



Office of Inspector General

January 12, 2023

TO: Ann Orr
Chief Policy Officer

FROM: John Seger *John Seger*
Assistant Inspector General for Audits, Evaluations, and Inspections

SUBJECT: Evaluation of PBGC's Oversight of SE PIMS Modernization and
Development Contracts (Project EV-23-171)

The Office of the Inspector General is initiating an engagement on PBGC's oversight of the Single-Employer Pension Insurance Modeling System (SE PIMS) modernization and development contracts. Please see the enclosure for more specific details on the engagement and for topics we plan to discuss at the entrance conference. We will begin work on this engagement immediately, so we would appreciate you notifying the appropriate staff.

The next step will be to conduct an entrance conference which we will coordinate with the Corporate Controls and Reviews Department. At the entrance conference, we request PBGC provide any feedback on the planned engagement.

Thank you in advance for your time and consideration.

cc: Karen Morris, General Counsel
Frank Pace, Director, CCRD
Latrece Wade, Risk Management Officer
Kristin Chapman, Chief of Staff
Juliet Felent, Director, PD
Ted Goldman, Director, PRAD

Overview of Evaluation of PBGC's Oversight of SE PIMS Modernization and
Development Contracts (Project EV-23-171)

Subject: Evaluation of PBGC's Oversight for the Single-Employer Pension Insurance Modeling System Modernization and Development Contracts.

Source for the Work: Self-initiated

Issue(s) Under Review/Objective(s)/Key Question(s):

1. To determine if PBGC's oversight of the modernization and development contracts for SE PIMS was in conformance with federal and PBGC regulations.
2. Did the Contracting Officer Representative(s) (CORs) provide detailed quarterly reports to the Contracting Officer (CO)?
3. Were COR files maintained in accordance with PBGC requirements?
4. Was memorandum of records written to maintain documentation of contact with the contractor?
5. Were invoice reviews performed in accordance with regulations and guidance?
6. Did the COR perform a review of the contractor's staff education and qualifications, and was this done throughout the life of the contracts?

Entrance Conference Discussion Topics:

1. Overview of SE PIMS modernization contract (16PBGC19C0028) to include contract structure, status, funding level, deliverables--- base years and options.
2. Overview of the ongoing development contract (16PBGC22T0001) to include contract structure, status, funding level and planned deliverables.

Documentation Requested for the Entrance Conference:

1. Contract and modifications for the SE PIMS modernization contract.
2. Contract and modifications for the SE PIMS development contract.
3. Overview of the contracts (in a summary format).
4. Access to the relevant systems (e.g., Comprizon, SharePoint) for the evaluation team members listed below.

Points of Contact Requested:

1. Contracting Officer(s) and Contracting Officer Representative(s) for the modernization contract.
2. Contracting Officer(s) and Contracting Officer Representative(s) for the development contract.

Estimated Report Issuance: August 31, 2023

OIG Contacts:

Parvina Shamsieva-Cohen, Audit Manager, (202) 812-9270 or shamsieva-cohen.parvina@pbgc.gov

Tiara Grotte, Auditor-in-charge, (202) 793-1015 or grotte.tiara@pbgc.gov

Anita Paul, Senior Auditor, paul.anita@pbgc.gov

Jessica Kim, Auditor, (202) 229-6069 or kim.haeun@pbgc.gov