

Risk Assessment Review Guidelines for Risk Analyst(s) – PRA Tool

The DES Director is authorized to grant purchasing authority to agencies for goods and services. RCW 39.26.090(5). This authority is delegated based on a risk assessment process (Process) created by DES.

The goal of the Risk Assessment Review Process is to assess an agency's procurement risk management effectiveness and to right size each agency's delegation of authority. The DES Risk Analyst along with agency staff will analyze all available data and work collaboratively to conduct this analysis.

Here are the steps of the Process:

1. DES Analyst Prepares PRA Tool

- Obtain prior general delegated authority letter(s), and list of additional delegated authority requests and responses, and include as Tool attachment(s) when relevant
(from DES Contracts & Procurements SharePoint site)
- Obtain exemption requests and responses and include as Tool attachment(s)
(from DES Contracts & Procurements SharePoint site)
- Obtain audit reports, findings and include as Tool attachment(s)
(from State Auditor's Office webpage)
- Obtain list of solicitations in WEBS – and include as Tool attachment(s) when relevant
(from WEBS site)
- Obtain list of reported contracts – and include as Tool attachment(s)
(from Data.wa.gov)
- Obtain sole source filing data and include as Tool attachments – when relevant
(from DES internal records)
- Collate list of emergency contracts reported and include as Tool attachments
(from DES internal records)
- Collate list of protests submitted and include as Tool attachments
(from DES internal records)
- Confirm agency staff successfully completed relevant procurement training programs – and include as Tool attachments
(from DES internal training records)

2. Agency Completes PRA Tool

- Agency Director Receives Prepopulated PRA Tool
- Agency Staff Complete Tool
- Agency Director Sends Signed, Completed Tool to DES Director

3. DES Risk Assessment Analyst Procedures

- Initiate contact with agency
- Review all materials provided by the agency.

The object is to indicate, for each Tool question, the risk level of the agency. Brief notes regarding each review should be included in the form. An indication should also be made of whether the agency has mitigation strategies and has determined its residual risk for each question area.

- Follow up with agency contact to ask clarifying questions (e.g. ask if they do client services contracts, does the current delegated authority include these contracts).

- Complete a Risk Assessment Review Form for the agency

- Draft remaining parts of Delegation of Authority Packet:

- Risk Assessment Analyst Cover Letter
- Risk Assessment Summary, including recommendations for delegated authority amount and associated conditions
- Delegation of Authority Letter

- Conduct Peer Review

Peer reviewer tasks:

- Risk Review Form – How was risk rated? Why? Is each reason clearly articulated? Is the overall analysis consistent and accurate?
- Risk Assessment Summary – Are agency and FTE correctly stated? Is the delegation of authority entered correctly? If additional delegated authority is requested, does Summary correctly explain rationale for decision? Do the Summary's risk assessment bullets clearly summarize analysis and align with Risk Review Form? Are spelling and punctuation correct?
- Draft Delegation Letter – Is the delegation of authority correctly stated? Do the summary reasons for the level of risk match the Risk Review Form? Does the letter require DES follow-up? If not, should it? Are address, contact, spelling and punctuation correct? Does it schedule the next risk assessment for the agency (including any necessary interim meetings)?

- Update Delegation of Authority Packet and analysis as needed.
- Share updated Delegation of Authority Packet with agency contact, together with notification of date feedback is requested.
- Update Packet and analysis as needed, prepare Packet for Management Review.

4. Management Review

- Reviews recommendations in the Packet.
- Meets with analyst to discuss all questions and concerns – as needed.
- If analyst needs to conduct additional investigation, analysis and/or drafting, revise Packet and provide updates to Management for Final Review.
- Management reviews recommendations in the updated Packet. If approved, transmit to DES Director for review and signature.