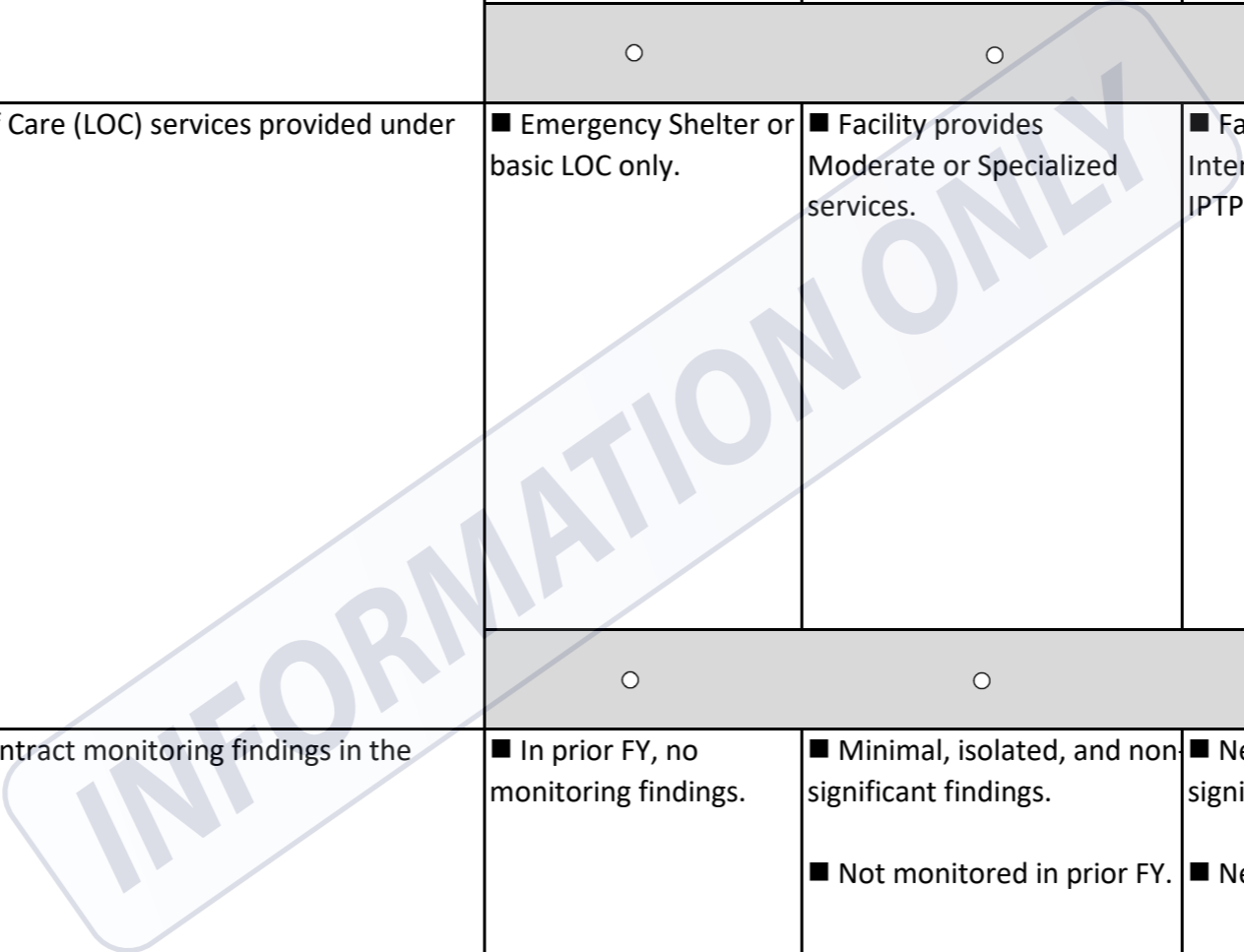


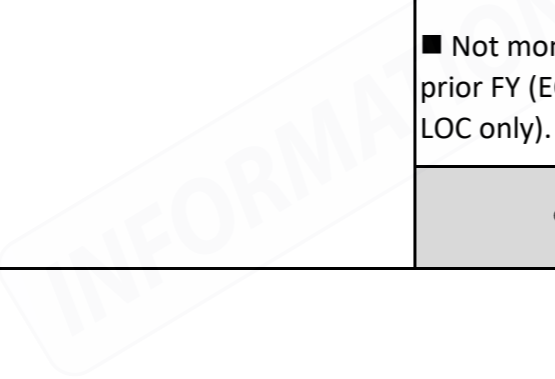
FY25 Risk Assessment Instrument (RAI) for Client Services Contracts Residential Child Care (RCC)

#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
1	New Contractor Readiness (Programmatic)	Identify the contractor’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 client services).	<ul style="list-style-type: none"> ■ Not applicable, contractor has 25 months or more experience. 	<ul style="list-style-type: none"> ■ Contractor has more than 12 months but less than 24 months experience. 	<ul style="list-style-type: none"> ■ New contractor with 12 months or less experience. 	<ul style="list-style-type: none"> ■ Enrollment, Application Documents, and any contract record ■ RCC Compliance Assessment Questions
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2	RELATED PARTY TRANSACTIONS (Administrative)	Identify existence of any less than arms-length transactions between the contractor and a related party during the previous fiscal year.	<ul style="list-style-type: none"> ■ No related party transactions. 	<ul style="list-style-type: none"> ■ Related party transactions (non-recurring or non-compensated). 	<ul style="list-style-type: none"> ■ Related party transactions (recurring and compensated). 	<ul style="list-style-type: none"> ■ ICSQ ■ Audits ■ Cost Report Data ■ 9025A
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3	COST REPORTS (Administrative)	Identify timeliness of submission of cost reports for the previous fiscal year.	<ul style="list-style-type: none"> ■ Contractor was timely with submission. 	<i>(intentionally left blank)</i>	<ul style="list-style-type: none"> ■ Cost report was not submitted timely, and resulted in DFPS notification. 	<ul style="list-style-type: none"> ■ Spreadsheet provided by RCC Management.
			<ul style="list-style-type: none"> ■ Not applicable for cost report. 		<input type="radio"/>	

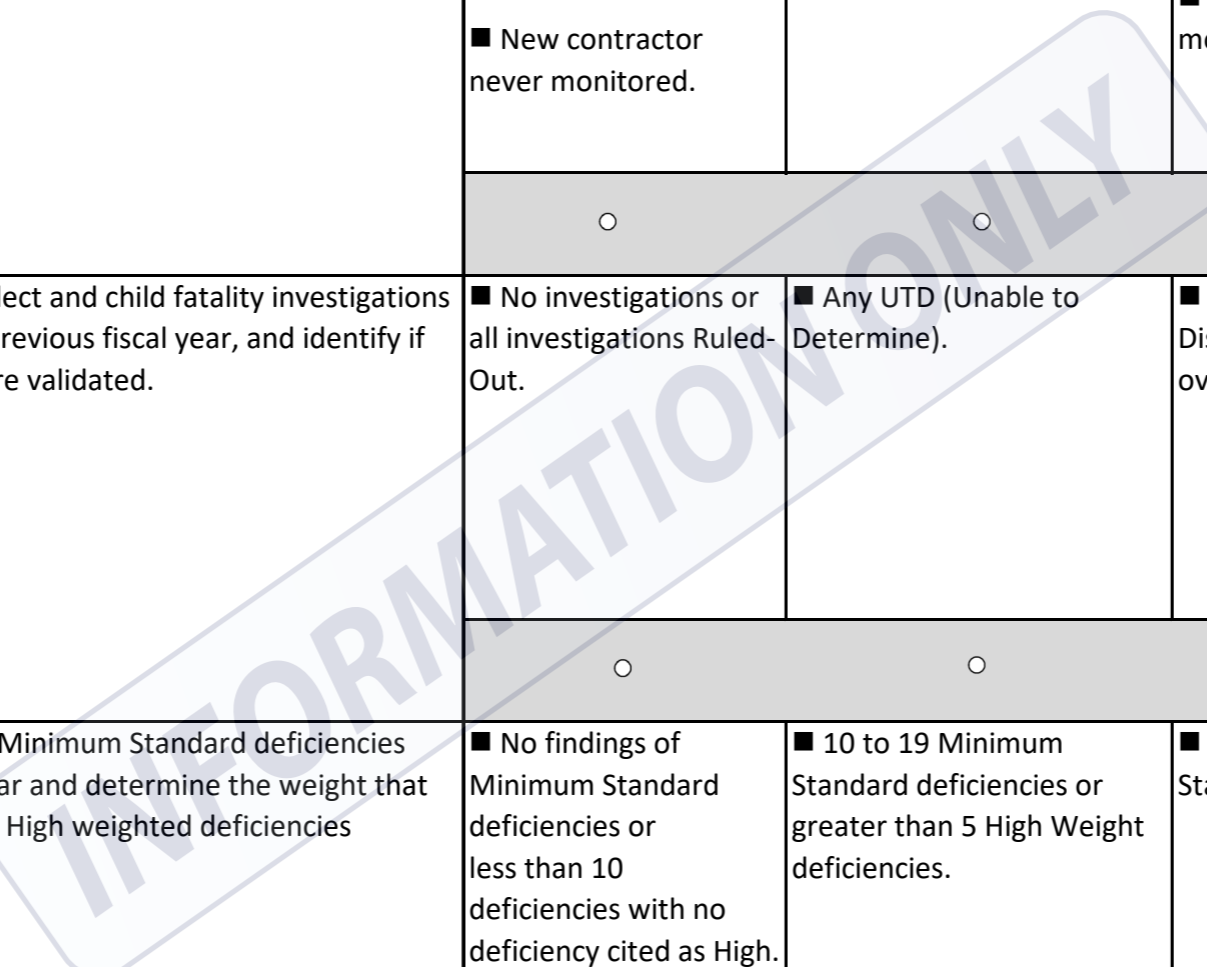
4	EXPERIENCE OF KEY MANAGEMENT STAFF (Administrative)	Identify the average experience of key management staff with fiscal or programmatic components of the contracted service.	■ On average, 2 or more years of experience with fiscal and programmatic components of federal and/or state contracted programs.	■ On average, 2 or more years of experience, with fiscal <u>or</u> programmatic components of federal and/or state contracted programs.	■ On average, less than 2 years of experience with fiscal <u>or</u> programmatic components of federal and/or state contracted programs.	■ Procurement Documents ■ Contract Files ■ RCC Compliance Assessment Questions
5			■ Emergency Shelter or basic LOC only.	■ Facility provides Moderate or Specialized services.	■ Facility provides Intense, Intense Plus, TFFC, QRTP, TEP or IPTP services.	■ 3rd Party Reviewer Initial or LOC Modification Compliance Letter ■ IMPACT - Facility Detail Page -Service Level History Section
6	MONITORING FINDINGS (Programmatic)	Identify any SMP contract monitoring findings in the previous fiscal year.	■ In prior FY, no monitoring findings.	■ Minimal, isolated, and non-significant findings. ■ Not monitored in prior FY.	■ New contractor - 1 or more significant monitoring findings. ■ Never monitored.	■ Contract Files ■ SCOR: Monitoring Module ■ Monitoring Report ■ Report from RCC Management



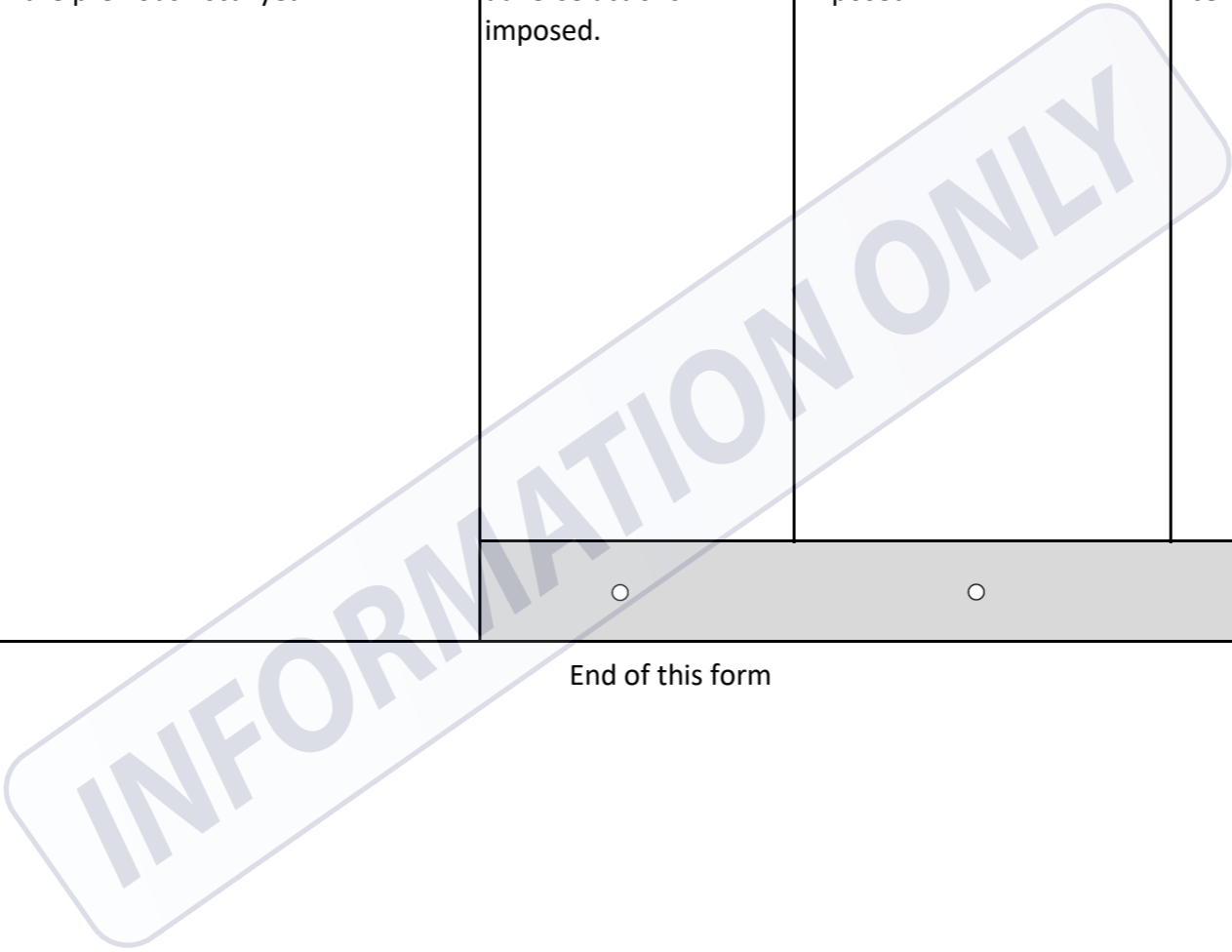
			○ ○ ○			
7	3RD PARTY REVIEWER FINDINGS (Programmatic)	Identify any 3rd party reviewer (YFT) monitoring finding(s) in the previous fiscal year.	<ul style="list-style-type: none"> ■ In prior FY, no 3rd party reviewer monitoring findings. ■ Not monitored in prior FY (ECS or Basic LOC only). 	<ul style="list-style-type: none"> ■ Management response to 3rd party reviewer findings accepted after multiple attempts to support compliance with indicators. 	<ul style="list-style-type: none"> ■ 3rd party reviewer Final No Letter. 	<ul style="list-style-type: none"> ■ YFT Letters
			○ ○ ○			



8	MONITORING FREQUENCY (Programmatic)	Identify the last time the contract was monitored programmatically.	<ul style="list-style-type: none"> ■ Contractor monitored last Fiscal Year. ■ New contractor never monitored. 	<ul style="list-style-type: none"> ■ Contractor monitored in at least one of the last 2 FY's. 	<ul style="list-style-type: none"> ■ Contractor not monitored in the previous 2 fiscal years or ■ Existing contractor never monitored. 	<ul style="list-style-type: none"> ■ Contract Files ■ SCOR: Monitoring Module ■ Monitoring Report(s)
○ ○ ○						
9	INVESTIGATIONS (Programmatic)	Identify all abuse/neglect and child fatality investigations for the facility in the previous fiscal year, and identify if any investigations were validated.	<ul style="list-style-type: none"> ■ No investigations or all investigations Ruled-Out. 	<ul style="list-style-type: none"> ■ Any UTD (Unable to Determine). 	<ul style="list-style-type: none"> ■ Any Reason to Believe (RTB) Disposition that was not later overturned by SOAH. 	<ul style="list-style-type: none"> ■ Investigations Report <p>Note: RCC Management may provide a spreadsheet for this factor.</p>
○ ○ ○						
10	LICENSING MINIMUM STANDARD DEFICIENCIES (Programmatic)	Review the history of Minimum Standard deficiencies over the past fiscal year and determine the weight that the Medium-High and High weighted deficiencies represent.	<ul style="list-style-type: none"> ■ No findings of Minimum Standard deficiencies or less than 10 deficiencies with no deficiency cited as High. 	<ul style="list-style-type: none"> ■ 10 to 19 Minimum Standard deficiencies or greater than 5 High Weight deficiencies. 	<ul style="list-style-type: none"> ■ 20 or more Minimum Standard deficiencies. 	<ul style="list-style-type: none"> ■ CLASS Compliance Report
○ ○ ○						



11	LICENSING CORRECTIVE OR ADVERSE ACTIONS (Programmatic)	Identify any corrective or adverse actions imposed on the operation's license in the previous fiscal year.	<input type="checkbox"/> No corrective or adverse actions imposed.	<input type="checkbox"/> Voluntary plan of action imposed.	<input type="checkbox"/> Probation imposed by licensing.	<input type="checkbox"/> Data Warehouse Reports: • CLASS_04 = Corrective Action Report • CLASS_02 = Adverse Action Report <input type="checkbox"/> RCCL Report - Failure to Report
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	



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