Task Order Contracts: An Overview Based on User Experiences

Karen Sachi, SPA Grant Administrator
Frances Spalding, SPA Training Coordinator
Sarah Trachet, Health Policy and Management Grant Accountant
What are we going to cover?

• What is a “task order?”

• What are some general task order concepts?

• Who is the Health Policy and Management Group in the School of Public Health?

• Health Policy and Management (HPM) model for pre-award to close-out

• HPM’s best practices
ANY TIME DURING THE PRESENTATION THEY ARE WELCOMED!
What is a Task Order

A "task order contract" is a type of a "definite-quantity contact". A definite-quantity contract provides for delivery of a definite quantity of specific supplies or services for a fixed period, with deliveries or performance to be scheduled at designated locations upon order.*

*FAR Part 16. Subpart 16.5
So what does this definition mean to me?

Task orders are awards that have well defined activities for which there is a discreet budget, technical approach, and timetable for the deliverables under those activities.
Some Major Types of Contracts

• Master Contracts (IDIQs)

• Task Order Contracts

• General Contracts
Major Difference between Task Orders and Grants

- Generally far more stringent
- Budget often based on hours per task, per person
- Solicitations give targeted hours, not a dollar ceiling
- Funding agency requires more accountability
- No two task order solicitations request the same materials
- Sponsor is more involved with the direction of research
Things to consider with task based funding mechanisms, inspiration for the development of HPM model

- Request for Task Order Proposals (RTOPs) mechanisms vary based on context and agency
- RTOPs are vague about budget structure, work direction
- Clear communication lines among team members is mandatory
- Creation of a workable framework and milestones
- Being familiar with all the terms and conditions that could be applied to the task order
- Budget revisions are updated by the “Best and Final Offer” method
Who is the Division of Health Policy and Management (HPM) in the School of Public Health?

A department within the School of Public Health in the Academic Health Center, the Division of Health Policy & Management’s research influences policy and improves health care outcomes and health care delivery systems across the globe*.

Check out our research at:
http://www.sph.umn.edu/academics/divisions/hpm/research/

*We are supported 75% by our research activities
The HPM Task Order Model

- PI and Department Research Administrator (DRA) work together as key members of the Team
- DRAs may draft some of the technical sections
- DRA often act as the Project Managers for Proposal
- DRA involvement is both PreAward and PostAward
- Budget Design based on the Science requirements
- HPM has created templates for commonly requested information
Major Challenges with Task Order Requests for Proposals

- Budgets are very detailed
- Far more materials needed
- Proposal process is generally very competitive
- Far more accountability to the sponsor
- Very quick turnaround
- Require far more coordination and communication
Task Orders usually begin with the issuance of a RTOP

When a sponsor’s Request for Task Order Proposal is generated, the task order administer reviews the requirements and will send the RTOP to the SPA Grant Administrator.

The Department Research Administrator in HPM formulates the “to-dos” and necessary documentation in terms of a Project Manager.

Listings of all required materials are developed then the budget is roughed out.
RTOP generally include:

- Statement of Work/Schedule of Deliverables
- RTOP Submission Instructions
- Evaluation Criteria for Award
- Task Order Terms and Conditions
- Probably something on Past Performance
Once RTOP has been analyzed, time table is created

- Develop a “To-Do” Master List for all required items
- Work with PI to set due dates and who is responsible
- Make sure subawardees are involved
- Meet with PI every other day to keep on track
Creation of budget begins

- Budgets are task-based—each task has a separate column
- Budgets demonstrate each person in hours or days by task
- Budgets need to be competitive
- Budgets need to be easy to follow
- Budgets might be based on “fully loaded rates”
## Proposal Budget Example

### RMADA Evaluation of the Oncology Care Model: TORP-RMADA-2015-0025

**Principal Investigator:** Mickey Mouse  
**University of Minnesota Budget by Task**  
**Base Period Year 1:** Period September 01, 2015 - August 31, 2016

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EFFORT IN HOURS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mickey Mouse</td>
<td>176</td>
<td>24</td>
<td>150</td>
<td>144</td>
<td>0</td>
<td>40</td>
<td>0</td>
<td>0</td>
<td>40</td>
<td></td>
<td>624</td>
</tr>
<tr>
<td>Curious George</td>
<td>-</td>
<td>24</td>
<td>150</td>
<td>24</td>
<td>40</td>
<td>40</td>
<td>0</td>
<td>0</td>
<td>40</td>
<td></td>
<td>208</td>
</tr>
<tr>
<td>Scooby Doo</td>
<td>48</td>
<td>16</td>
<td>120</td>
<td>24</td>
<td>-</td>
<td>-</td>
<td>24</td>
<td>16</td>
<td>16</td>
<td></td>
<td>264</td>
</tr>
<tr>
<td>Taz</td>
<td>40</td>
<td>24</td>
<td>329</td>
<td>24</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>416</td>
</tr>
<tr>
<td>Woody Woodpecker</td>
<td>40</td>
<td>16</td>
<td>336</td>
<td>24</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>16</td>
<td></td>
<td>436</td>
</tr>
<tr>
<td>Miss Scarlett</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>48</td>
</tr>
<tr>
<td>Professor Plum</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>48</td>
</tr>
<tr>
<td>Mrs. Peacock</td>
<td>208</td>
<td>-</td>
<td>624</td>
<td>208</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>1,040</td>
</tr>
<tr>
<td>TBN Research Assistants</td>
<td>104</td>
<td>208</td>
<td>1,560</td>
<td>208</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>2,080</td>
</tr>
<tr>
<td>Reverend Green</td>
<td>208</td>
<td>-</td>
<td>312</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>520</td>
</tr>
<tr>
<td><strong>TOTAL DIRECT LABOR HOURS</strong></td>
<td>824</td>
<td>312</td>
<td>3,696</td>
<td>656</td>
<td>112</td>
<td>72</td>
<td>72</td>
<td>5,744</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SALARY IN DOLLARS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mickey Mouse</td>
<td>15,511</td>
<td>2,115</td>
<td>14,101</td>
<td>12,691</td>
<td>-</td>
<td>3,525</td>
<td>3,525</td>
<td>3,525</td>
<td>3,525</td>
<td>$88.13</td>
<td>$54,393</td>
</tr>
<tr>
<td>Curious George</td>
<td>-</td>
<td>1,426</td>
<td>9,504</td>
<td>1,426</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$59.40</td>
<td>$12,356</td>
</tr>
<tr>
<td>Scooby Doo</td>
<td>4,230</td>
<td>1,410</td>
<td>10,575</td>
<td>2,116</td>
<td>-</td>
<td>2,116</td>
<td>1,410</td>
<td>1,410</td>
<td>1,410</td>
<td>$87.82</td>
<td>$24,250</td>
</tr>
<tr>
<td>Taz</td>
<td>3,505</td>
<td>2,103</td>
<td>28,739</td>
<td>2,103</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$87.82</td>
<td>$36,450</td>
</tr>
<tr>
<td>Woody Woodpecker</td>
<td>2,442</td>
<td>977</td>
<td>20,515</td>
<td>1,455</td>
<td>-</td>
<td>2,931</td>
<td>977</td>
<td>977</td>
<td>977</td>
<td>$51.06</td>
<td>$30,285</td>
</tr>
<tr>
<td>Miss Scarlett</td>
<td>-</td>
<td>4,164</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$86.75</td>
<td>$4,164</td>
</tr>
<tr>
<td>Professor Plum</td>
<td>-</td>
<td>4,230</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$88.13</td>
<td>$4,230</td>
</tr>
<tr>
<td>Mrs. Peacock</td>
<td>11,777</td>
<td>-</td>
<td>35,331</td>
<td>11,777</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$56.02</td>
<td>$58,885</td>
</tr>
<tr>
<td>TBN Research Assistants</td>
<td>2,444</td>
<td>4,888</td>
<td>36,660</td>
<td>4,888</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$23.50</td>
<td>$48,880</td>
</tr>
<tr>
<td>Reverend Green</td>
<td>5,329</td>
<td>-</td>
<td>7,993</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$25.62</td>
<td>$13,322</td>
</tr>
<tr>
<td><strong>SUBTOTAL SALARY COSTS</strong></td>
<td>45,238</td>
<td>12,919</td>
<td>171,814</td>
<td>36,465</td>
<td>-</td>
<td>6,571</td>
<td>5,912</td>
<td>5,912</td>
<td>5,912</td>
<td>$266,831</td>
<td></td>
</tr>
</tbody>
</table>
Developing Resources

- RTOPs will often request similar information for proposals—Blurbs about the UMN, Past Performance, Accounting Systems
- Resources and references may be used in the Technical, Business, or Appendix
- Bookmark key UMN websites
Submissions considerations

- Include your SPA GA as a key member of your team—they are an incredible resource.
- Submissions are very competitive—appearance is critical.
- Have back up documentation for every cost at point of developing budget.
- Business and Technical are separate bound.
Post award and its challenges

• So, the agency has said you have a competitive bid....

• You may go through a Best and Final Offer process

• SPA will have to negotiate all sorts of onerous clauses—do not start working until contract fully executed

• Get team together and go over deliverables due dates
Reporting

- Work with SFR to create invoices that include all the elements required by sponsor including hours by task/by person.
- Back-up travel documentation (detailed receipts for each expense)
- Departmental spreadsheets/PI Reports need to have a verification process to tie out to EFS or UMReports
- Monthly financial invoice must match the monthly progress report
### Invoice Example

**University of Minnesota, Contract #98765 / PO 3000012345**

**Evaluating Fainting Goats: The Impact in Minnesota**

**Project Period:** August 2, 2014 through January 31, 2016

**Invoice Period:** February 3, 2015 through April 30, 2015

<table>
<thead>
<tr>
<th>Task</th>
<th>Current Invoice</th>
<th>Cumulative Expenses (including current invoice)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Budget</td>
<td>Salary</td>
</tr>
<tr>
<td>Task 1</td>
<td>Develop Work Plan</td>
<td>3,903</td>
</tr>
<tr>
<td></td>
<td>Expense %</td>
<td>0%</td>
</tr>
<tr>
<td>Task 2</td>
<td>Identify Decision Points, Challenges, Options</td>
<td>70.196</td>
</tr>
<tr>
<td></td>
<td>Expense %</td>
<td>10%</td>
</tr>
<tr>
<td>Task 3</td>
<td>Compile Information and Results</td>
<td>16,703</td>
</tr>
<tr>
<td></td>
<td>Expense %</td>
<td>94%</td>
</tr>
<tr>
<td>Task 4</td>
<td>Provide Communication of Results</td>
<td>6,795</td>
</tr>
<tr>
<td></td>
<td>Expense %</td>
<td>32%</td>
</tr>
<tr>
<td>Task 5</td>
<td>Project Mgmt/ Communication</td>
<td>4,555</td>
</tr>
<tr>
<td></td>
<td>Expense %</td>
<td>75%</td>
</tr>
<tr>
<td>PROJECT TOTALS</td>
<td>102,152</td>
<td>42,794</td>
</tr>
<tr>
<td></td>
<td>Expense %</td>
<td>28%</td>
</tr>
</tbody>
</table>

**Notes:**
- The budget lines are the awarded amount by task. There is no budget by quarter that would correspond to the invoice period.
- The expense lines are the actual expenses incurred during the invoice period (left side) and cumulative year to date (right side).
<table>
<thead>
<tr>
<th>REPORT PREPARED:</th>
<th>Task 1</th>
<th>Task 2</th>
<th>Task 3</th>
<th>Task 4</th>
<th>Task 5</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Budget</td>
<td>Actual</td>
<td>Pct</td>
<td>Budget</td>
<td>Actual</td>
<td>Pct</td>
</tr>
<tr>
<td>1/25/2016</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PERSONNEL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PI</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mickey Mouse</td>
<td>10</td>
<td>156</td>
<td>20.50</td>
<td>60</td>
<td>41.00</td>
<td>68%</td>
</tr>
<tr>
<td>Inv</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>3.51</td>
<td>-</td>
</tr>
<tr>
<td>Inv</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scooby Doo</td>
<td>5</td>
<td>272</td>
<td>22.40</td>
<td>10</td>
<td>22.40</td>
<td>-</td>
</tr>
<tr>
<td>Research</td>
<td>40</td>
<td>260</td>
<td>22.40</td>
<td>70</td>
<td>170.58</td>
<td>-</td>
</tr>
<tr>
<td>Buzz Lightyear</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analyst</td>
<td>20</td>
<td>442</td>
<td>34.80</td>
<td>34.80</td>
<td>34.80</td>
<td>-</td>
</tr>
<tr>
<td>Coordn</td>
<td>40</td>
<td>225</td>
<td>48.85</td>
<td>235</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Research</td>
<td>-</td>
<td>524</td>
<td>140.00</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Woody</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EFFORT</td>
<td>115</td>
<td>1,879</td>
<td>137.09</td>
<td>495</td>
<td>412.29</td>
<td>83%</td>
</tr>
<tr>
<td>Salaries</td>
<td>3,903</td>
<td>70,196</td>
<td>6,889.97</td>
<td>16,703</td>
<td>15,779.23</td>
<td>94%</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>1,311</td>
<td>30,471</td>
<td>2,328.81</td>
<td>7,199</td>
<td>7,278.62</td>
<td>-</td>
</tr>
<tr>
<td>TOTAL DIRECT LABOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Deliverables

- Task Order Contracts (TOCs) generally have a Statement of Work (SOW)
- SOWs is a detailed “To-Do” list with due dates and requirements
- Most TOCs have a requirement to send in a monthly progress report detailing what was accomplished during the month
- Agencies generally only pay for work performed
Best Practices of HPM in a nutshell

Lets do a quick review:

- Work as a team
- Begin the process early with RTOP and involvement with SPA
- Have a working knowledge of the technical aspects of study
- Work closely with PI during project and delivery phases
- Work with PI, SPA and SFR to ensure a timely closeout of award
Reference Sites

- UMN Logos: URelations: [https://www.ur.umn.edu/brand/](https://www.ur.umn.edu/brand/)
- Blurbs about the UMN: [http://twin-cities.umn.edu/about-us](http://twin-cities.umn.edu/about-us)
- Annual Statements and A133 Audit Reports: [http://finsys.umn.edu/annual-reports/index.html](http://finsys.umn.edu/annual-reports/index.html)
- University Org Charts: [http://president.umn.edu/about-president-kaler](http://president.umn.edu/about-president-kaler)
- Bond Ratings: [http://finance.umn.edu/debt_ratings.html](http://finance.umn.edu/debt_ratings.html)
- Federal Solicitation Site: [www.fbo.gov](http://www.fbo.gov)
Abbreviations and Terminology

- BaFO—Best and Final Offers
- COB—Close of Business
- COTR—Contracting Officer Technical Representative
- IDIQs—Indefinite Delivery, Indefinite Quantity (Master Agreements)
- RFP—Request for Proposals (Pre award)
- RTDs—Retros (HSAs prior to Upgrade)
- RTOP—Request for Task Order Proposals (Pre award)
- RTORP—Request for Task Order Research Proposals (Pre award)
- SOW—Statement of Work
- TEP—Technical Expert Panel Member
- TOC—Task Order Contract (Post award)
Additional Available Materials at SPA Symposium IX Site

Reference 1: Full Request for Task Order Proposal
Reference 2: RTOP To-Do Example
Reference 3: Full Proposal Budget Example
Reference 4: Full Budget Justification Example
Reference 5: Full Financial PI/Invoice Report