

FY24 Risk Assessment Instrument (RAI) - Administrative Contracts
 (Information for use in Technology Services (ITS) Contracts)

#	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?	■ \$50,000 or Less	■ \$50,001 - \$1M	■ More than \$1M	■ Final executed contract
			○	○	○	
2	Total Contract Term	What is the maximum Contract term which includes renewals?	■ 0 - 2 Years	■ 2 - 5 Years	■ More than 5 Years	■ Final executed contract
			○	○	○	
3	Method of Procurement	Purchase on DIR Contract or any other State Managed Contract or Term Contract?	■ Yes	■ No, DIR Exemption up to \$5M	■ No, DIR Exemption up to \$10M	■ Agency Solicitation ■ Quote ■ Exemption
			○	○	○	
4	Contractor Type	Identify the contractor type based on the contractor's Legal Entity type as designated.	■ Governmental Entity ■ Non-Profit created by statute (ITS specific)	■ Non-Profit [501(c)(3)]	■ For Profit Vendor	■ Secretary of State (SOS Direct)
			○	○	○	
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.	■ Maintenance and Support	■ Firm-Fixed Price, Deliverable-Based	■ Time and Materials	■ System of Contract Operations and Reporting (SCOR) Contract Detail Page ■ Contract Documents (including Purchase Orders) ■ CAPPs FIN Voucher Information
			○	○	○	

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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"> ■ Fiscal year budget amounts for the prior and current fiscal years (for contracts <u>with a defined budget</u>). ■ Prior fiscal year expenditures and anticipated current fiscal year expenditures (for contracts <u>without a defined budget</u>). 	<ul style="list-style-type: none"> ■ Decrease in budget ■ New contractor with no payment history providing this service ■ <5% increase 	<ul style="list-style-type: none"> ■ 5% to 10% increase 	<ul style="list-style-type: none"> ■ >10% increase 	<ul style="list-style-type: none"> ■ Contract Files ■ Payment History Report from Accounting (CAPPS FIN) ■ System of Contract Operations and Reporting (SCOR) ■ Prior RAI ■ Change Requests and Amendments
			○	○	○	
7	Contractor Experience Contracting to Provide Goods/Services to DFPS	<p>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.</p>	<ul style="list-style-type: none"> ■ 37 Months or More 	<ul style="list-style-type: none"> ■ 13 to 36 Months 	<ul style="list-style-type: none"> ■ 12 Months <u>or Less</u> 	<ul style="list-style-type: none"> ■ System of Contract Operations and Reporting (SCOR) ■ VPTS ■ Vendor Solicitation ■ Response
			○	○	○	
8	Percentage of Services Performed by Sub-contractors	<p>Identify contractor's use of subcontractors for direct service delivery and management services related to this contract.</p>	<ul style="list-style-type: none"> ■ No Subcontractor Involvement 	<ul style="list-style-type: none"> ■ Subcontractors account for <u>less than 25%</u> of contract expenditures 	<ul style="list-style-type: none"> ■ Subcontractors account for <u>25% or more</u> of expenditures 	<ul style="list-style-type: none"> ■ Self-Reported by Contractor ■ HUB Subcontracting report
			○	○	○	
9	Quality of Services	<p>Identify contractor's ability to demonstrate and achieve satisfactory service levels for the contract-required activities/deliverables as reported by the contract programmatic contact.</p>	<ul style="list-style-type: none"> ■ New contractor with no prior contract ■ All service levels and contract requirements were satisfactory in the previous contract year 	<ul style="list-style-type: none"> ■ Concerns with services levels and contract requirements were promptly remedied by contractor 	<ul style="list-style-type: none"> ■ Concerns with service levels and contract requirements were remedied with moderate to critical issues during the resolution ■ VPTS report of C or below 	<ul style="list-style-type: none"> ■ 9102ADMIN (Uploaded in SCOR) ■ VPTS Search at http://www.txsmartbuy.com/vpts --- (Must use Chrome as your browser)
			○	○	○	

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#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
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.	<input type="checkbox"/> No change to key liaison staff within the past 18 months	<input type="checkbox"/> Change in key liaison staff in the last 12-18 months	<input type="checkbox"/> Change in key liaison staff in the past 12 months	Procurement documents <input type="checkbox"/> ICSQ <input type="checkbox"/> RAQ <input type="checkbox"/> Contract files
			○ ○ ○			
11	Vendor Failure Impact	Which of the following best describes the users impacted by a Contract failure?	<input type="checkbox"/> Failure will impact internal department operations only	<input type="checkbox"/> Failure will impact internal and external users	<input type="checkbox"/> Failure will have a statewide impact, violate state and or federal mandates or result in the loss of substantial funds	Analysis by Program <input type="checkbox"/> SMP <input type="checkbox"/> VPTS
			○ ○ ○			
12	Business Process Impact	Level of impact to end user's business process?	<input type="checkbox"/> Not Applicable or Business processes from a single business unit within an agency will be impacted	<input type="checkbox"/> Business processes from an entire agency will be impacted	<input type="checkbox"/> Business process for more than one state agency, multiple local, state, and/or federal entities will be impacted	BRM <input type="checkbox"/> SME <input type="checkbox"/> Solicitation documents
			○ ○ ○			
13	Software Technology Customization	What level of customization is required for this solution?	<input type="checkbox"/> All requirements can be satisfied with mature or Commercial Off-The-Shelf (COTS) products	<input type="checkbox"/> The requirement may be partially customized and partially COTS	<input type="checkbox"/> Fully customized solution	BRM <input type="checkbox"/> SME <input type="checkbox"/> Solicitation documents
			○ ○ ○			
14	Impact on Existing Application or Infrastructure	Which of the following best describes the impact on existing application / infrastructure?	<input type="checkbox"/> Maintenance or Minor Enhancement to the existing application or infrastructure	<input type="checkbox"/> Major Enhancement or Product/System is a replacement and will not impact other existing applications or infrastructure	<input type="checkbox"/> Product/System is new and will impact other existing applications or infrastructure	ARB Approval <input type="checkbox"/> Contract File
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15	Interface Connectivity	Which of the following best describes the interface connectivity of the proposed system?	<ul style="list-style-type: none"> ■ Not applicable or existing without new interfaces ■ The new system will interface with existing internal only applications 	<ul style="list-style-type: none"> ■ Product is a new system which will interface with 5 or less internal/external applications 	<ul style="list-style-type: none"> ■ Product is a new system and will interface with more than 5 internal/external applications 	<ul style="list-style-type: none"> ■ BRM ■ SME ■ Final executed contract
			○	○	○	

End of this Form

