

## FY25 Risk Assessment Instrument (RAI) for Administrative Contracts Information Technology Services (ITS)

#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
1	Total Contract Value	What is the maximum value of the Contract for the initial term including renewals?	<input type="checkbox"/> \$50,000 or Less	<input type="checkbox"/> \$50,001 - \$1M	<input type="checkbox"/> More than \$1M	<input type="checkbox"/> Final executed contract
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2	Total Contract Term	What is the maximum Contract term which includes renewals?	<input type="checkbox"/> 0 - 2 Years	<input type="checkbox"/> 2 - 5 Years	<input type="checkbox"/> More than 5 Years	<input type="checkbox"/> Final executed contract
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3	Method of Procurement	Purchase on DIR Contract or any other State Managed Contract or Term Contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No, DIR Exemption up to \$5M	<input type="checkbox"/> No, DIR Exemption up to \$10M	<input type="checkbox"/> Agency Solicitation <input type="checkbox"/> Quote <input type="checkbox"/> Exemption
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
4	Contractor Type	Identify the contractor type based on the contractor's Legal Entity type as designated.	<input type="checkbox"/> Governmental Entity  <input type="checkbox"/> Non-Profit created by statute (ITS specific)	<input type="checkbox"/> Non-Profit [501(c)(3)]	<input type="checkbox"/> For Profit Vendor	<input type="checkbox"/> Secretary of State (SOS Direct)
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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5	Payment Type of Primary Contract Service	Identify amount of time, number of steps, degree of difficulty, and level of reporting necessary to complete transactions.	<ul style="list-style-type: none"> <li>■ Maintenance and Support</li> </ul>	<ul style="list-style-type: none"> <li>■ Firm-Fixed Price, Deliverable-Based</li> </ul>	<ul style="list-style-type: none"> <li>■ Time and Materials</li> </ul>	<ul style="list-style-type: none"> <li>■ SCOR Contract Detail Page</li> <li>■ Contract Documents (including Purchase Orders)</li> <li>■ CAPPs FIN Voucher Information</li> </ul>
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6	Percent of Monetary Change from Prior Fiscal Years	<p>Compare the value of the contract from fiscal year 2023 with the anticipated value of the contract for fiscal year 2024.</p> <p>Based on a comparison of either:</p> <ul style="list-style-type: none"> <li>■ Fiscal year budget amounts for the prior and current fiscal years (for contracts <u>with a defined budget</u>).</li> <li>■ Prior fiscal year expenditures and anticipated current fiscal year expenditures (for contracts <u>without a defined budget</u>).</li> </ul>	<ul style="list-style-type: none"> <li>■ Decrease in budget</li> <li>■ New contractor with no payment history providing this service</li> <li>■ &lt;5% increase</li> </ul>	<ul style="list-style-type: none"> <li>■ 5% to 10% increase</li> </ul>	<ul style="list-style-type: none"> <li>■ &gt;10% increase</li> </ul>	<ul style="list-style-type: none"> <li>■ Contract Files</li> <li>■ Payment History Report from Accounting (CAPPs FIN)</li> <li>■ SCOR</li> <li>■ Prior RAI</li> <li>■ Change Requests and Amendments</li> </ul>
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7	Contractor Experience Contracting to Provide Goods/Services to DFPS	Identify the vendor's history contracting with DFPS based on the number of months that the contractor has contracted with DFPS for any service, including both client services and administrative.	<ul style="list-style-type: none"> <li>■ 37 Months or More</li> </ul>	<ul style="list-style-type: none"> <li>■ 13 to 36 Months</li> </ul>	<ul style="list-style-type: none"> <li>■ 12 Months <u>or Less</u></li> </ul>	<ul style="list-style-type: none"> <li>■ SCOR</li> <li>■ VPTS</li> <li>■ Vendor Solicitation Response</li> </ul>
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			Bulleted Items = "Or"			
8	Percentage of Services Performed by Sub-contractors	Identify contractor's use of subcontractors for direct service delivery and management services related to this contract.	<ul style="list-style-type: none"> <li>■ No Subcontractor Involvement</li> </ul>	<ul style="list-style-type: none"> <li>■ Subcontractors account for <u>less than 25%</u> of contract expenditures</li> </ul>	<ul style="list-style-type: none"> <li>■ Subcontractors account for <u>25% or more</u> of expenditures</li> </ul>	<ul style="list-style-type: none"> <li>■ Self-Reported by Contractor</li> <li>■ HUB Subcontracting report</li> </ul>
			○ ○ ○			
9	Quality of Services	Identify contractor's ability to demonstrate and achieve satisfactory service levels for the contract-required activities/deliverables as reported by the contract programmatic contact.	<ul style="list-style-type: none"> <li>■ New contractor with no prior contract</li> <li>■ All service levels and contract requirements were satisfactory in the previous contract year</li> </ul>	<ul style="list-style-type: none"> <li>■ Concerns with services levels and contract requirements were promptly remedied by contractor</li> </ul>	<ul style="list-style-type: none"> <li>■ Concerns with service levels and contract requirements were remedied with moderate to critical issues during the resolution</li> <li>■ VPTS report of C or below</li> </ul>	<ul style="list-style-type: none"> <li>■ 9102ADMIN (Uploaded in SCOR)</li> <li>■ VPTS Search at <a href="http://www.txsmartbuy.com/vpts">http://www.txsmartbuy.com/vpts</a> --- (Must use Chrome as your browser)</li> </ul>
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10	Longevity of Key Contract Liaison Staff	Consider changes in key contractor liaison staff responsible for contract activity, reporting and administration within the timeframes indicated.	<ul style="list-style-type: none"> <li>■ <u>No change</u> to key liaison staff within the past 18 months</li> </ul>	<ul style="list-style-type: none"> <li>■ Change in key liaison staff <u>in the last 12-18 months</u></li> </ul>	<ul style="list-style-type: none"> <li>■ Change in key liaison staff <u>in the past 12 months</u></li> </ul>	<ul style="list-style-type: none"> <li>■ Procurement documents</li> <li>■ ICSQ</li> <li>■ RAQ</li> <li>■ Contract files</li> </ul>
			○ ○ ○			
11	Vendor Failure Impact	Which of the following best describes the users impacted by a Contract failure?	<ul style="list-style-type: none"> <li>■ Failure will impact internal department operations only</li> </ul>	<ul style="list-style-type: none"> <li>■ Failure will impact internal and external users</li> </ul>	<ul style="list-style-type: none"> <li>■ Failure will have a statewide impact, violate state and or federal mandates or result in the loss of substantial funds</li> </ul>	<ul style="list-style-type: none"> <li>■ Analysis by Program</li> <li>■ SMP</li> <li>■ VPTS</li> </ul>
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12	Business Process Impact	Level of impact to end user's business process?	<ul style="list-style-type: none"> <li>■ Not Applicable or Business processes from a single business unit within an agency will be impacted</li> </ul>	<ul style="list-style-type: none"> <li>■ Business processes from an entire agency will be impacted</li> </ul>	<ul style="list-style-type: none"> <li>■ Business process for more than one state agency, multiple local, state, and/or federal entities will be impacted</li> </ul>	<ul style="list-style-type: none"> <li>■ BRM</li> <li>■ SME</li> <li>■ Solicitation documents</li> </ul>
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
13	Software Technology Customization	What level of customization is required for this solution?	<ul style="list-style-type: none"> <li>■ All requirements can be satisfied with mature or Commercial Off-The-Shelf (COTS) products</li> </ul>	<ul style="list-style-type: none"> <li>■ The requirement may be partially customized and partially COTS</li> </ul>	<ul style="list-style-type: none"> <li>■ Fully customized solution</li> </ul>	<ul style="list-style-type: none"> <li>■ BRM</li> <li>■ SME</li> <li>■ Solicitation documents</li> </ul>
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
14	Impact on Existing Application or Infrastructure	Which of the following best describes the impact on existing application / infrastructure?	<ul style="list-style-type: none"> <li>■ Maintenance or Minor Enhancement to the existing application or infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>■ Major Enhancement or Product/System is a replacement and <b>will not</b> impact other existing applications or infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>■ Product/System is new and <b>will</b> impact other existing applications or infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>■ ARB Approval</li> <li>■ Contract File</li> </ul>
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
15	Interface Connectivity	Which of the following best describes the interface connectivity of the proposed system?	<ul style="list-style-type: none"> <li>■ Not applicable or existing without new interfaces</li> <li>■ The new system will interface with existing internal only applications</li> </ul>	<ul style="list-style-type: none"> <li>■ Product is a new system which will interface with 5 or less internal/external applications</li> </ul>	<ul style="list-style-type: none"> <li>■ Product is a new system and will interface with more than 5 internal/external applications</li> </ul>	<ul style="list-style-type: none"> <li>■ BRM</li> <li>■ SME</li> <li>■ Final executed contract</li> </ul>
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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