

FY24 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)	New contractor, 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"> ■ Notified by HHS, contractor was not timely, and resulted in DFPS vendor hold notification. 	<ul style="list-style-type: none"> ■ Spreadsheet provided by HHS
			<ul style="list-style-type: none"> ■ Not applicable for cost report. 		<input type="radio"/>	

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

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 fiscal year. 	<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 fiscal years. 	<ul style="list-style-type: none"> ■ Contractor not monitored in the previous 2 fiscal years <u>or</u> ■ 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 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 SOA. 	<ul style="list-style-type: none"> ■ Investigations Report <p>Note: Contract Performance/DDS can provide scoring for this measure.</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.	<input checked="" type="checkbox"/> No findings of Minimum Standard deficiencies or less than 10 deficiencies with no deficiency cited as High.	<input checked="" type="checkbox"/> 10 to 19 Minimum Standard deficiencies or greater than 5 High Weight deficiencies.	<input checked="" type="checkbox"/> 20 or more Minimum Standard deficiencies.	<input checked="" type="checkbox"/> CLASS Compliance Report
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
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 checked="" type="checkbox"/> No corrective or adverse actions imposed.	<input checked="" type="checkbox"/> Voluntary plan of action imposed.	<input checked="" type="checkbox"/> Probation imposed by licensing.	<input checked="" type="checkbox"/> Data Warehouse Reports: • CLASS_04 = Corrective Action Report • CLASS_02 = Adverse Action Report <input checked="" type="checkbox"/> RCCL Report - Failure to Report
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	