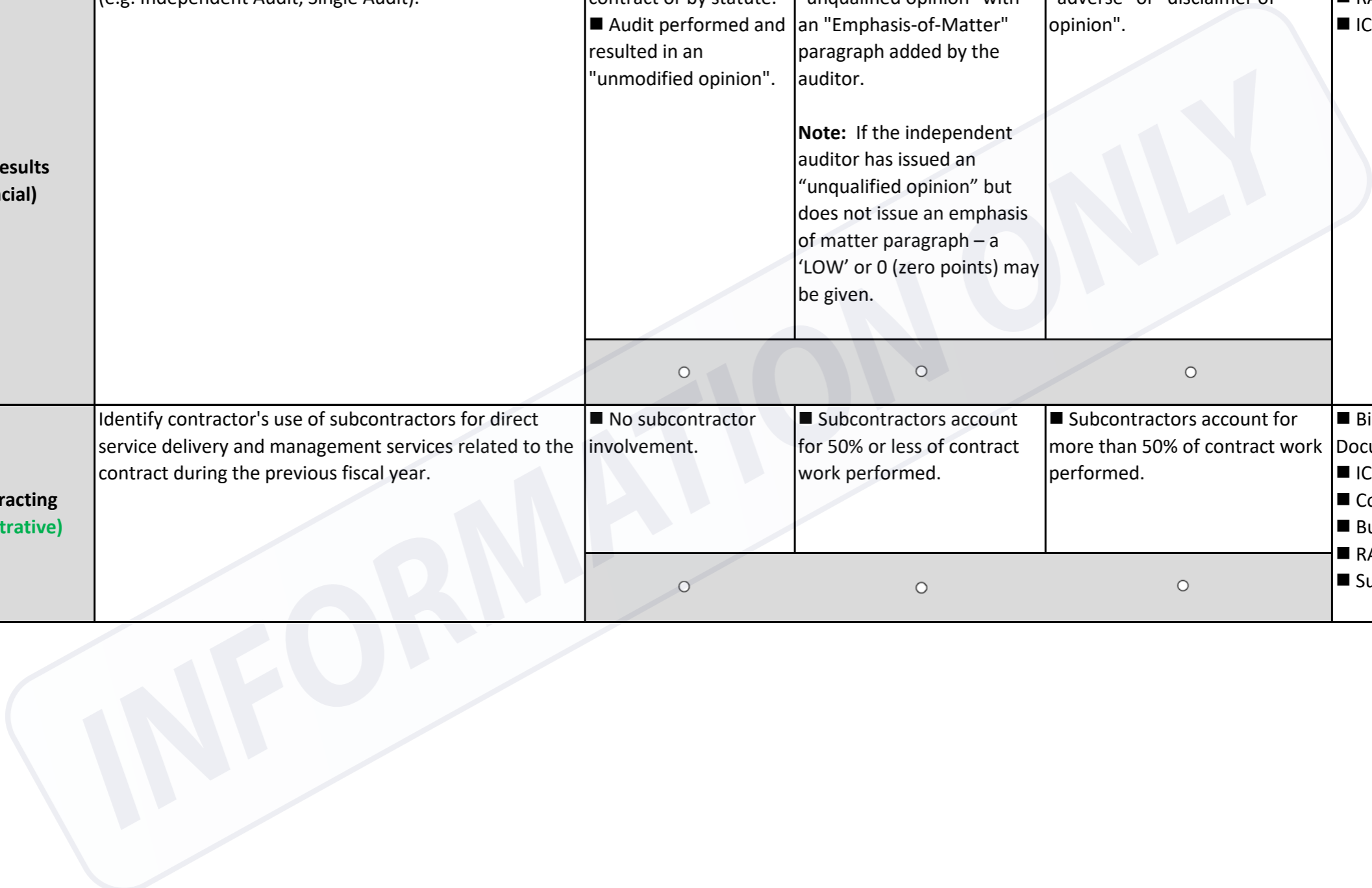


FY24 Risk Assessment Instrument (RAI) for Client Services Contracts
 (For use with Adult Protective Services (APS) and State Office (SO) Contracts)

#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
1	Length of time since last DFPS contract monitoring <i>(Administrative)</i>	Identify the length of time since DFPS last conducted monitoring of the contract. Note: See the instructions for consideration of a contractor's monitoring history.	<ul style="list-style-type: none"> ■ Monitored within the past 12 months. ■ Never monitored and contractor has contracted for this service for less than 12 months. ■ Contractor has been paid for less than 3 months of service. 	<ul style="list-style-type: none"> ■ Monitored within the past 13-24 months. ■ Never monitored and contractor has contracted for this service for more than 12 but less than 24 months. 	<ul style="list-style-type: none"> ■ Monitored more than 24 months ago. ■ Never monitored and contractor has contracted for this service for 24 months or more. 	<ul style="list-style-type: none"> ■ Monitoring History Report ■ System of Contract Operations and Reporting (SCOR) ■ Annual Statewide Monitoring Plan
			○	○	○	
2	Internal Controls <i>(Financial)</i>	Identify contractor's operational control weaknesses.	<ul style="list-style-type: none"> ■ No outstanding remedies, damages, or pending litigations. ■ No issues with invoicing. 	<ul style="list-style-type: none"> ■ Untimely or inaccurate invoicing such as not staying within authorized units. ■ Failure to maintain separation of duties. 	<ul style="list-style-type: none"> ■ Outstanding remedies, damages, or pending litigations. ■ Not meeting payroll or tax obligations. ■ Repetitive untimely or inaccurate invoicing to include billing the wrong rate. 	<ul style="list-style-type: none"> ■ ICSQ ■ Monitoring Reports ■ Audit(s) results ■ Billing Documentation
			○	○	○	
3	Related Party Transactions <i>(Financial)</i>	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. ■ Fee for Service contract. 	<ul style="list-style-type: none"> ■ Related party transactions (non-recurring or non-compensated). 	<ul style="list-style-type: none"> ■ Related party transactions (recurring or compensated). 	<ul style="list-style-type: none"> ■ RAQ ■ ICSQ ■ Audits
			○	○	○	

<p>4</p>	<p>Audit Results (Financial)</p>	<p>Identify the results of the most recent audit completed (e.g. Independent Audit, Single Audit).</p>	<ul style="list-style-type: none"> ■ No audit required by contract or by statute. ■ Audit performed and resulted in an "unmodified opinion". 	<ul style="list-style-type: none"> ■ Audit resulted in a "unqualified opinion" with an "Emphasis-of-Matter" paragraph added by the auditor. <p>Note: If the independent auditor has issued an "unqualified opinion" but does not issue an emphasis of matter paragraph – a 'LOW' or 0 (zero points) may be given.</p>	<ul style="list-style-type: none"> ■ Audit resulted in a "qualified", "adverse" or "disclaimer of opinion". 	<ul style="list-style-type: none"> ■ Audit(s) Reports ■ RAQ ■ ICSQ
<p style="text-align: center;">○ ○ ○</p>						
<p>5</p>	<p>Subcontracting (Administrative)</p>	<p>Identify contractor's use of subcontractors for direct service delivery and management services related to the contract during the previous fiscal year.</p>	<ul style="list-style-type: none"> ■ No subcontractor involvement. 	<ul style="list-style-type: none"> ■ Subcontractors account for 50% or less of contract work performed. 	<ul style="list-style-type: none"> ■ Subcontractors account for more than 50% of contract work performed. 	<ul style="list-style-type: none"> ■ Billing Documentation ■ ICSQ ■ Contract Files ■ Budgets ■ RAQ ■ Subcontractor List
<p style="text-align: center;">○ ○ ○</p>						



<p>6</p>	<p>Administrative and Financial Compliance (Administrative)</p>	<p>Identify instances of administrative and financial non-compliance by the contractor within the prior fiscal year. Performance issues include:</p> <ul style="list-style-type: none"> ■ Fiscal risk ■ Validated complaints ■ Background checks ■ Monitoring findings ■ Corrective actions ■ Security breach ■ Failure to follow internal processes ■ Contract remedies, sanctions, or liquidated damages ■ Contract breach 	<ul style="list-style-type: none"> ■ No issues of non-compliance. ■ Minimal, isolated, and non-significant monitoring findings with no other performance issues. 	<ul style="list-style-type: none"> ■ Performance issues that were minor in nature and have been successfully resolved. ■ 2+ <u>non-significant</u> monitoring findings or instances of non-compliance that were successfully resolved or that have a low # of exceptions within each finding. ■ 1 <u>significant</u> monitoring finding. 	<ul style="list-style-type: none"> ■ Unresolved financial risk, validated complaints, background check issues, corrective actions, or contract breach. ■ 2+ <u>non-significant</u> monitoring findings or instances of non-compliance that have either <u>not been resolved</u> or that have a high # of exceptions within each finding. ■ 2+ <u>significant</u> monitoring Findings. 	<ul style="list-style-type: none"> ■ Contract Files (e.g., Cost Report, Vendor or Service Hold) ■ ICSQ ■ Monitoring Reports/Tools ■ Fiscal Assessment Tools ■ System of Contract Operations and Reporting (SCOR) ■ Client Eligibility ■ Background Checks
○ ○ ○						
<p>7</p>	<p>Experience of Key Management Staff (Administrative)</p>	<p>Identify the experience of key management staff with fiscal or programmatic components of the contracted service.</p>	<ul style="list-style-type: none"> ■ At least 24 months experience with fiscal <u>and</u> programmatic components of federal and/or state contracted programs. 	<ul style="list-style-type: none"> ■ At least 24 months experience with fiscal <u>or</u> programmatic components of federal and/or state contracted programs. 	<ul style="list-style-type: none"> ■ Less than 24 months experience with fiscal or programmatic components of federal and/or state contracted programs 	<ul style="list-style-type: none"> ■ Procurement Documents ■ Contract Files ■ RAQ
○ ○ ○						
<p>8</p>	<p>Experience of Direct Delivery Staff (Programmatic)</p>	<p>Identify the average experience that direct delivery staff have in providing the contracted service.</p>	<ul style="list-style-type: none"> ■ More than 24 months experience providing the contracted service. ■ No direct client services are provided. 	<p style="text-align: center;"><i>Intentionally left blank</i></p>	<ul style="list-style-type: none"> ■ Less than 24 months experience providing the contracted service. 	<ul style="list-style-type: none"> ■ Procurement Documents ■ Contract Files ■ RAQ
○ ○						

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