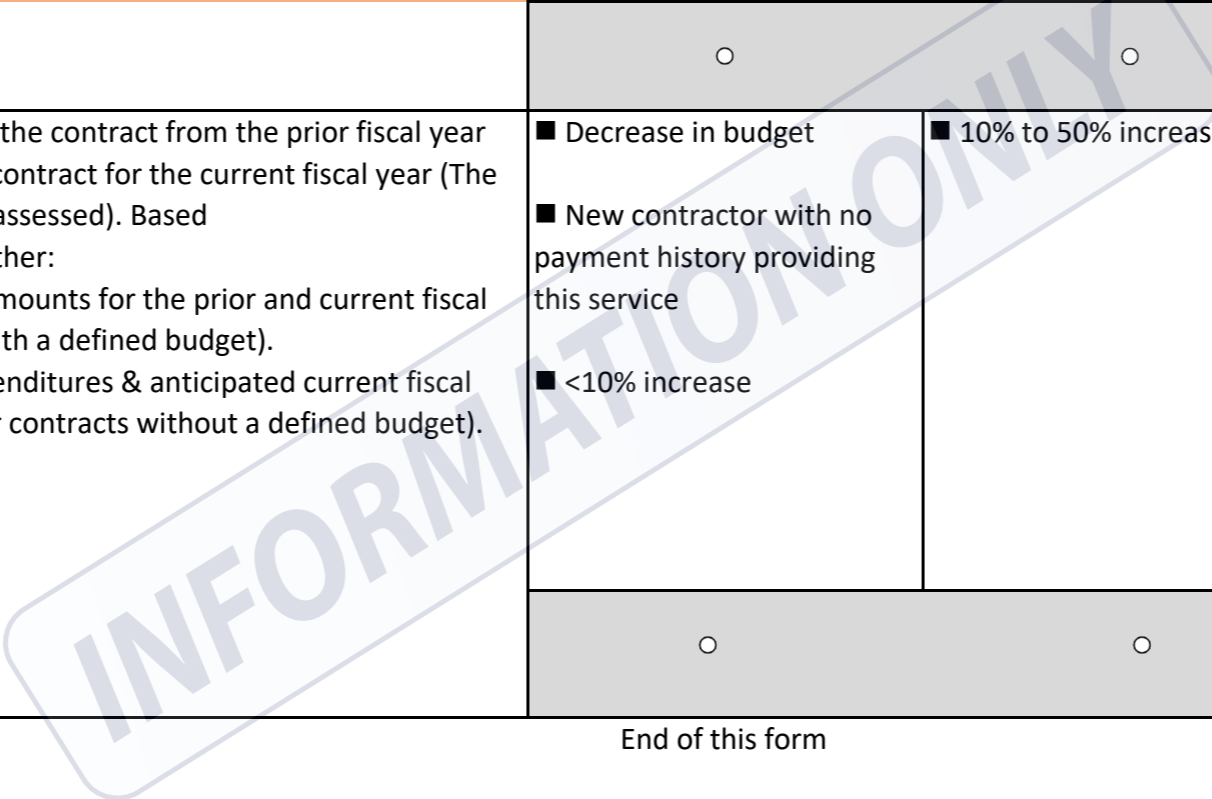


FY25 Risk Assessment Instrument (RAI) for Administrative Contracts State Office (SO)

#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
1	Contractor Type	Identify the contractor type, either Governmental Entity, Non-Profit, or For Profit, based on the contractor's Legal Entity type as designated.	<input checked="" type="checkbox"/> Governmental Entity	<input checked="" type="checkbox"/> Non-Profit	<input checked="" type="checkbox"/> For Profit	<input checked="" type="checkbox"/> Secretary of State (SOS Direct)
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2	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 held a contract(s) with DFPS (for any service, including both client services and administrative).	<input checked="" type="checkbox"/> 48 Months or More	<input checked="" type="checkbox"/> 13 - 47 Months	<input checked="" type="checkbox"/> 12 Months or Less	<input checked="" type="checkbox"/> SCOR
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3	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.	<input checked="" type="checkbox"/> New contractor with no prior contract <input checked="" type="checkbox"/> All service levels were satisfactory in the previous contract year	<input checked="" type="checkbox"/> Concerns with services levels and contract requirements were promptly remedied by contractor	<input checked="" type="checkbox"/> Concerns with service levels and contract requirements were remedied with moderate to critical issues during the resolution <input checked="" type="checkbox"/> VPTS report of C or below	<input checked="" type="checkbox"/> 9102ADMIN (Uploaded in SCOR) <input checked="" type="checkbox"/> VPTS Search at: http://www.txsmartbuy.com/vpts (Must use Chrome as your browser)

#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
			○	○	○	
4	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"> ■ No change to key liaison staff within the past 18 months 	<ul style="list-style-type: none"> ■ Change in key liaison staff in the last 12 - 18 months 	<ul style="list-style-type: none"> ■ Change in key liaison staff in the past 12 months 	<ul style="list-style-type: none"> ■ Self Reported by Contractor ■ Gathered by Contract Management/ Programmatic Staff
			○	○	○	
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"> ■ Fee for Service (FFS) ■ Rate-Set Payments ■ Deliverable-based ■ Per Capita 	<ul style="list-style-type: none"> ■ Cost Reimbursement (CR) <u>without match</u> requirements, regardless of whether or not Fee for Service is included 	<ul style="list-style-type: none"> ■ Cost Reimbursement (CR) <u>with match</u> requirements ■ Mixed Payment Types which include Rate-Set Payments 	<ul style="list-style-type: none"> ■ SCOR Contract Detail Page ■ Contract Documents (including Pos) ■ CAPPS FIN 9.2 Voucher Information
			○	○	○	
6	Percentage of Services Performed by Sub-contractors	Identify contractor's use of subcontractors for direct service delivery and management services related to this contract (e.g., Claims Processor).	<ul style="list-style-type: none"> ■ No Subcontractor Involvement 	<ul style="list-style-type: none"> ■ Subcontractors account for less than 50% of contract expenditures 	<ul style="list-style-type: none"> ■ Subcontractors account for 50% of more of expenditures 	<ul style="list-style-type: none"> ■ Self-Reported by Contractor ■ Contract Management /Programmatic Staff

#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
			○	○	○	
7	Percent of Monetary Change from Prior Fiscal Year	Compare the value of the contract from the prior fiscal year with the value of the contract for the current fiscal year (The year of the RAI being assessed). Based on a comparison of either: <ul style="list-style-type: none"> • Fiscal year budget amounts for the prior and current fiscal years (for contracts with a defined budget). • Prior fiscal year expenditures & anticipated current fiscal year expenditures (for contracts without a defined budget). 	<ul style="list-style-type: none"> ■ Decrease in budget ■ New contractor with no payment history providing this service ■ <10% increase 	<ul style="list-style-type: none"> ■ 10% to 50% increase 	<ul style="list-style-type: none"> ■ >50% increase 	<ul style="list-style-type: none"> ■ Contract Files ■ Payment History Report from Accounting (CAPPS FIN 9.2) ■ SCOR ■ Prior RAI ■ Change Requests and Amendments
			○	○	○	



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