



How to Write an Effective SOW!

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Pieces of the Puzzle

- What is a Statement of Work
- What is the purpose of a SOW
- What are the components of a SOW
- What not to do when writing a SOW
- Benefits of well executed SOW
- Consequences of a poor SOW



The Ultimate Goal

Strong SOWs:

- Ensure effective support for DBEs
 - Eliminate or mitigate program challenges
 - Promote project/program success.
 - Demonstrate good stewardship of public funds
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Overview

A well-written SOW can prevent disagreement, misunderstanding, and eventual disputes between the agency and the provider as to the expectations of the work to be performed. It will also produce the deliverables, the performance measurements and length of performance desired by the agency.

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What is a SOW?

A Statement of Work (SOW) is a document that accurately and succinctly describes the type, quantity and quality of services to be delivered to meet one or more program requirements.

- SOWs are the 'why' and 'what' of what will be delivered
- SOWs are not the specific 'hows' of delivery

The Purpose of a SOW

The SOW helps the funding agency to determine eligibility and serves to guide any performance agreement between the Agency and a service provider.

As a component of a contract, the SOW may be used to settle disputes over what work should or should not be included in a project. It establishes expectations.

Delivery by internal staff or a provider

- The SOW itself must be developed by the recipient agency and not an outside provider
- SOW activities may be provided by agency staff or by an outside service provider
- There are advantages and disadvantages to both
- The SOW deliverables remain the same, regardless of which delivery method is utilized

Agency Staff or Outside Provider - Considerations

Agency Staff

- More control
- Access to agency resources
- No procurement or contract oversight
- Closer ties to the program being supported

Outside Provider

- Targeted skills sets
- Wider range of resources with fewer restrictions
- Innovation & streamlining
- More objective ties to program being supported

23 CFR 230.202

(b) *Supportive Services* means those services and activities provided in connection with minority business enterprise programs which are designed to increase the total number of minority businesses active in the highway program and contribute to the growth and eventual self-sufficiency of individual minority businesses so that such businesses may achieve proficiency to compete, on an equal basis, for contracts and subcontracts.

23 CFR 230.203

It is the policy of the Federal Highway Administration (FHWA) to promote increased participation of minority business enterprises in Federal-aid highway contracts in part through the development and implementation of **cost effective supportive services** programs through the State highway agencies.

23 CFR 230.204


g) **As a minimum**, State highway agency contracts to obtain supportive services shall include the following provisions:

1. Purpose statement
2. Eligibility statement
- 3. Statement of the services to be provided**
4. Nondiscrimination contract clauses
- 5. Definite, established period of contract performance and schedule**
- 6. Monthly or quarterly reports to the recipient agency containing sufficient information to enable evaluation of both progress and problems**
7. Basis for payment
8. Schedule of expenditures
9. Access to records and right to audit
10. Certification of Noncollusion
11. Support information
12. Termination clause



The Basics

Clear, concise language identifying :

1. Contract length (period of performance)
 2. Start date
 3. Specific goals to be accomplished
 4. List of deliverable items
 5. Time frame for specific work elements
 6. Desired degree of flexibility when it comes to performance.
 7. Desired price structure
 8. Performance matrix (reporting of deliverables)
 9. Reporting and invoicing (time frame, due dates, format)
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SOW Outline

- Part 1: DBE/SS program
 - a. Purpose Statement
 - b. Program Goals: Multiple objectives with multiple tasks
 - c. Business Development Program
 - d. Results oriented metrics for achieving success: Business plan completion, increased pre-qual limits etc.
 - e. Scope of work: Schedule/timeline for services, personnel and resources, expertise and experience
 - f. Organizational chart

Purpose Statement

- To create a level playing field for DBEs to compete fairly on DOT–assisted contracts
- To help remove any barriers
- To promote the use of DBEs on Federally funded projects
- To help DBE firms in achieving sustainability and growth
- To ensure only firms that meet all the eligibility requirements participate as DBEs

Program Objectives and Tasks

- Objective #1

 - Task A.

 - Task B.

- Objective #2

 - Task A.

 - Task B.

Objective #3

 - Task A.

 - Task B.

Objective #4

 - Task A.

 - Task B.

Business Development Program

- **Appendix C to Part 26 - DBE Business Development Program Guidelines**

- The purpose of this program element is to further the development of DBEs, including but not limited to assisting them to move into non-traditional areas of work and/or compete in the marketplace outside the DBE program, via the provision of training and assistance from the recipient.
- **(A)** Each firm that participates in a recipient's business development program (BDP) program is subject to a program term determined by the recipient. **The term should consist of two stages; a developmental stage and a transitional stage.**
- **(B)** In order for a firm to remain eligible for program participation, it must continue to meet all eligibility criteria contained in part 26.
- **(C)** By no later than 6 months of program entry, the participant should develop and submit to the recipient a comprehensive business plan setting forth the participant's business targets, objectives and goals. The participant will not be eligible for program benefits until such business plan is submitted and approved by the recipient. The approved business plan will constitute the participant's short and long term goals and the strategy for developmental growth to the point of economic viability in non-traditional areas of work and/or work outside the DBE program.

Business Development Program

Should be results oriented

Should be real and substantial

- **Business plans**
- **Capability statement**
- **Elevator speech**
- **Marketing plan**
- **Assistance bidding on a project**
- **Transitional plan**
- **Just to mention a few**

Scope of Work

You can list general services that you want to offer to DBEs under scope of work

- Type of services: orientations, needs assessments, estimate training, outreach, etc.
- Schedule and timelines should be requested
- A narrative on the services and the providers ability to complete

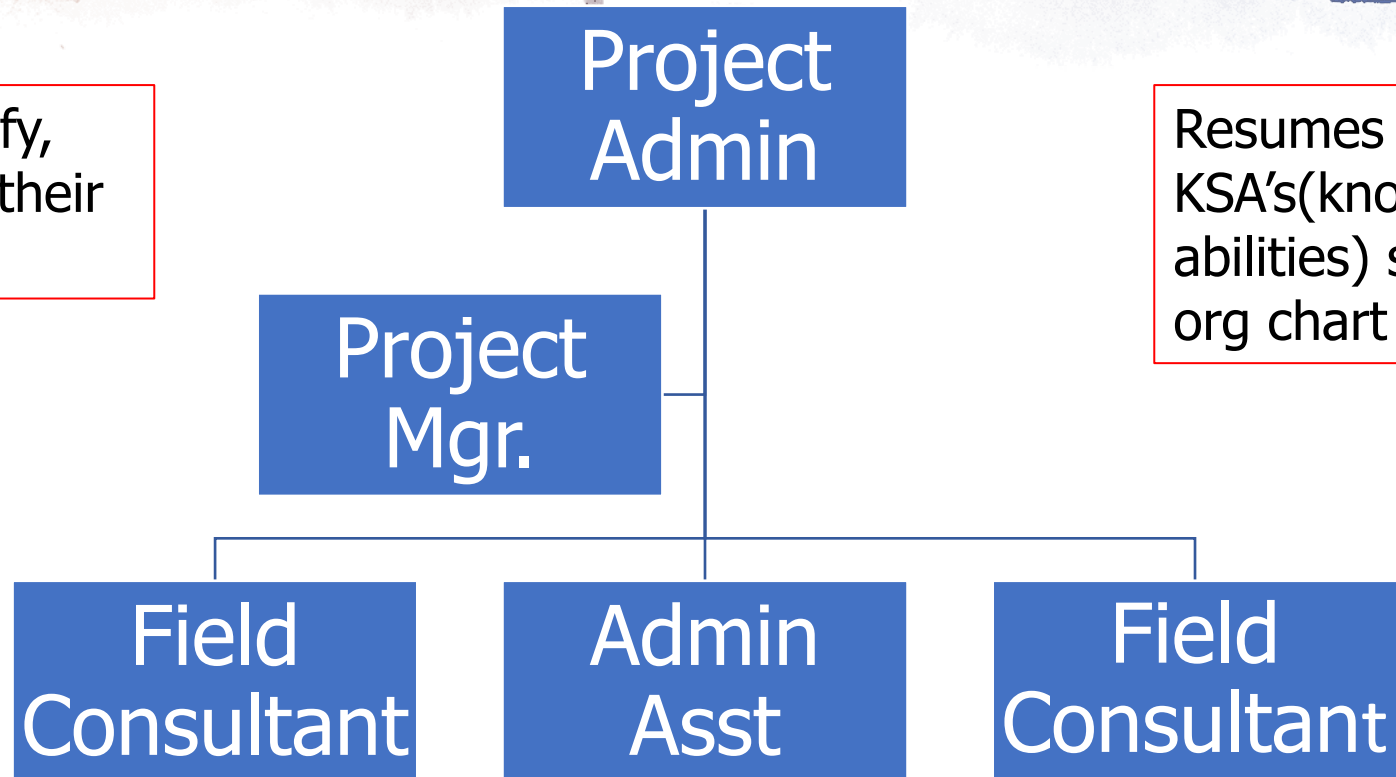
Scope of Work

Narrative with schedule/timeline for activity/services

- DBE Supportive Services – general assistance to all certified DBEs
- NEW DBE ORIENTATIONS: Contact newly certified DBEs and provide an orientation via phone, video chat, or onsite, within 30 days of certification.
- BASIC NEEDS ASSESSMENTS: Within 30 days after DBE certification, create, make available, and start administering a basic needs assessment to DBEs to evaluate a firm's proficiency level to perform highway construction and transportation support related projects.
- IDENTIFY BDP participants through communication with new and existing DBEs.
- OUTREACH AND RECRUITING: Administer an effective outreach and marketing program to solicit qualified firms to the DBE program. Perform outreach to DBEs to bid on upcoming projects.

Organizational Chart

A SOW should identify, principals ,staff and their responsibility's



Resumes and KSA's(knowledge, skills, abilities) should follow org chart

SOW Outline

- Part 2: Budget Summary
 - a. Line-item budget
 - b. Budget total does not exceed allocated funds
 - c. Ensure SOW consist of more than one component, should have several objectives with individual budgets
- Part 3: Evaluation, Monitoring and Oversight and Reporting
 - a. A detailed description on required reporting and documentation
 - b. Required frequency
 - c. Required form of interaction between State and Provider
 - d. Provide a monthly matrix by objective and task

Part 2 Budget Summary

- Line item for Objective with budget amount
- Tasks
- Multiple objectives

Objective # 1	Budget Amount		
Task A.	\$\$\$\$\$		
Task B.	\$\$\$\$\$		
Total objective #1	\$\$\$\$\$		\$\$\$\$\$
Objective # 2	Budget Amount		
Task A.	\$\$\$\$\$		
Task B.	\$\$\$\$\$		
Total objective #2	\$\$\$\$\$		\$\$\$\$\$
Objective # 3	Budget Amount		
Task A.	\$\$\$\$\$		
Task B.	\$\$\$\$\$		
Total objective #3	\$\$\$\$\$		\$\$\$\$\$
EXPENSES			
Travel	\$\$\$\$\$		
Printing, equipment, etc.	\$\$\$\$\$		\$\$\$\$\$
TOTAL PROJECT COST			\$\$\$\$\$

Part 3 Evaluation, Monitoring, Reporting

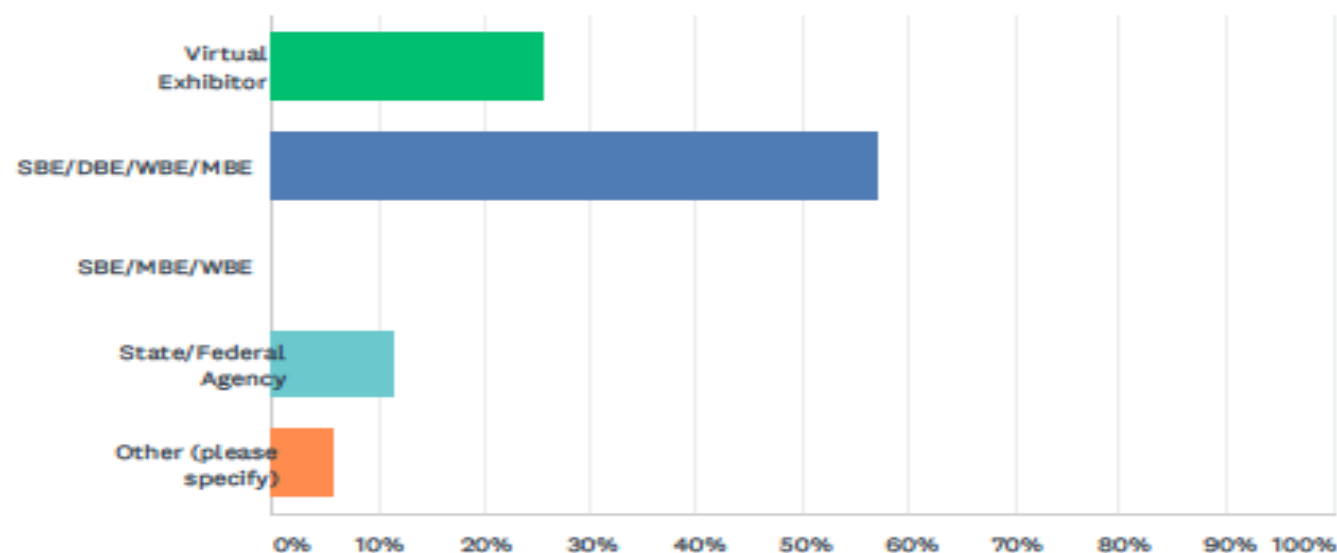
- Survey after events or training
- Narrative report each month
- Matrix showing deliverables
- Monthly scheduled virtual or conference call

Surveys

- There are several tools available to track progress, quality and content
- Survey monkey for surveys about quality of material, presenter as well as asking what other training a DBE would like to see
- Website analytics will follow all interest in a website

Q1 What best describes your attendance at this event?

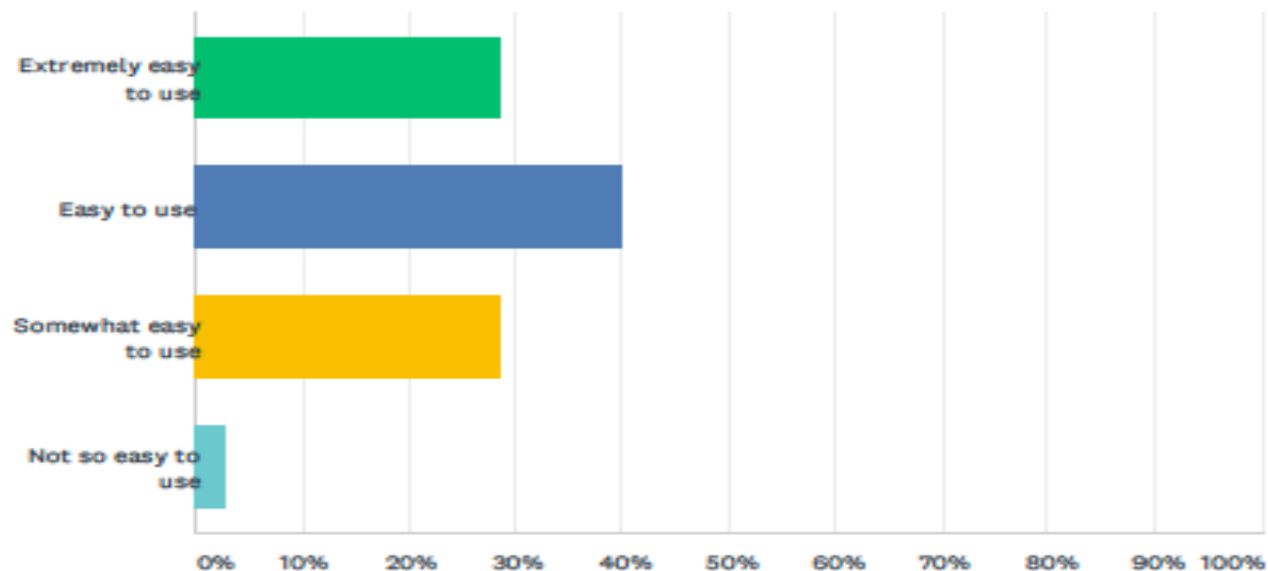
Answered: 35 Skipped: 1



ANSWER CHOICES	RESPONSES	
Virtual Exhibitor	25.71%	9
SBE/DBE/WBE/MBE	57.14%	20
SBE/MBE/WBE	0.00%	0
State/Federal Agency	11.43%	4
Other (please specify)	5.71%	2
TOTAL		35

Q3 Overall, how would you rate the ease of use of the platform?

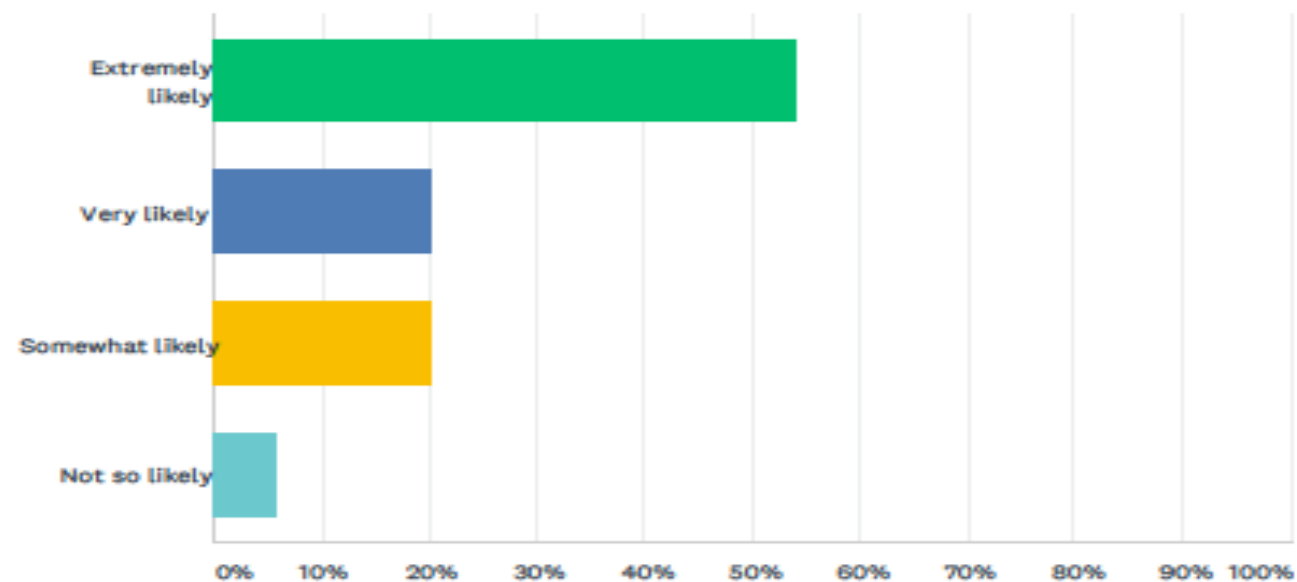
Answered: 35 Skipped: 1



ANSWER CHOICES	RESPONSES	
Extremely easy to use	28.57%	10
Easy to use	40.00%	14
Somewhat easy to use	28.57%	10
Not so easy to use	2.86%	1
TOTAL		35


Q5 How likely are you to attend a similar virtual event again in the future?

Answered: 35 Skipped: 1



ANSWER CHOICES	RESPONSES	
Extremely likely	54.29%	19
Very likely	20.00%	7
Somewhat likely	20.00%	7
Not so likely	5.71%	2
TOTAL		35

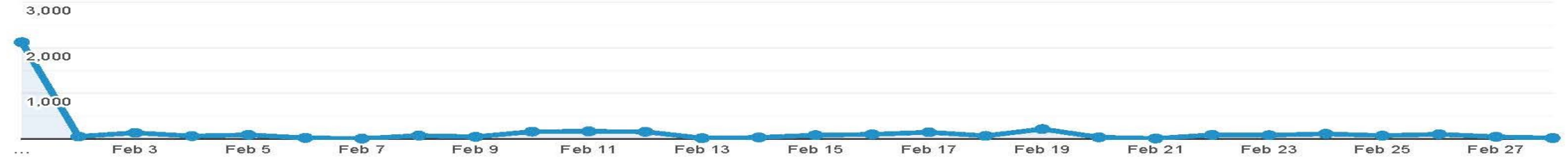
Overview

 All Users
100.00% Pageviews

Feb 1, 2021 - Feb 28, 2021

Overview

Pageviews



Pageviews
4,227

Unique Pageviews
3,772

Avg. Time on Page
00:01:12

Bounce Rate
89.70%

% Exit
73.93%

Page	Pageviews	% Pageviews
1. /	2,007	47.48%
2. /	689	16.30%
3. /registration-page.html	371	8.78%
4. /capability-statements.html	135	3.19%
5. /find-jobs-to-bid.html	92	2.18%
6. /commonly-asked-questions.html	87	2.06%
7. /professional-services.html	87	2.06%
8. /dbe-certification.html	80	1.89%
9. /resources-1.html	60	1.42%
10. /dbe-support.html	58	1.37%

Reporting

- There are several ways to build a reporting tool for the program it must contain the objectives , any minimum or max requirement, time frames, and the actual amount of deliverables

Attachment 2 – 2017-2018 MONTHLY ACTIVITY PLAN & REPORT

Objective #1 –												
Outcomes (Number of ...)	To International Results											
	Jul 20	Aug 20	Sept 20	Oct 20	Nov 20	Dec 20	Jan 21	Feb 21	Mar 21	Apr 21	May 21	June 21
Basic needs assessments completed	49	51	47	63	46	49						
	DATA ENTRY											
New DBE Orientations completed	19	21	22	29	31	27						
Outreach activities, events, webinars and workshops attended/facilitated	5	3	9	16	5	6						
SBEs, MBEs, and DBEs recruited to the program	28	35	29	26	30	23						
New community, agency, and business partnerships developed	1	2	1	1	1	1						
Potential BDP participants identified	6	1	3	0	4	1						
Total firms assisted by DBE / SS Assisted	184	171	212	232	186	262						

Insert your required goals here

Data entry to match deliverables

Tips

- Be concise
- Be clear and unambiguous
- Follow instructions
- Review SOW for contradictions/confusing language
- Avoid nonessential boilerplate and legal terminology
- Define acronyms
- Write for comprehension by 'a reasonable person'
- Recognize the implications of words like 'shall, will & must'

Changing Environment

As the past 15 months have shown us, things can change on a dime. Consider:

- Is your SOW flexible enough to deliver the program regardless of external forces?
- Are you nimble enough to make midstream alterations in support of program delivery?
- Do you have (and have you tested) a Continuity of Operations (COOP) Plan?

Your Agency's needs

What are the agency's needs today and vision for tomorrow?
Think about:

- The existing environment
- The current shortfalls in certain work types
- Any barriers that need to be removed?
- What are the program goals?
- What does/should the program look like next year or 5 years from now?

Services that can be listed as part of SOW

- New DBE orientations
- Bid matching assistance
- DBE Needs assessments
- Online and live training for DBEs
- One-on-one technical assistance
- Matchmaking and networking sessions
- Development of capability statements for DBEs
- Bonding and financing assistance
- Development and management of a DBE Entrepreneurial Development Institute (EDI)

Services that can be listed as part of SOW

- Creation of user-friendly DBE databases
- DBE certification assistance
- Assistance finding work opportunities
- DBE website development
- Assistance with estimating and bid development
- Assistance with business plan development
- DBE outreach
- Business Development Program implementation and administration

The Mis-Understanding!

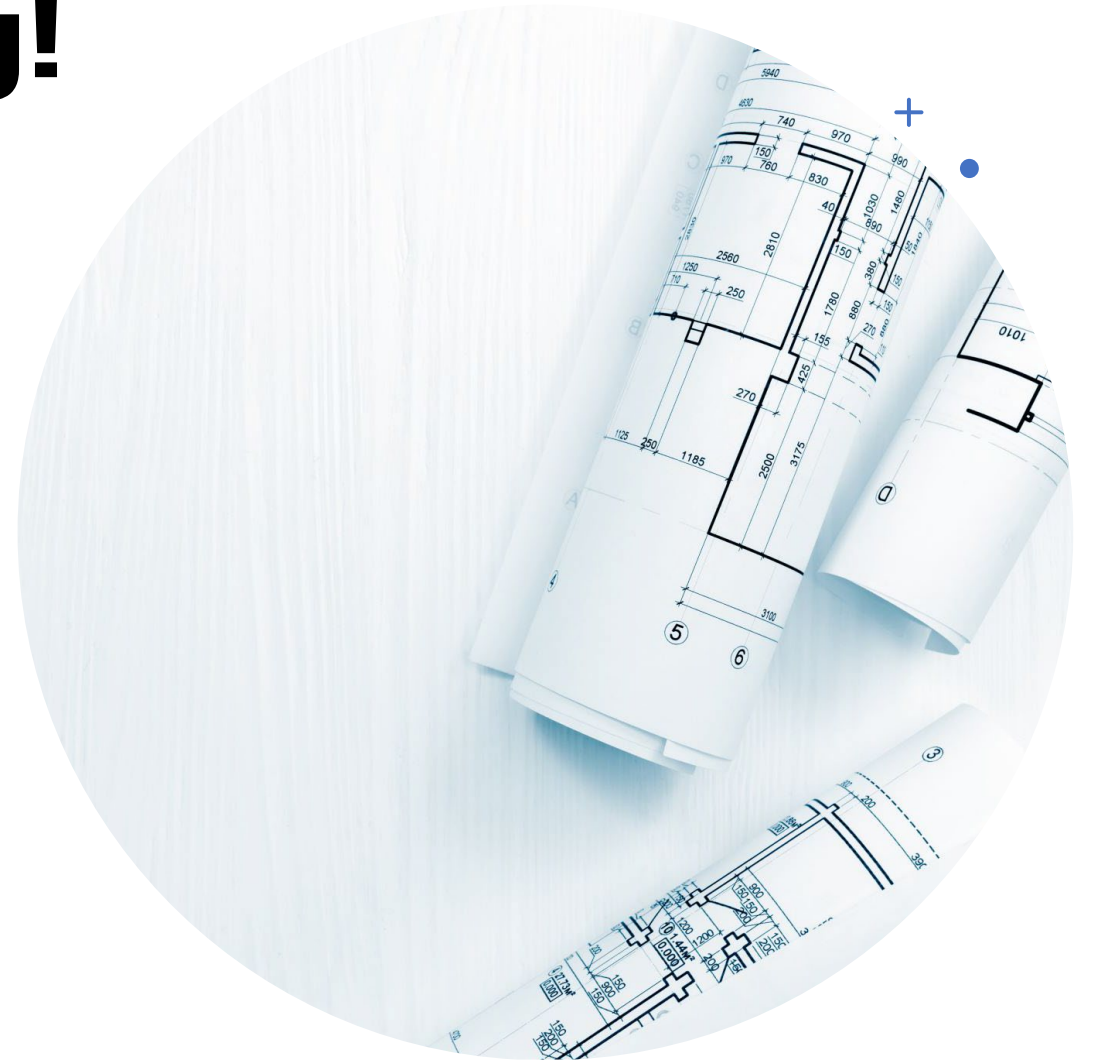
SOW (statement of work)

VS

SOW (scope of work)

SOW statement of work = goals and deliverables

SOW scope of work = how to meet goals and provide deliverables



Consequences of a Poor SOW

Pre-Award

- Bidder questions/confusion
- Delays or cancellation
- Difficulty in evaluating proposal
- Selection of low-performing or inadequate provider

Post-Award

- Default
- Loss of public trust
- Litigation
- Poor service to DBEs and applicant firms

View from a bidder

- Is there a dollar amount (lack of a budget amount for a contract can sometimes limit services when developing a response to a SOW)
- Sometimes putting a minimum or maximum of DBEs to a task can tie the providers hands to help other DBEs
- Once a required goal is met, DBEs looking for services might be turned away
- Budgeting an objective with several tasks and not budgeting the tasks but including a minimum number to be met allows some flexibility that has control measures in place
- Assumptions



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