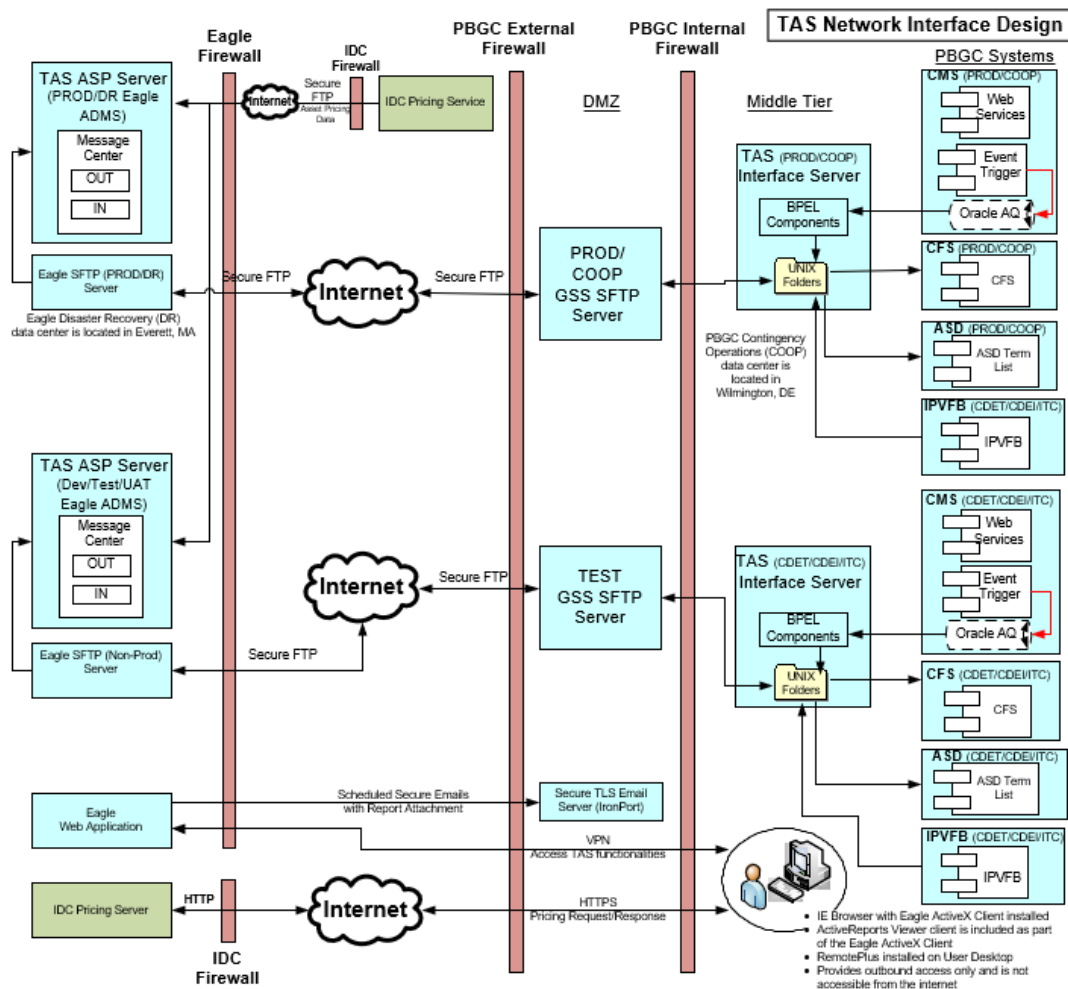
toolset is built using the Microsoft Web Platform Framework) and Eagle provides tools to configure web panels and application navigation. The Eagle ADMS message based architecture is designed to support template based data imports which PBGC uses extensively to reduce data entry within the web panels. To meet reporting needs, PBGC has extended the tables maintained in the accounting products Online transaction processing (OLTP) toolset through custom tables maintained in the built in Eagle ADMS data warehouse. Custom background processes provide near real time synchronization between the OLTP environment and the data warehouse component. There are two types of reports integrated directly within the application. General reporting using Eagle's interactive "STAR" reporting toolset is maintained through the Eagle ADMS toolset. Advanced structured reporting needs are met using Grape City's Active Reports 11 accessed by users directly within the Eagle ADMS application.

TAS support responsibilities include maintenance of interfaces between the hosted Eagle ADMS solution and PBGC's internal Case Management System (CMS), Individual Present Value of Future Benefits System (IPVFB) and Consolidated Financial System(CFS). Additionally, integration with PBGC's securities pricing system from Interactive Data Corporation (IDC) is also supported. Finally, functionality to support integration with PBGC's commingled fund custodian is also supported.

PBGC has configured the Eagle ADMS product to fulfill PBGC requirements. Support for these configurations is a core component of the O&M responsibilities. These configurations include:

- 100 custom Panels and 18 configured panels
- 95 Custom Advance Reports and 8 General Interactive Reports
- Custom Account Mapping to match the combination of Eagle Accounts and Security Types to PBGC GL accounts
- Custom Message Streams to integrate data from the PBGC Case Management System, the PBGC Individual Present Value of Future Benefits (IPVFB) System, the PBGC Consolidated Financial System, IDC, and additional integration via template with PBGC's commingled custodian bank, State Street
- Custom scheduled periodic processes such as the Functional Extended Attribute Table (FEAT), Mass Change of balances at Trusteeship, Fiscal Year File processes to update liability balances imported from the Individual Present Value of Future Benefits application, and other functions that support reporting and the creation of accounting journals (60 total scheduled jobs)
- PBGC specific security roles and configurations (35 roles and 16 product groups which provide the users their amalgam of roles specific to their job)

The following represents the TAS environment to be supported including the described interfaces:



1.3 Objective

The objective of this effort is to obtain contractor information technology (IT) systems engineering support services via a single-award, indefinite delivery/indefinite quantity (IDIQ) contract. PBGC is seeking to contract the areas outlined in this solicitation for systems development and technical support for PBGC's financial management IT systems.

2.0 Scope

The scope consists of IT system engineering and support services in the support of financial management systems (FMS), as described in the background above, to include development, modernization, enhancement (DME), steady state (SS)/Operations and Maintenance (O&M), and professional advisory/consulting services necessary to PBGC. The scope of the effort will also include support for additional financial systems added to the FMS inventory or developed to replace FMS IT systems supporting the business areas and processes described above. This

extends to support for any IT systems that in the future could support the business operations and processes supported by current the FMS systems described.

PBGC will award a single-award IDIQ to fill anticipated repetitive needs for services by establishing an agreement with a qualified contractor. Specific work will be ordered via task orders (TOs) placed under the awarded IDIQ contract.

2.1 IDIQ Ceiling

The ceiling for the IDIQ base periods and options shall not exceed \$100 million.

2.2 Type

TOs will be Fixed Price (FP), Labor/Hour (LH), Time and Materials (TM) or a hybrid of one or more of FP, LH or TM.

2.3 Period of Performance (POP) and Funding Strategy

2.3.1 Contract POP

The contract is for a base period of one year and four one-year option periods. This brings the total POP to 5 years.

2.3.2 TO POP

TOs may be either severable and limited to a POP not to exceed one year, or non-severable and may span for POP durations for longer than a year.

2.3.3 TO Funding Strategy

Depending on the nature of the TO, TOs may be funded with one-year, two-year, or no-year funds, as appropriate.

2.4 Program and Task Order Management

The contractor shall identify a Program Manager (PgM) by name to provide overarching management, direction, administration, quality assurance, and leadership of all task orders issued under this contract. The PgM will maintain the progress and productive mutual interaction of various parties in such a way that overall risk of program and project failure is reduced. The PgM will have the ability to adapt to the various internal procedures, and to form close links with the nominated PBGC representatives to ensure that the key issues of cost, time, quality, and client satisfaction, can be realized. The PgM will:

- Develop and deliver a program management plan that defines how the program manager will accomplish the tasks identified in this section.
- Ensure consistent practices and coordination among task orders and work being conducted within a task order. This includes management and oversight of all project management plans, configuration management plans, and other project, system-level or subsidiary planning.

- Coordinate activities across systems within and among awarded task orders (i.e. end-to-end integrated testing, peak period performance testing, etc).
- Identify and balance resources among and within task orders to ensure the most efficient staffing required to meet PBGC's goals.
- Provide aggregate program reporting that summarizes program status for all task orders, systems and projects supported. This reporting should include:
 - Program level summary of system and project status
 - Program roadmap identifying current and future projects and milestones
 - Demonstrated stabilization of the systems with identification of enhancements to defect resolution ratio.
 - Program level customer satisfaction
 - Management reporting demonstrating 1) trends in system operations and performance, 2) impacts of proposed changes and 3) other data important for PBGC decision making.
- Facilitate the work required and enable an adequate level of communication with the Government.
- Oversight of all activities performed by contractor personnel, including subcontractors, to satisfy the requirements identified in this contract.
- Prepare and maintain work plans, schedules, estimates and/or technical approach recommendations necessary to complete any TO awarded under this contract.
- Maintain access to resources that can be called upon to fulfill task order requirements under the contract.
- Prepare and monitor quality assurance plan to ensure services and deliverables for the contract meet the highest level of quality. At a minimum, the quality assurance plan should include peer and/or secondary review of review of documentation, code, and other deliverables submitted.
- Prepare and conduct monthly Program Management Reviews (PMRs) with PBGC staff as agreed with COR to review contract performance across all task areas, system performance and overall program performance in meeting program objectives.

PBGC will not issue a separate task order to institute or maintain these Program and Task Order management support activities. Program and Task Order management should be incorporated into TOs as required to meet the objectives listed above.

2.5 Task Order Areas

PBGC anticipates the need for work to be performed related to the overall mission of its financial management systems (FMS) that cannot be currently defined. It is recognized that there are unspecified mission requirements that are consistent with the FMS overall scope and goals that constitute needed systems engineering and IT support services that are acquired by placing TOs under this contract. The Contractor and/or the Government may identify these needs and recommend corrective action via TO issuance during any period of performance. Systems

engineering and IT support services are defined for the purposes of this solicitation as the set of activities related to the design, development, implementation, operation and maintenance of FMS and/or the integration with other systems. Systems engineering and IT support services is inclusive of the entire solutions life cycle from conception to decommission. TOs generally include any one or more of the following system engineering and IT support services activities:

- Project Management Support
 - Project Management
 - Change Management
 - Release Management
 - Demand and Backlog Management
 - Configuration Management
 - Issue and Risk Management
 - Status Reporting
 - Integrated Project Team (IPT)
 - Meeting Participation
- Systems Development and Engineering
 - Requirements Definition, Analysis and Specification
 - Design and Design Specification
 - Development (Prototyping, Coding and Configuration)
 - Testing
 - Implementation and Deployment
 - Operations Turnover
- Operations and Maintenance
 - Tier-3 Technical and Operations Support
 - Enhanced Peak Period Support (i.e. fiscal-year end, peak premium filing season)
 - Maintenance/Emergency Release Development and Configuration
 - Infrastructure Impact Analysis, Testing and Remediation
 - Integration Impact Analysis, Testing and Remediation
 - Financial and Enterprise Reporting
 - System Decommissioning
- Program Analysis and Enterprise Architecture (EA) Support
 - Business Needs Analysis
 - Alternatives Analysis and Feasibility Studies
 - Technical Reference Model/Review Board (TRM/TRB) Support
 - Data Model Development and Maintenance
- Training
- Continuity of Operations (COOP) Support
- System Documentation, Documentation Maintenance and Technical Writing

- Data Quality Management
 - Data/File Migration and Conversion
 - Data/File Validation
- Data Call Support
- Professional Advisory/Consulting Services
 - Business Process Automation/Re-engineering
 - Financial System Analysis and Strategy
 - Technical Analysis
 - Special Studies
 - Staff Augmentation
- IT Security
- Transition Support
 - Transition from Incumbent
 - Transition to PBGC and/or new vendor

The actual approval and assignment of needed TO services shall be accomplished through TOs within the overall scope of the contract and the available funds within the contract ceiling. TOs will be specifically defined in a Statement of Work (SOW), Statement of Objectives (SOO) or Performance Work Statement (PWS) issued by the Contracting Officer to the Contractor. Deliverables, reports, and time schedules will be established at the time of the TO. The requiring pricing will be specified in the TO request.

3.0 FMS-ITSS Task Areas

3.1 Project Management Support

3.1.1 Project Management

The contractor shall conduct project management activities to actively plan and manage ongoing projects. The contractor shall:

- Develop project management plans and project baselines for identified projects to include releases or any activity where resources are deployed to make changes to or support the FMS systems
- Conduct scope management to ensure project scope is baselined and changes to scope are managed through the project lifecycle. Establish and follow procedures for release scope management and change control, including an impact assessment.
- Conduct schedule management to include establishing a resource-loaded and baselined schedule in PBGC's approved project management system (currently Microsoft Project, a.k.a. P3M)
- Conduct cost management to ensure baselined costs are maintained and managed throughout the project lifecycle to include reporting on burn rates and associated cost measures.
- Conduct earned-value-management to identify earned value metrics and status for projects to including SPI and CPI metrics.

- Maintain relationship and partnership with all integrated system leadership for systems both internal and external to PBGC.

3.1.2 Change Management

Changes to PBGC IT systems are guided by an established change management process that dictates the steps required to develop and introduce changes into the production environment. The change management processes are related to any change and/or release for FMS requiring a code change or modification outside of configurations made by FMS system administrators via support requests. The contractor shall:

- Support and facilitate PBGC IT change management process for active releases
- Comply with all PBGC change and release management processes and represent FMS at the Change Advisory Board (CAB) meetings to present Requests for Changes (RFCs).
- Provide updates to the COR and FMS IPTs on upcoming changes that may impact FMS systems

3.1.3 Release Management

FMS systems are highly integrated with many internal and external systems. Changes to FMS systems are packaged into releases that must be coordinated with integrated systems and other system releases integrated with FMS systems. In an effort to ensure organized and well described releases, the contractor shall:

- Support release planning efforts to include prioritization and categorization of release items
- Conduct activities to coordinate and/or de-conflict system releases with other integrated systems
- Associate release items with a given release
- Utilize PBGC approved release and change management tracking tools, currently HP Quality Center.

3.1.4 Demand and Backlog Management

Proposed changes to FMS systems originate from several areas including end users, system administrators, the information system owner (ISO), the information system security manager (ISSM) and many others. It is required that proposed changes be properly logged and prioritized in preparation to be allocated to a system release. To support this area, the Contractor shall:

- Collect and maintain backlog items for system changes as part of an established system backlog
- Coordinate regular prioritization and grooming of backlog items to include identification of priority and level-of-effort required to complete along with benefits
- Track backlog and associated information in PBGC approved tool; currently HP Quality Center.

3.1.5 Configuration Management

The Contractor is responsible for the configuration management of all equipment, hardware, system software, applications software (both source and executable), data files, control-language procedures and documentation acquired, developed or modified under a TO issued within the scope of this contract. The Contractor shall adhere to all PBGC configuration management policies and procedures. The Contractor shall develop, implement and maintain a configuration

management (CM) program that conforms to established PBGC requirements and practices and includes, but is not limited to, the following:

- Establishing baselines
- Formal methods of initiating changes to the configuration baseline
- Standards and procedures to insure current configuration documentation is current and accurate
- Assistance with software reviews to ensure that newly developed software conforms to approved functional and physical specifications
- Procedures to assess proposed changes on the operation of the systems
- Procedures to implement approved hardware and software modifications and technology upgrades
- Identity of all software, hardware and documentation components of an automated information system
- Procedures for storing, accessing and releasing newly developed software releases.

The Contractor shall:

- Develop and maintain system configuration and code in accordance with confirmation management plan.
- Ensure development activities are conducted in the development environments and code is promoted through Serena's Program Version Control System (PVCS) for software change control within the enterprise-wide IT environment or the current PBGC-approved code repository. The contractor will conduct configuration management activities using this tool and/or other PBGC approved configuration management tools as identified.
- Establish configuration management baseline for new systems and maintain configuration management baseline for existing systems
- Ensure that all configuration management policies are followed so that configuration of FMS systems and all their environments are accurately reflected in their documentation and code libraries and tools supporting FMS systems.

3.1.6 Issue and Risk Management

PBGC places great importance on actively performing risk management. Identifying, developing mitigation strategies and effectively escalating risks is a key component of this task area. The Contractor shall:

- Establish risk management plan based on PBGC Risk Management Policy
- Identify and track risks that may impact FMS systems and identify mitigation strategies
- Identify and track issues and work to resolve to ensure system operations and release remain on-schedule

3.1.7 Status Reporting

Regular and ad hoc reporting is required to ensure all PBGC and FMS stakeholders are aware of project and system status. The Contractor shall:

- Provide regular status and ad hoc reporting to COR, IPT, executive sponsors for all contractor activities

3.1.8 Integrated Project Team (IPT) and Change Control Board (CCB)

PBGC uses integrated project teams (IPTs) to provide governance and guidance for IT systems and projects. These IPTs consists of members from various PBGC stakeholder groups including the Information System Owner, Information System Security Manager, IT Infrastructure, Enterprise Architecture, system operations and development team, IT project manager and many others. All system operations and changes should be guided by an IPT. In addition to IPTs, PBGC uses change control boards (CCBs) to authorize the scope, schedule and cost of system releases. Any system changes proposed by the IPT should be agreed by the CCB that is comprised of similar membership as the IPT but also program level representation. The contractor shall:

- Coordinate and facilitate IPT and CCB governance bodies to provide status on system operations and changes, make decisions on system changes and to provide a venue for dissemination of system information.

3.1.9 Meeting Participation

Throughout the management and support of FMS systems and projects, many meetings will be conducted to gather information, make decisions, disseminate information, etc. Conducting efficient meetings and maintaining accurate minutes of those meetings is essential to the success of FMS projects. Additionally, PBGC is migrating to a more mobile workforce where meetings may be conducted virtually as well as in person. The Contractor shall:

- Develop agendas and circulate those agendas ahead of any meetings organized by the contract team
- Facilitate meetings that allow for in-person and/or remote participation via teleconference, Skype and/or other remote participation tools.
- Record and provide minutes of all meetings conducted as part of contract work and deliver those minutes in in a timely fashion for participant review and comment

3.2 Systems Development and Engineering

The Contractor shall conduct system development lifecycle (SDLC) activities that result in new systems being developed and/or changes being implemented for existing systems. These planned releases will result in a new system or modernization, enhancement or other updates to existing system functionality. The Contractor will be versed in a wide variety of system development methodologies and adapt these methodologies as appropriate to the system and stakeholders identified. System development methodologies can range from pure Waterfall to Agile methodologies as well as combinations of methodologies. System development methodologies must be in-line with PBGC standards and processes/practices established for development and/or updates to FOD systems. In particular, all system work is guided by the PBGC IT Solutions Lifecycle Management (ITSLCM) Framework. At a minimum, in the context of the appropriate methodology, the Contractor shall conduct the activities and provide the items defined below:

3.2.1 Requirements Definition, Analysis and Specification

- Document the expected benefits, scope, assumptions and constraints, interfaces, functional requirements and operational requirements for each project and/or system change.

- Work with the business owners, subject matter experts (SME), and other stakeholders to decompose, analyze, and document requirement specifications into their lowest level of detail that is also testable.
- Identify, analyze, document, and obtain approval for the detailed requirement specifications. Depending on the SDLC being used, requirements specific may be developed as part of overall development effort for more Agile methodologies as approved by COR, business stakeholders and IPT. If using more of a Waterfall approach, the detailed requirements specification will be agreed approved by PBGC stakeholders prior to moving to the next development phase.
- Develop detailed requirement specifications (functional and non-functional).
- Create a requirements traceability matrix (RTM) to track the detailed requirements specifications developed by the contractor. The Contractor shall update and maintain the traceability matrix with all requirements, design, test scripts, source code, and tables, as they arise.
- Document requirements and RTM using a PBGC approved tool; currently HP Quality Center.

3.2.2 Design and Design Specification

- Design and develop the software solution to meet or exceed the functional and technical requirements identified in the detailed requirements specifications document. The Contractor shall develop a comprehensive design approach to execute detailed requirement specifications as per the agreed SDLC methodology. The Contractor's detailed design shall provide as appropriate:
 - Functional design;
 - Technical design;
 - Architecture design;
 - Security Design;
 - Logical Data Model;
 - Physical Data Model.
- Provide the specifications on how to build and configure the solution. The functional, technical, architectural and security design requirements, components, attributes, relationships, and information flow shall be developed, described, and documented in a solutions design document by the Contractor. This information provides the details necessary to construct the solution.
- Create a solution impact identification document to identify the impact that the FMS changes will have on existing business processes, integrated systems, active production applications, and existing infrastructure requirements.
- Identify PBGC shared services that are used by or built for FMS. The Contractor shall identify which existing PBGC software service components this system will use such as document imaging, correspondence tracking, and letter generation.

3.2.3 Development (Prototyping, Coding and Configuration)

- Translate detailed requirements specifications and detailed design into system components, code or both along with any associated system configurations required. For more Agile

methodologies, the Contractor shall develop detailed requirements and design as part of overall development effort as agreed by COR, business partners and IPT.

- Develop system prototypes as requested that shall be tested and evaluated before the full systems development effort.
- Adhere to the development standards and agreed development methodology in effect during TO period of performance.
- Establish procedures and utilize metrics and automated tools to track productivity and defects in deliverables.
- Conduct quality assurance activities related to development activities as defined in the quality assurance plan to ensure the new system or system changes are free from defects and meet the requirements and design expectations.

3.2.4 Testing

As the FMS systems represent critical and front-line IT support systems for PBGC financial operations, it is essential the IT changes and development of new IT systems put into production are released without defects. A robust testing plan and effort is essential to supporting IT development and operations works. As a minimum, the Contractor shall:

- Perform testing in accordance with the guidelines defined by the ITS LCM. The Contractor shall document its test methodology and procedures in the Test Plan document.
- Conduct unit, system, system integration, and performance testing in the integrated and testing PBGC Common Development Environments (CDE-T, CDE-I) for software to be hosted by PBGC. User Acceptance and all other testing must be conducted in the PBGC Integration and Testing Center (ITC) for software to be hosted by PBGC. The ITC provides a controlled and isolated environment for testing outside of the development environment prior to being deployed into production. In accordance with the Contractor's test plan document, the Contractor shall schedule testing activities in ITC. It is required that all the changes proposed for a given release are fully-tested and present at the beginning to each testing phase as a clean baseline to reduce opportunities for regression defects.
- Upon successful completion of each of the test phases (e.g., Unit, System, System Integration), the Contractor shall document findings and results in the test results report document.
- Maintain and update a baseline of regression testing scripts to be used to validate that changes introduced to the system do not inadvertently result in creating errors in existing FMS system components.
- Resolve defects identified during any phase of the testing effort to ensure that defects are not introduced to production.
- Implement, or where available use, automated testing to reduce the overall time required to test and increase testing accuracy. While PBGC currently predominately uses manual testing for its IT changes, it is anticipated that automated testing will become a more important and prevalent testing component in the future.
- Utilize the PBGC approved tool, currently HP Quality Center, to record test scripts and track testing progress and results.
- In addition to conducting testing, the Contractor shall support the following PBGC testing activities by providing guidance and access to technical staff for:

- User Acceptance Testing including but not limited to:
 - UAT setup to ensure environment and testing baseline is ready for UAT on day-one of the UAT testing phase
 - Providing test data
 - Periodic (up to daily) defect review meetings to review UAT testing status
 - Coordination with UAT testers to assist with questions on potential defects and new functionality
- Security Certification and Accreditation Testing

3.2.5 Implementation and Deployment

Deployment of system changes and/or new systems is coordinated with PBGC's IT infrastructure team. No developers will have rights to make changes in the production environment. At a minimum, the Contractor shall:

- Develop a deployment plan which includes detailed deployment activities necessary to deploy and back out the system and/or system changes to each environment identified in the solution environment plan.
- Coordinate a deployment plan that includes all the changes for FMS and integrated systems and activities of any team or individual required to completed a deployment
- Coordinate deployment of system changes during the deployment period to ensure successfully introduction of changes to the production environment and continuity of operations (COOP) environment.

3.2.6 Operations Turnover

Following deployment of a system or system changes, production system administrators and database administrators (being a part of the PBGC Infrastructure team) will maintain production support. The Contractor, as the application support team, shall ensure that the infrastructure team members are equipped to operate and maintain the system or system changes introduced. At a minimum, the Contractor shall:

- Prepare, assemble and deliver updates to all relevant operations documentation, user documentation, and desktop procedures documentation affected by the enhancement, and shall thoroughly review it with the organization which will be responsible for the operation of the FMS and the enhancement, and any impacted interfacing systems, prior to acceptance of the documentation by the PBGC.

3.3 Operations and Maintenance

In addition to systems development and project management activities, PBGC seeks support for the ongoing operations and maintenance of the FMS systems.

3.3.1 Tier-3 Technical and Operations Support

Tier-3 technical and operations support relates to all activities to support end-users in their use of the system and to resolve issues for those users in completing system tasks. Under this task area, the Contractor shall:

- Respond to and resolve technical and operational issues encountered by users interacting with the system. This includes conducting incident and problem management such as:
 - Research, analysis and resolution of system technical issues
 - Problem ticket and system enhancement tracking
 - Responding to requests to resolve user, practitioner or filer request or issues
- Track and record incident and problem tickets in the form of Production Trouble Reports (PTRs). The Contractor shall track and resolve software problems related to the FMS systems. Reports of system problems are to be tracked using HP Quality Center software or a similar mechanism and the status updated and reported until the problem report is closed. Weekly status reports for progress made on open Production Trouble Reports (PTRs) are to be delivered to the PBGC COR. For PTRs that require code changes, those changes will be discussed and prioritized for the appropriate release.
- Review and analyze FMS application processing problems, including error messages, and provide for timely correction.
- Coordinate with COTS vendors (i.e. Oracle, Eagle ADMS, etc.) for system issue and problem resolution
- Coordination with cloud or managed service providers (e.g. Eagle bank) for issues resolution
- Provide pro-active system monitoring to identify system faults prior to impacts to end-users
- Monitor web and system statistics in coordination with web and system administration teams
- Respond to user requests regarding system usage or issues
- Perform root cause analysis of system issues and open PTRs/SCRs as appropriate to address root causes
- Provide support to system administrators (i.e. system accountants, premium administrators) in regard to complex system function either through support of their duties or responding to tickets as Tier 2 support.
- Provide assistance to the PBGC help desk (Tier 1 Support), PBGC Infrastructure DBAs and SAs, and users in understanding system functionality, technical components or resolution of system issues.
- Provide pro-active monitoring of system status and performance through the use of performance monitoring tools.
- Minimally ensure that “end-to-end” testing is completed once per year validating that FMS systems are able to perform under peak premium filing volume.
- Provide a system status dashboard to describe the condition of the system’s stability, availability and operational conditions over time.
- Establish an system sustainability roadmap that identifies the technical components of all FMS systems, the versions of those components and then maps those technology components to vendor roadmaps to ensure PBGC minimizes technical obsolescence and maintains supportability for all systems.

3.3.2 Enhanced Peak Period Support (i.e. fiscal-year end, peak premium filing season)

PBGC experiences peak usage of its systems at certain points of the year. This includes the period around premium filing due dates and during fiscal quarter and year-end financial closings. At such times the volume of system usage and potential incidents is much higher than at other times of the year. The Contractor shall:

- Provide operations support during peak times with enhanced monitoring, technical response and data validation along with night and weekend support.
- Provide enhanced operational reporting on a daily basis during peak periods to monitor system performance and operations
- Provide summary reporting following peak periods to summarize performance and operational statistics

3.3.3 Maintenance/Emergency Release Development and Configuration

In addition to planned releases, there may be basic release changes required to accommodate COTS patching, defect/bug fixes or other small routine updates as required. In some situations, there may be code changes required to resolve system issues or to introduce changes which are urgent due to the sensitivity of the change, impact to business operations or identification of unexpected changes. The Contractor shall:

- Conduct development, testing and implementation of maintenance release items (patching, defect/bug fixes, vendor-supported version upgrades and other maintenance changes).
- Conduct development, testing and implementation of emergency release items to restore production functionality or resolve critical system defect.
- Use development activities as defined in Section 3.2 above as may be tailored given the size and nature of the maintenance/emergency release.
- Conduct analysis, testing and implementation support for COTS configuration changes
- Maintain and update the software applications to keep current with required operating system or changes to web services consumed. As part of this process, the Contractor shall
 - Develop a patch management strategy in order to assess, propose, and keep the COTS current (for COTS functional patches) and to support PBGC's periodic rollout of Security and OS patching, and
 - Implement version control and release management procedures integrated with the overall configuration management approach. Before implementation of a bug-fix or patch, the Contractor shall assess the impact of any hardware and software upgrades to system infrastructure, performance, security, and version compatibility, and shall test all new software releases.
- Support the deployment of the patch or new release. PBGC staff will perform the roll-out of system upgrades or enhancements in all PBGC hosted environments.

3.3.4 Infrastructure Impact Analysis, Testing, Remediation and Infrastructure Coordination

The FMS systems are currently hosted at the PBGC data center except for TAS. Regardless of hosting location, the Contractor will need to coordinate with the parties responsible for maintaining the underlying IT infrastructure. For any proposed changes to the infrastructure supporting FMS systems, the Contractor shall:

- Assess the impact of proposed infrastructure changes on performance, security and version compatibility of FMS systems
- Test patches and other infrastructure changes (i.e. operating system, database or middleware upgrades)
- Remediate issues or defects introduced by infrastructure patching or changes

- Test and remediate new infrastructure items being implemented to replace items deemed End-of-Service Life (EoSL)
- Support interactions between the infrastructure staff maintaining the underlying infrastructure and system stakeholders

3.3.5 Integration Impact Analysis, Testing and Remediation

Like infrastructure changes, the FMS systems are highly integrated with each other as well as many other internal and external IT systems. This tight integration requires coordination of system changes and the analysis and response to FMS system impacts by changes in other systems. The Contractor shall:

- Assess impact to FMS systems of proposed changes being made to integrated systems
- Support coordination with other teams managing integrated systems
- Test changes introduced by integrated systems and remediate any defects introduced by those changes

3.3.6 Financial and Enterprise Reporting

PBGC financial systems represent the systems of record for financial and enterprise reporting. Along with developed, standard reports forming the core business reporting functionality, new types of reporting and data requests are often requested to meet reporting needs. To support this area, the Contractor shall:

- Develop and maintain existing FMS reports including but not limited to any new reports required to support financial operations.
- Provide ad-hoc query support for system data and reporting
- Support reconciliation of data between system reporting and system data
- Run special, one-time data extracts

3.3.7 System Decommissioning

After implementation of a new system or release which renders an old system or system component obsolete, the contract shall take all steps required to decommission the system and/or components. This include archiving code and documentation, coordinating removal/uninstall of code and components from all IT environments and ensuring data is back-up and archived.

3.4 Program Analysis and Enterprise Architecture (EA) Support

3.4.1 Business Needs Analysis

In accordance with PBGC EA standards, business needs analyses are periodically conducted to ensure that IT investments are targeted to those areas best supporting business needs. A Business Needs Analysis (BNA) is a planning effort based on research and analysis that results in recommendations for improvement in a specific business area or issue. Recommendations may address issues the following architectural categories:

- Strategy and Performance
- Business
- Data and Information
- Applications

- Infrastructure
- Information Security

A BNA addresses potential gaps, redundancies and opportunities that result in improved performance in these areas. A BNA is generally composed of a current state, target state and migration plan. The Contractor shall support a BNA effort in accordance with the current EA methodology approved at the time. The BNA will support the definition of a target state, performance improvement, prioritization, investment, and planning decisions. It also will establish or confirm the alignment of these decisions to PBGC's business plans and strategic goals. The methodology may be tailored in terms of process, roles, and deliverables based on size, complexity, and scope of the analysis efforts to ensure the analysis goals are accomplished. The three types of business needs analysis efforts at PBGC are Segment Architecture, Architectural Analysis, and Small-Scope Analysis, and the methodology provides a detailed guidance for conducting these types of Business Needs Analyses.

- **Segment Architecture:** A Segment Architecture is a planning effort to produce a holistic view of a business area (e.g., a segment) from an architectural perspective. The architectural perspective may address elements of strategy, performance, business, data, applications, infrastructure, and security of a given domain. The Segment Architecture Approach provides guidance to develop a new or refresh an existing segment, and is designed to accommodate increased flexibility, applicability, and inclusivity of the larger set of the planning processes.
- **Architectural Analysis:** An Architectural Analysis is a focused research or planning effort, and the scope is smaller than a full segment, or segment architecture work has been completed and needs additional details. The Architectural Analysis Approach is designed to meet the investment owners' specific technical or budget planning goals for architectural analyses of all sizes.
- **Small-Scope Analysis:** A Small-Scope Analysis is a limited-scale analysis where goals, objectives, weaknesses, and opportunities are known. The Small-Scope Analysis Approach follows the same general guidelines and principles for an Architectural Analysis except that some activities and deliverables may be removed due to the decreased size and complexity of the analysis scope.

3.4.2 Alternatives Analysis and Feasibility Studies

In accordance with EA standards, the Contractor shall support various alternative analyses and feasibility studies to determine the appropriate technology or solution area to implement in given situations. IT solutions and products recommended for use in the PBGC business IT environment must have an identified business need documented and adhere to the Alternatives Analysis Standard and Methodology. For small efforts, the Contractor shall identify, analyze and evaluate the advantages and disadvantages of each of the alternatives chosen, considering the evaluation criteria that have been established. The result of this evaluation shall be a document which describes how each of the alternatives was judged per each of the criteria, and which permits a comparison of the relative merits and drawbacks of each alternative. For larger analysis efforts, the Contractor shall support the establishment of an Alternatives Analysis (AA) Integrated Project Team (IPT) will use the AA Methodology to determine the product or solution that is the overall best fit for PBGC. The following process steps are required when conducting an Alternatives Analysis:

- Establish AA IPT
- Define Business and Technical Requirements and Use Cases
- Define Evaluation Criteria and Weightings

- Identify Alternative Options and Conduct Market Research
- Conduct Initial Assessment, Score and Evaluate and eliminate options
- Conduct Cost Benefits Analysis with Risk adjusted costs and eliminate options
- Recommend Solution - Presentation for Pre-Acquisition Review - Viability and Technical Acceptance
- The recommendation shall be presented to the TRB and ITPRB for their approval prior to initiating activities with the Procurement Department to acquire the IT product or solution.

3.4.3 Technical Reference Model/Review Board (TRM/TRB) Support

At PBGC only those IT solutions and technologies that are approved and listed on PBGC's Technical Reference Model (TRM) will be allowed to be implemented. Governance of the TRM is performed by the PBGC Technical Review Board (TRB). To support implementation of technologies in PBGC and to allow for updates to existing technologies, the Contractor shall:

- Facilitate and prepare materials for the TRB review process for updates to FMS system components, any development software or tools and any other technologies required to operate, maintain or develop FMS systems.
- Participate in TRB meetings and support justification of changes to the TRM on behalf of FMS systems

3.4.4 Data Model Development and Maintenance

All PBGC IT systems required the development and maintenance of data models depicting the information stored and used by the system. Both logical and physical data models are used to track and understand system information. The Contractor shall:

- Develop system data models (logical and physical) for new systems and maintain system data models for existing FMS systems

3.5 Training

The operation FMS systems are very complex and require detailed understanding by end-users. For new systems and existing systems, training of the user community (to include system administrators as well as end users) is required. For FMS systems, the Contractor shall:

- Design, develop and prepare training materials and training aids, and shall if directed design, develop, prepare and present training for users, operators and other staff in the operation, function, use or maintenance of the FMS systems and the enhancements to those systems.
- Develop and prepare training schedules and all supporting materials that will be used for implementation training and operation of new systems or system enhancements.
- Update existing training materials and training aids to reflect any system changes made to the systems that have impacts on those materials.

3.6 Continuity of Operations (COOP) Support

In the event of a disaster or other disruption of system operations, PBGC may activate its continuity of operations (COOP) plan to restore system functionality at PBGC or a remote location. In preparation for COOP events or during a COOP event, the Contractor will need to support the restoration of FMS system operations. While PBGC infrastructure teams will provide primary response to a COOP event, the FMS support Contractor will need to provide

assistance in restoring system functionality. Additionally, PBGC regularly tests its COOP plans to ensure failover to COOP sites will be successful. During such exercises the FMS support team will provide similar assistance to the infrastructure team. The Contractor shall:

- Participate in and support Tier 3 technical assistance for COOP failover activities during a COOP event
- Participate in and support Tier 3 technical assistance for COOP exercises where failover for FMS systems is being tested in preparation for COOP events.

3.7 System Documentation, Documentation Maintenance and Technical Writing

3.7.1 FMS System Documentation and Documentation Maintenance

FMS system documentation includes any documentation generated as part of a development effort, technical documentation, training materials, operational manuals, meeting agendas/minutes and any documentation used or created as part of the performance of FMS system support. All documentation shall be maintained and kept current during the maintenance period by the Contractor using PBGC's SharePoint sites or another PBGC approved tool. The Contractor shall:

- Develop or update FMS documentation, including manuals, e.g., operations, system administration, system maintenance, user and training, and plans, e.g. system integration and site implementation. Documentation shall follow the latest approved standards at the time of development and delivery of the system. The Contractor shall develop documentation and/or update existing ITS/CM documents that are required as a result of system development, enhancements to the system or any system releases.
- Maintain and revise FMS system and business process documentation in accordance with changes made to FMS.

3.7.2 Technical Writing

Production of high quality system documentation and written deliverables is an important requirement of the services provided under this contract. The Contractor shall ensure that professionals with skill in technical writing are used in creation of contract deliverables. These deliverables should be of high quality, technical accurate, written for the appropriate audience and minimize grammatical and spelling errors. In some cases dedicated technical writing services will be required to produce stand-alone FMS documentation.

3.8 Data Quality Management

FMS system data quality must be maintained to ensure the FMS systems can provide accurate and timely calculation and reporting of financial data. Periodically data may be moved to newly developed systems or system components in addition to ensuring the accuracy of data within existing systems.

3.8.1 Data/File Migration and Conversion

For new systems, system development efforts or changes to underlying system infrastructure, the Contractor shall:

- Develop and execute migration plans for moving data/files between existing systems and new systems as required. This could be across operating systems, hardware platforms or different types of database management systems. The Contractor shall develop procedures and proposed methods for performing the data/file migrations with a minimum of disruption to the end-users.
- Create a technical Data Conversion Plan that outlines the strategy and technical requirements to transition data and processes. The Contractor shall collaborate with the project team to determine the scope of the data that will be targeted for conversion. The Contractor shall design and document all data conversion utilities, routines, or scripts to be used for the data load formats and structure. The Contractor shall be responsible for importing all legacy data into FMS and for related reports and control mechanisms stipulated in the Data Conversion Plan to ensure complete and accurate data conversion. The Contractor shall modify the project plan as necessary to include additional data, reports and control mechanism to ensure successful data conversion. The Contractor shall maintain a log of all conversion items, issues, and their resolutions. The Contractor shall report progress and issues at Integrated Project Team (IPT) meetings.
- Working with the project team, the Contractor's Data Conversion Plan shall propose an approach for reconciling source and target conversions. The Contractor shall detail their use of programmatic controls, COTS or customized reports, queries, etc. to ensure the successful conversion reconciliation. The Contractor's approach shall be clear as to timelines, roles, and responsibilities (those of Contractor and of PBGC) for conversion reconciliation. For those reconciliation activities designated as the responsibility of the Contractor in their approach, the Contractor shall execute those reconciliation activities. The Data Conversion Plan's timeline shall include a milestone for FOD's approval of the completed reconciliation process.

3.8.2 Data/File Validation

Maintaining and validating accuracy of FMS system information may require support in examining and correcting bulk or isolated data conditions. The Contractor shall:

- Conduct activities to validate the accuracy of data within FMS systems and data inputs to those systems.
- Develop scripts, system changes or other tools to correct or resolve issues of data accuracy within the FMS systems or data files being loaded into the systems

3.9 Data Call and Audit Support

Detailed technical information about FMS systems, data contained by FMS systems, projects to develop or maintain FMS systems or the processes surrounding FMS systems is regularly requested by internal and external parties. Strict oversight by the PBGC Office of Inspector General (OIG) requires periodic and comprehensive reporting of FMS-related information. To support data calls and OIG oversight, the Contractor shall:

- Provide reports on system data including system statistics, status, technical architecture and other requests information
- Provide responses and documentation related to inquiries by PBGC auditors as they relate to FMS systems and development of FMS releases and changes made to FMS systems.

3.10 Professional Advisory/Consulting Services

The Contractor shall provide experienced and knowledgeable staff experts in specific areas of financial management systems. The areas of expertise in which the Contractor may be required to provide staff include, but are not limited to, financial management systems, COTS package evaluations and installations, computer aided software engineering techniques, telecommunications systems, computer and network security, change management, system configuration management, capacity planning, disaster recovery continuity of operations planning, data center services improvements and skills review and assessment of potential systems support staff. The Contractor shall provide expert advice on the FMS system area topics.

3.10.1 Business Process Automation/Re-engineering

- **Business Process Impact Analysis:** The contractor shall provide analysis of system impacts due to business process changes.
- **Business Process Reengineering:** The contractor shall analyze existing work practices, identify opportunities for improving cost or operational efficiencies through workflow redesign, and quantify the benefits of such redesign. The contractor shall develop alternative work processes; prepare documentation and other supporting materials as necessary. The contractor shall conduct informal or formal training on revised processes.

3.10.2 Financial System Analysis and Strategy

- **Business Analysis and Support:** The Contractor shall provide subject matter experts (SME's) and program management professionals to work with PBGC management teams in support of business goals for the FMS systems and related business operations. The contractor shall assist PBGC management in evaluating business needs and processes, recommending business changes, and in developing action plans to meet business objectives. This work may include defining roles and responsibilities, conducting stakeholder interviews, drafting business requirements, preparing procedural manuals, supporting user acceptance testing (e.g., develop test data and expected results, conduct tests and document results, track testing status and open issues), and assisting with other aspects of change management. The contractor shall assist in organizational change activities to the extent that they are not inherently governmental tasks.
- **Financial Analysis:** The Contractor shall provide SMEs with expertise in financial management financial system management. These SMEs may support the PBGC business area directly or support the development team in ensuring that IT solutions are sound from a financial and accounting standpoint and incorporate the appropriate financial requirements and design components. For example, such SMEs would provide financial system requirements support for implementations such as the DATA Act, GTAS, GAAP, US Federal financial regulations, etc.

3.10.3 Technical Analysis

- **Technical Analysis** – Provide assessment of proposed system changes and impacts of those changes outside of an EA or development effort.

3.10.4 Special Studies

- Issue Special Studies on an As Required basis. At times it will be necessary for the Contractor to provide personnel and facilities to provide Special Studies on an As Required basis for FMS-related areas which are highly technical, ad hoc in nature, and generally of limited duration.

3.10.5 Staff Augmentation

During major system implementations, introduction of a new systems or other times when PBGC staff are stretched thin, there may be times when the Contractor will be required to provide additional staff to fulfill functions normally provided by other PBGC staff. For example, providing additional user acceptance testing or supporting FMS-related business processes.

3.11 IT Security

IT security is a priority for PBGC and for the FMS IT systems. Support for IT security includes ensuring IT security controls are built into newly developed systems or into the enhancements and changes to FMS systems. Security requirements should be considered for every development effort. In addition, consideration must be given to protecting sensitive data with special protections for personally identifiable information (PII) contained in FMS systems. Included in this area is the review of existing system IT security, analysis of control sufficiency and support for establishment and review of system security plans and configuration baselines. At a minimum, the Contractor shall:

- Maintain FMS to ensure conformity to the Government's and PBGC's Systems Security Requirements. This may include the creation or update of system security plans, procedural documentation, and other materials required for the System Accreditation and Authorization (SA&A) of the FMS.
- Provide analysis of NIST 800-53 controls as related to system architecture and make recommendations for incorporating controls into FMS systems
- Support analysis of vulnerability scan results and remediation of system vulnerabilities
- Incorporate remediation of POAM items into system releases as applicable
- Ensure new FMS systems and/or enhancement to FMS systems comply with Federal and PBGC security requirements and regulations.

3.12 Transition Support

3.12.1 Transition from Incumbent

Upon award, the Contractor shall ensure an effective transition of work from the existing incumbent and prepare a transition plan for accomplishing said transition. The plan should address all work to be assumed from the incumbent and the tasks required to accomplish successfully taking on the scope of work including technical access, transfer of documentation, transfer of all knowledge and any other activities required.

3.12.2 Transition as Incumbent to PBGC or new vendor

The Contractor shall accommodate transition for at least one (1) month of its functions to PBGC upon re-compete of this contract. The Contractor shall deliver all documentation, information for the operation and maintenance of the FMS systems, and provide communications, training, and support to PBGC to ensure a successful transition of FMS to another vendor. The Contractor shall develop a Transition Strategy detailing the steps necessary to transition operations and maintenance to PBGC, another PBGC selected vendor and any documentation or activities for releases work that may be underway. At completion of the contract, all licenses revert to PBGC. A relationship with all documentation shall be maintained and kept current during the maintenance period by the Contractor using PVCS, SharePoint or another PBGC approved tool.

4.0 General Information

4.1 Place of Performance

The work may be performed on the government site or the contractor site based on the government's requirements outlined in a given TO and/or specific contractor proposals. The following identifies the current government site where work may be performed:

Pension Benefit Guaranty Corporation (PBGC)
1200 K Street, NW
Washington, DC 20005

The primary location of work will be within a fifty-mile radius of Washington DC (The service area). It is anticipated that the PBGC offices will be relocated during the period of performance of this contract but remain in the DC service area. At such time as the relocation occurs, the work conducted at the government site will be conducted at the new location.

The Government will not pay for local travel (i.e., travel within the service area) or parking. The Offeror shall perform all work described herein that is ordered by the Government during the term of the contract at any location specified in the service area.

The Government may allow services to be performed from the Offeror's location in instances where special tasks must be accomplished to meet project schedules or deadlines. In instances where tasks do not require direct involvement of Government personnel, work may be performed at the Offerors location. Performance of such tasks will be coordinated with the COR. The government shall furnish its contractors with the equipment required to provide remote dial-up

support and utilized Government-provided and - approved software for connectivity, if remote support is required.

4.2 Core Hours of Operation

The core hours of operations shall be 8:00 am to 5:00 pm, Monday through Friday, Eastern Time (excluding Federal holidays or government closure, i.e. weather related).

4.3 Continuity of Services

The Contractor recognizes that the services under this contract are considered vital to the Government and must be continued without interruption and that, upon contract expiration, a successor, either the Government or another contractor, may continue them by issuance of a new contract. The incumbent contractor is expected to provide relevant documentation and transition plan.

4.4 Subcontracting

The use of subcontractors is permitted under this contract with approval granted from the Contracting Officer (CO) and COR. A subcontracting plan should be submitted as part of the proposal to the CO and COR and approved prior to onboarding any subcontracted staff.

5.0 Contract Administration

5.1 Period of Performance

The base period of this contract is one year from the date of award, followed by four (4) 12-month option periods. Up to five (5) additional option years may be granted based on meeting specific contract performance goals. Total of base period and option periods shall not exceed 120 months.

1. Base year – One Year from Contract Award.
2. Option Period 1 – 12 months from the end date of Base Year.
3. Option Period 2 – 12 months from the end date of Option 1.
4. Option Period 3 – 12 months from the end date of Option 2.
5. Option Period 4 – 12 months from the end date of Option 3.

5.2 Task Orders (TOs) and Ordering Procedure

The award of this IDIQ contract does not obligate any funds. The Government is only obligated to the extent that authorized TOs are placed against the contract. TOs will be issued on a firm fixed-price, labor-hour or time and material basis. Each TO shall stand-alone with its own deliverables and performance period. All TOs shall be issued in accordance with the Contractor's IDIQ pricing and proposed labor categories

Issuing TOs: TOs orders issued under this contract may require effort in one or more of the services described in section 3.0 but will not necessarily include all of them. In general, the process for issuing TOs:

- (1) PBGC issues a RFTOP (Request for TO Proposal)
- (2) The Contractor responds to the RFTOP with a TO Proposal
- (3) Following negotiation of the Contractor's TO Proposal (e.g., Approach, Staffing, Performance Measures, etc.), the TO is approved and signed.
- (4) Authority to Proceed: TO performance begins.

Request for TO Proposal: From time to time during the term of this contract, the Contracting Officer will issue a RFTOP (Request for TO Proposal) in writing to the Contractor, providing specific information on work to be performed or objectives to be achieved within the scope of the contract. Each RFTOP contains a SOW or SOO, which identifies the requirements or indicates the objectives or results desired.

RFTOPs will contain, at a minimum, the following information:

- (1) Name and signature of the Contracting Officer
- (2) Contract number, statement number, and date
- (3) Description of work
- (4) TO type (Fixed Price, Labor Hour, Time and Materials)
- (5) TO proposal response date (in general, the Contractor will be allowed 5 business days for TO proposal, modified for less or additional time based on the complexity of the RFTOP)
- (6) Documentation requirements
- (7) Delivery/Performance schedule
- (8) Quality assurance standards, as appropriate
- (9) Evaluation criteria for determining completion of the TO
- (10) Any other necessary information

In the case of bilateral modifications, the Contracting Officer may modify a TO in the same manner as they are issued.

TO Proposals: In response to each RFTOP issued under this contract, the Contractor shall propose:

- TO Personnel/Staffing Plan (Labor categories, hours and pricing to be drawn from IDIQ contract proposal)
- Technical Approach and Performance Work Statement (PWS)
- Performance Measures

TO Approval: No work is to begin on any TO until 1) PBGC has reviewed and given final approval to the detailed project/work plan submitted by the Contractor and 2) until the TO is signed by the Contractor and the Contracting Officer.

The Contractor's PWS will be evaluated using criteria established and tailored for the TO (e.g., for a complex TO will likely include requirements to demonstrate understanding of the work, plans and methods for completion, staffing, proposed subcontracting and resumes, management

process and oversight and cost; for a less complex TO may be schedule or staffing plan and proposed deliverables).

After contractor submission, the PBGC will negotiate and finalize the technical approach and the performance measures to be used during the period of performance. The COR shall approve in writing the Contractor's PWS and any revisions either (1) being in accordance with the TO or (2) with identified variations constituting a modification to the TO. All approvals shall be prior to commencement of work. The negotiated technical approach and performance measures will be included in the Project Management Plan deliverable due to the PBGC within 10 calendar days of TO award.

In the event that there is a conflict between the requirements of the TO and the Contractor's PWS, the TO shall prevail. In the event that there is a conflict between the requirements of the master IDIQ contract and the requirements of the TO, the contract shall prevail.

PBGC reserves the right to assess the personnel qualifications of, and to approve or disapprove, Contractor staff proposed for a TO.

Any subsequent changes to the project/work plan involving changes in schedules or personnel must be approved by the COR before becoming effective. In addition, any changes in costs must be approved by the Contracting Officer. The Contractor will notify the COR immediately on becoming aware of any issue, (e.g., personnel, cost or schedule change), that may cause a delay in completing the TO on schedule or exceed the cost of the approved TO. In all cases the Contractor must wait until the TO is revised, along with all associated plans and schedules, and obtain the approval of the Contracting Officer before incurring any additional cost.

The Contractor shall appoint a lead person for each TO subject which meets the approval of the COR. The COR will exercise appropriate technical direction and guidance within the scope of each TO. However, only the Contracting Officer can revise the scope of each TO; any revisions must be done so in writing.

If the Contractor, either at the time of receipt of a TO or at any time during the task assignment performance, has reason to believe that the price or level of effort will exceed the estimates set forth in the TO, the Contractor shall immediately notify the Contracting Officer in writing and provide a revised estimate for completion of the work required. The Contracting Officer will make the final determination of the approved price and number of labor hours for each task assignment.

5.3 Contract Term and Renewal

The planned period of this contract is a base period of one year from date of award, four (1) year options and potentially five additional (1) year options based on performance:

Exercise of options is at the sole discretion of the Government. Lack of option exercise is not subject to any disputes provision that may be contained in the contract

In the event that the Contractor should desire to modify its labor rate schedule, the Contractor shall timely inform the Contracting Officer of the rate changes and negotiate with PBGC for any agreement on those changes. Additionally, if needed, PBGC may negotiate with the Contractor new labor categories and rates to be added to the rate schedule specific to this contract.

All labor categories that are proposed when this contract is awarded or added subsequently, are available to be proposed for each task order. When responding to each RFTOP, the Contractor shall propose the best mix of labor categories to ensure the work is accomplished on-time, within-budget, with quality.

The Government will review, at least once annually, the contract to determine if it continues to provide the best value. Achievement of work in accordance with performance metrics will be one of the deciding factors in determining whether to exercise an option period.

The period of performance and deliverables of individual follow-on TOs will be specified in the individual TO. In the event that a TO requires continued performance that extends beyond the current contract terms, the Contractor shall be required to complete performance within the new time frames set forth in the TO provided such period does not extend beyond 12 months after expiration of the overall contract.

Any TO not providing best value to the Government due to any issue(s) identified by the COR would be addressed immediately and potentially lead to a TO and/or contract cancellation.

5.4 Roles and Responsibilities

The Government Contracting Officer (CO) shall be responsible for administration of this contract. No individual other than the signatory CO for this contract has authority to modify or terminate this contract on behalf of the Government for any reason.

5.5 Contracting Officer's Representative (COR)

The COR will be identified at the time of contract award. The COR has the responsibility to inspect all deliverables/services and authorization to certify and/or reject invoices for payment. In the event that an invoice is rejected the COR shall notify the administrative contracting officer (ACO) immediately and provide the supporting rationale. The technical administration of this contract shall not be construed to authorize the revision of the terms and conditions of this contract. Any such revision shall be authorized in writing by the ACO.

This individual is responsible for contract technical and management direction and general coordination with other Government staff, as needed. This individual plans and coordinates Government activities, services and staff needed to meet contract objectives. This individual is responsible for providing both tactical and strategic direction to other Government offices. Technical direction generally requires monitoring the Contractor's work closely and continually as it progresses to ensure that requirements are being met. While progress monitoring does not

mean taking charge and conducting the Contractor's effort, or in any way supervising Contractor employees, it does, however, mean that the COR will:

- Keep well informed of the Contractor's performance and activities
- Use technical expertise to identify the Contractor's actions, or failure to act, that clearly affect the quality of the work under way and the end results or deliverables
- Notify the Contractor of apparent deficiencies; and
- Determine the appropriate action in discussion with the CO and Contractor to correct deficiencies.

5.6 Contractor Roles and Responsibilities

The Contractor shall designate one (1) individual to serve as Contractor Program Manager (PgM). The PgM shall be responsible for serving as the coordinating single point of contact between the Contractor and Government. This individual shall be the receiving point for TOs issued against this contract. This individual shall also be responsible for contract technical and management direction, submission of contract reports and general support and coordination to the COR and Government staff, as needed and authorized by the COR. The PgM (and TO Project Managers if different from the PgM) shall be fully authorized to direct and supervise day-to-day activities of Contractor and third-party Contractors needed to meet the contract and TO requirements. It is not required that the PgM's responsibilities be solely limited to the activities above and may be expanded upon as described in the Offerer's proposal.