

AUDIT RISK ASSESSMENT FORM			
Grant or Program Name	2026 Community Care Hub	Date Completed	(date)
Organization Name	(organization name)	Completed by (Organization staff)	(name of org staff who provided documentation)
Partner UEI # (Unique Entity ID)	(only applicable for federal grants. Otherwise)	Completed by (BHT staff)	(name of BHT staff who collected documents and checklist)
Application ID #	(if relevant or N/A)	Approved by (BHT staff - not same as Co	(BHT staff name & date)

Update			
Complete this when updating the assessment for subsequent SOW or mid-review			
Grant or Program Name	(name of grant/program)	Date Updated	(date)
Organization Name		Completed by (Organization staff)	(name of org staff who provided updated documentation)
Partner UEI #		Completed by (BHT staff)	(name of BHT staff who collected documents and checklist)
Application ID #	(if relevant or N/A)	Approved by (BHT staff - not same as Co	(BHT staff name & date)

PROCESS	Organization and BHT staff complete the following Risk Assessment together. If partners have multiple contracts with BHT, they do not need to complete this assessment more than once per year.
	Audit Assessment Areas Required only for subrecipients of government grants. – Sections 1-3 are assessed and scored for documentation purposed related to federal single audit requirements that BHT has to meet. The results are used to identify areas of "risk" that audits look for, where mitigation strategies may be needed and documented. This is not intended to preclude funding between BHT and organizations. – Select the rating level that best fits the organization's current state. Descriptions for each assessment area may not exactly describe organization's situation, so select the best fit and make any notes in Comments. – If the organization has a fiscal sponsor, the capacity resources the sponsor is providing should be taken into consideration in rating relevant criteria. However, this is not intended as an assessment of the fiscal sponsor organization. – Section 4 (Mid-project Updates) is completed 1 year after initial assessment, along with any updates to Sections 1-3.
	Do not delete prior comments! Add additional comments with the updated date & staff initials.

AUDIT ASSESSMENT AREAS
Areas 1-4 are assessed and scored for documentation purposes related to federal single audit requirements. The results are used to identify areas of "risk" that audits look for, where mitigation strategies may be needed and documented. This score is not intended to preclude funding between BHT and partner organizations. This assessment can also be used by the organization as they are pursuing other funding opportunities.
BHT & organization complete #1-3 together as part of the initial conversation; Sections 4 is completed at a mid-contract conversation, along with any updates for Sections 1-3.

0. Pre-Assessment: Exclusions					
BHT will run an exclusion check on Sam.gov prior to risk assessment or contracting, to ensure that organization is not excluded from receiving federal funds.					
Assessment Criteria	Low Risk (1)	Medium Risk (2)	High Risk (3)	Level (1-3 or n/a)	Comments
a. Sam.gov Exclusions	No exclusions	n/a	Organization is excluded from receiving Federal contracts or subcontracts. STOP HERE IF ORGANIZATION HAS EXCLUSIONS. THEY ARE MOST LIKELY INELIGIBLE FOR SUBCONTRACTING	0	
1. General Assessment					
Assessment Criteria	Low Risk (1)	Medium Risk (2)	High Risk (3)	Level (1-3 or n/a)	Comments
a. Length of time operating as a formal organization (such as an incorporated business or nonprofit)	Organization in business for over 10 years	Organization in business for over 5 years	New organization (less than five years in business/as formal organization)	0	
b. Organization's prior experience with similar grants	Organization is a past GRANT NAME grantee or has had other AWARDING AGENCY grants and is familiar with AWARDING AGENCY requirements	Organization doesn't have prior experience with AWARDING AGENCY but does have or has had other Grants from similar grantors (e.g. Federal Grants)	Organization does not have prior experience with similar grants (e.g. Federal Grants)	0	
c. Control Policies/Procedures in place	Organization has comprehensive policies and procedures in place	Not all policies and procedures in place or policies and procedures are outdated	No policies or procedures in place	0	
d. Financial Management System	Organization has an electronic financial management system (a program such as Quickbooks, Sage, etc.) to track and record all the financial data	Organization does not have an electronic financial system, but does have a record system and processes in place (such as consistent check register or excel-based processes) to track and record all the	Organization does not have a financial management system (electronic or otherwise) to track and record all the financial data.	0	

2. Project assessment	
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For BHT Internal Use				Mid-point review / Ongoing updates	
Mitigation strategy (if needed) or N/A (include why)	Source of validation	Requirement	Internal Validation completed (initials and date)	Level (if changed)	Comments (include date)
	BHT completes or requests an entity search on Sam.gov and check for exclusions. The search should be documented and saved in the organization contract folder. https://sam.gov/content/exclusions	Govt grant subrecipient contract: required Other contracts: not required			
For BHT Internal Use				Mid-point review / Ongoing updates	
Mitigation strategy (if needed) or N/A (include why)	Source of validation	Requirement	Internal Validation completed (initials and date)	Level (if changed)	Comments (include date)
	FilingDocuments>ArticlesofIncorporation">https://ccfs.sos.wa.gov/#/BusinessSearch>Filing Documents>Articles of Incorporation	Govt grant subrecipient contract: required Other contracts: requested, not required			
	If they were main grant holder, can check in Grants.gov and check with their FAIN#. Will not show up if subrecipient.	Govt grant subrecipient contract: required Other contracts: requested, not required			
	Partner provides their written procedures or completes BHT-provided checklist	Govt grant subrecipient contract: required Other contracts: requested, not required			
	N/A	N/A	N/A		

For BHT Internal Use	Mid-point review / Ongoing updates
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Assessment Criteria	Low Risk (1)	Medium Risk (2)	High Risk (3)	Level (1-3 or n/a)	Comments
a. Dollar value of award to organization	≤ \$50,000	Between \$50,000 and \$100,000	>\$100,000	0	
b. Project Complexity	Minimal Complexity	Average Complexity	Significant Complexity	0	

3. Audit / Suspension					
Assessment Criteria	Low Risk (1)	Medium Risk (2)	High Risk (3)	Level (1-3 or n/a)	Comments
a. Single Audit Performed	Organization is subjected to Single Audit	Organization may not be subject to Single Audit but has independent financial statement audit	Not subject Single Audit and no independent financial statement audit	0	
b. Single Audit Findings	No findings	Findings, but does not have any impact on program funding	Finding that could/does impact program funding	0	
c. Internal Control Findings	Recent audit shows no findings	Recent audit shows internal control deficiencies	Recent audit shows major internal control weaknesses/No independent audit conducted	0	

4. Mid-Project Updates					
Completed by BHT during as part of a mid-contact reporting/check-in with organization during funding period, along with any updates on Sections 1-3. Shared with organization to discuss any areas of concern or support.					
Assessment Criteria	Low Risk (1)	Medium Risk (2)	High Risk (3)	Level (1-3 or n/a)	Comments
a. Timely provision of information such as reporting or deliverables, according to contract or other communicated timelines	Provides Information timely	Provides information, but not timely	Does not provide requested information	0	
b. Project workplan on schedule	Workplan on schedule or ahead of schedule / Are providing services as outlined in contract.	Workplan is behind, but there are plans to address / Delays in providing services as outlined in contract, but mitigation underway.	Workplan / provision of services is very behind, no plans to address	0	
c. Complete and accurate disbursement requests (i.e. invoices are accurate and received in a timely manner, according to contract timeline)	Requests are rarely inaccurate or late	Requests are mostly accurate and submitted on time.	Requests are not accurate or timely.	0	
d. Major changes or challenges of concern	No major changes or challenges reported by partner	Some challenges reported by partner, but mitigation is underway or planned	Major challenges and no mitigation is underway, planned, or possible in timeline critical to the project	0	

AUDIT RISK ASSESSMENT TOTAL:	0	Low
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Risk Assessment Total Score	Low = 12 to 19 Med = 20 to 28 High = 29 to 36
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Mitigation strategy (if needed) or N/A (include why)	Source of validation	Requirement	Internal Validation completed (name and date)	Level (if changed)	Comments (include date)
	N/A	N/A	N/A		
	N/A	N/A	N/A		

For BHT Internal Use				Mid-point review / Ongoing updates	
Mitigation strategy (if needed) or N/A (include why)	Source of validation	Requirement	Internal Validation completed (name and date)	Level (if changed)	Comments (include date)
	Most recent audit & financial statements provided by partner. BHT finance team reviews if statements are internally prepared, non-audited financials. Otherwise, finance or compliance team member can review for findings.	Govt grant subrecipient contract: required Other contracts: requested, not required			
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For BHT Internal Use			
Mitigation strategy (if needed) or N/A (include why)	Source of validation	Requirement	Internal Validation completed (name and date)
	Confirmed by BHT contract point person based on documentation related to that contract (such as receipt of contract deliverable & reporting)	All contracts: required. Completed by BHT.	
	Confirmed by BHT contract point-person based on partner reporting.	All contracts: required. Completed by BHT.	
		All contracts: required, if relevant. Completed by BHT.	
	BHT finance staff review invoicing		
	Confirmed by BHT contract point person based on conversations with or reporting from partner.	All contracts: required. Completed by BHT.	