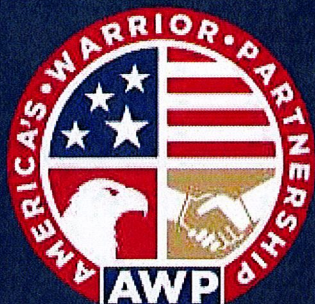


August 8, 2015



America's Warrior Partnership  
1190 Interstate Parkway  
Augusta, GA 30909

706-434-1708

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Charlie Hall  
Upstate Warrior Solutions  
3 Caledon Court, Suite C  
Greenville, SC 29615

Re: AWP Community Integration Audit Results

Dear Mr. Hall:

America's Warrior Partnership has completed its program audit on Upstate Warrior Solution (UWS) use of Community Integration grant funding and program deliverables for Year 1 of the Community Integration Initiative.

Our findings include a sound service being delivered to the Warrior population. Due to the "newness" of the operations, auditor noted several recommendations that may provide assistance as well as additional suggestions for good practice methods. Please review notes and **recommendations** compiled in the Community Integration Comprehensive Audit.

The financial audit identified compliance within budgeted items as well as match funds. However, there were some financial practices identified that require adaptation. Those financial practices are documented within the report as "Mandates."

Mandates include:

- Every donation - cash, check, in-kind, and credit card must be accounted for and the expenditure identified.
- The AWP grant funds must be fully matched and expended by the end of the grant year within the approved program budget or budget reallocation approvals.
- All sub-grantees must expend their funding during communities current grant year.

Please provide documentation and practice that addresses the "Mandates" identified above by September 8, 2015. UWS Community Manager, London Dubois will monitor activity during this time and provide any assistance you may require.

We have found that your program is in alignment with our guidelines and is progressing according to the agreed upon schedule. We appreciate the dedication UWS has demonstrated to the Warrior community.

Direct questions you may have to Cheree Tham, [ctham@americaswarriorpartnership.org](mailto:ctham@americaswarriorpartnership.org), 706-631-6537.

Sincerely,

*Cheree M. Tham*

Cheree M. Tham  
Director AWP Community Integration



DATE: 6.16.15 & 6.17.15

**COMMUNITY INTEGRATION  
COMPREHENSIVE AUDIT**

<b>Exhibit 1: Guide for Review of Grantees Receiving COMMUNITY INTEGRATION (CI) Funds</b>		
Name of Grantee: Upstate Warrior Solutions (UWS)		
Grantee Staff Consulted: Charlie Hall, Chris McRae, Kevin McBride, Jenna Grotler		
Name(s) of Reviewer(s):	Jim Lorraine, President/CEO Cheree Tham, Director Community Integration	Date: 6.16.15 & 6.17.15

**NOTE:** All questions that address *requirements* contain the citation for the source of the requirement (i.e. RFP application, grant agreement). If the requirement is not met, America's Warrior Partnership (AWP) must make a finding of noncompliance. All other *questions* (questions that do not contain the citation for the requirement) do not address requirements, but are included to assist the reviewer in understanding the grantee's program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised, but do not constitute a "finding."

**Preparing for Inspection:** Before performing an inspection, the reviewer should be familiar with both the AWP Community Integration grant agreement requirements and the design and operation of the grantee's (also referred to as Community Group) program, particularly those areas that have been identified as outreach and engagement. Information that will assist in successful program evaluation includes:

- the Community Group's Metrics/Program Deliverables, monthly reports;
- the AWP CI Comprehensive Audit (CA);
- the grant agreement(s) for the project being monitored;
- the AWP CI Policy and Procedure Manual;
- the Community Group's grant budget and, if any, revisions;
- the Community Group's Community Profile Map;

- the Community Group's grant disbursements and requisite financial documents; and
- the Community Group's approved Request for Proposal (RFP) response and sustainability plan.

**File Selection and Sampling:** Expanded sampling aids in determining whether problems are isolated events or represent a systemic problem. The AWP reviewer should consider the following guidelines to select the specific files (active and/or inactive) that will comprise the review sample for evaluation questions that require a file review:

- Where feasible, initial file selection should be made using a random selection method.
- Consider expanding the sample to include a file or files from each staff person working in the respective program area being monitored.
- If problems were noted during the initial file selection's review, consider expanding the sample to include additional files with the same characteristics (e.g., same problem category, same staff person, same activities or other characteristics).

**Evaluation:**

<b>A. Program Progress</b>		
This section is designed to ensure that activities are being carried out in a timely manner and that the number of consumers served is consistent with the approved application.		
<b>Item</b>	<b>Description</b>	<b>Score</b>
1	Is the number of consumers currently being served consistent with the program deliverable in the approved application? (Source: Monthly Report/Quarterly Report)	<input type="checkbox"/> 0 11% variance or more. <input checked="" type="checkbox"/> 1 Within 10% variance. <input type="checkbox"/> 2 No variance or exceeds variance and have already exceeded service number.
2	Is staffing level proportionate with consumers served? (Source: Grantee RFP Program Budget and Interview)	<input type="checkbox"/> 0 Lacking staff member(s), consumers served not proportionate to grant agreement (11% variance +). <input type="checkbox"/> 1 Staffed according to grant agreement, consumers served proportionate to grant agreement (within 10% variance). <input checked="" type="checkbox"/> 2 Staffed according to grant agreement, (zero variance).

**Overall Remarks:**

UWS monthly goal for Outreach and Engagement is 131 Post 9/11 Warriors. UWS metrics are consistent with the agreed grant agreement. However, UWS continues to be focused on the Warriors who experience a complexity of need (i.e. homeless, unemployment).

**Recommendation:** UWS diversify their Warrior population to actively seek and engage all Warriors regardless of level of “need.”

UWS has 5 FTE, 12 PTE, 1 Intern (Human Services- Greenville Tech) and 1 Mission Continues that are tasked to conduct Outreach and Engagement. All staff receive staff training; wear multiple hats and have specialty areas of expertise. All staff are given goals/objectives to reach in regards to Outreach and Engagement. Staff are currently not meeting their Outreach and Engagement metrics; Follow Up continues to require additional training. **Recommendation:** Organizational structure is set up to support clear lines of supervision/communication. Use the organizational structure to provide weekly supervision to Outreach/Engagement staff.

Supervisors have a responsibility to:

- ensure that Outreach/Engagement staff are diversifying their Warrior population,
- completion of staff individual goals/objectives
- monitor/execute appropriate follow-up being conducted
- provide a space to discuss concerns Outreach/Engagement staff are experiencing,
- monitor the level of complexity Outreach/Engagement staff are experiencing on a weekly basis

*\*Note:* Supervision can be done individually or through a weekly meeting. However, if Supervision is conducted collectively, the meeting agenda is concrete in terms of how Warriors staff work with their Warriors, Warrior stories, and where a Warrior is on their journey. This type of meeting is meant to be “in the moment” planning to triage Warrior immediate needs in order for them to move further on in their journey.

**B. Overall Management Systems/Structure**

This section is designed to assess grantee’s overall management system and structure to ensure compliance with program requirements and achievement of program goals.

Item	Description	Score
1	Does the grantee have written procedures describing scope and delivery of services including description of the AWP Community Integration Initiative, program goals, description of services to be provided, identification of population to be served? Describe and cite source documentation. (Source: Grantee Policy and Procedures manual, grantee program handbooks, grantee program brochures)	<input type="checkbox"/> 0 No written policies and procedures and/or missing policies and procedures. <input type="checkbox"/> 1 Policies and procedures written. <input checked="" type="checkbox"/> 2 Policies and procedures well-organized, clear and thorough. Policies and procedures are easily accessible to all Community Organization Staff, reviewed often.

	<p><b>Notes:</b> UWS Education Program Development, Peer Mentor Support Program, Veteran Treatment Court, UWS Policy and Procedural Manual all include description of AWP Community Integration Initiative. The execution of the above P&amp;P establishes a clear path to diversify and support the Warrior population in Greenville.</p>	
<p>2</p>	<p>Describe how the grantee obtains input from consumers served and other community stakeholders. Does the grantee utilize input to improve performance of the program? (Source: satisfaction surveys, demonstration of participation in advisory groups, conferences, presentations to stakeholders, suggestion boxes, strategic planning documents, sub grantee applications)</p>	<p><input type="checkbox"/> 0 Grantee does not have a standard practice in place to get input from consumers or community stakeholders.  <input checked="" type="checkbox"/> 1 Grantee has an internal survey consumer to get input. Grantee obtains input from stakeholders.  <input type="checkbox"/> 2 Grantee has internal survey or focus group to get consumer input. Grantee holds quarterly meetings to obtain community stakeholder input and uses that input to enhance the AWP program.</p>
	<p><b>Notes:</b> UWS does not currently have an official satisfaction survey to obtain feedback from Warriors, their families, and the community. UWS uses the Quality of Life survey, 3 questions, to ascertain the satisfaction of the program. <b>Recommendation:</b> UWS develop a survey monkey with no more than 5 questions that is made available to Warriors UWS has engaged. This practice will ensure that the process of UWS always stays aligned with their Warrior population.</p>	
<p>3</p>	<p>Does the grantee have procedures for preventing, reporting, and remediating critical incidents including incidents related to persons served? Critical incidents may include events involving injury, aggression or violence, suicide or attempted suicide, abuse, neglect. (Source: Grantee Policies and Procedures manual, copies of incident reports if relevant, documentation of staff training, interview)</p>	<p><input type="checkbox"/> 0 Grantee does not have procedure in place.  <input checked="" type="checkbox"/> 1 Grantee has policies and procedure in place for preventing, reporting and remediating critical incidents.  <input type="checkbox"/> 2 Grantee has a clear procedure in place and staff is aware of how to handle a critical incident. Grantee closely monitors risk as part of its regular operations.</p>
<p>4</p>	<p>Does the grantee have procedures for providing and documenting supervision of personnel delivering services to consumers? (Source: documentation of meetings or team meetings, records of competency based trainings, interview, grantee policies and procedures)</p>	<p><input checked="" type="checkbox"/> 0 Grantee does not have a procedure in place for providing and documenting supervision.  <input type="checkbox"/> 1 Grantee provides regular supervision and yearly employee evaluations.  <input type="checkbox"/> 2 Grantee provides regular supervision, yearly employee evaluations, and conducts trainings relevant to AWP services.</p>
<p>5</p>	<p>Are the duties for Community Integration Initiative personnel up to date and defined by job descriptions? (Source: current job descriptions)</p>	<p><input type="checkbox"/> 0 Grantee does not have job descriptions or job descriptions do not match the job duties described.  <input type="checkbox"/> 1 Grantee has job descriptions that match the duties of the staff.</p>

		<input checked="" type="checkbox"/> 2 Grantee has job descriptions that match the duties of the staff, review the job descriptions annually and update if the job duties change.
6	Does the grantee's governing body or board of directors have policies that include signed conflict of interest and ethical code of conduct declarations? (Source: Grantee Board Policies, or annual signed conflict of interest declarations, annual signed ethical conduct declarations, Interview, Board Meeting minutes)	<input type="checkbox"/> 0 Grantee's board or governing body does not have polices related to conflict of interest and/or ethical codes of conduct. <input type="checkbox"/> 1 Grantee is able to provide policies related to its board/governing body related to conflict of interest and ethical codes of conduct. <input checked="" type="checkbox"/> 2 Grantee is able to provide policies related to its board/governing body related to conflict of interest and ethical codes of conduct. Policies are reviewed on a regular basis and provided to new board members.
7	Is the grantee's governing body or board of directors involved and invested in AWP Community Integration Initiative? (Source: Grantee Board Policies, or annual signed conflict of interest declarations, annual signed ethical conduct declarations, board meeting minutes, Interview)	<input type="checkbox"/> 0 Grantee unable to demonstrate board of directors/governing body involvement and investment in AWP Community Integration. <input type="checkbox"/> 1 Grantee is able to demonstrate the board is involved and invested in the AWP Community Integration Initiative through meeting notes. <input checked="" type="checkbox"/> 2 Grantee is able to demonstrate that the grantee's board is extremely involved and invested in AWP Community Integration Initiative through meeting notes and active involvement in the AWP Community Integration Initiative.
8	Does the grantee have policies and procedures ensuring that confidential information, including records of persons served, is secure and protected? (Source: Visual observance, grantee policies addressing confidentiality, interview, demonstration of access to electronic records)	<input type="checkbox"/> 0 Grantee does not have a clear written policy and procedure for protecting confidential information. <input type="checkbox"/> 1 Grantee has policies and procedures written and implemented to ensure the security and protection of confidential information. <input checked="" type="checkbox"/> 2 Grantee has policies and procedures written and implemented to ensure the security and protection of confidential information. Grantee staff received training on HIPPA standards and/or confidentiality training.

**Overall Remarks:**

UWS has clear and concise policies and procedures that govern their program and assure compliance with sub-grantees. Auditors did not review financials for sub-grantees but noted in Sub-grantee financial compliance policy is not included in current policy and procedures. **Mandate:** All sub-grantees must expend their funding during communities current grant year. **Recommendation:** UWS develop policy/procedure to ensure sub-grantees are expending their funding within the designated program budget and on track to expend funding in communities current grant year.

**C. Sub-grantee Management (if applicable)**

This section is designed to assess the grantee’s management of any sub-grantees to ensure compliance with program requirements and achievement of program goals.

Item	Description	Score
1	Does the grantee have a written policy and procedure that describes a management system for the oversight of its Sub-grantees? (If “yes,” briefly describe below.) (Source: Grantee Application, interview, Sub grantee application)	<input checked="" type="checkbox"/> 0 Grantee does not have a written management system for the oversight of its sub-grantees.* <input type="checkbox"/> 1 Grantee has a written management system for the oversight of its sub-grantees. <input type="checkbox"/> 2 Grantee has a written management system for the oversight of sub-grantees. Grantee conducts regular monitoring, including on-site visits with sub-grantees to ensure that services are provided in compliance with the AWP program deliverables and the approved grant agreement
2	Has the grantee executed written agreements with its sub-grantees to carry out program activities? (Source: Sub grantee application)	<input type="checkbox"/> 0 Grantee does not have written agreements that clearly define the program activities the sub-grantee is to perform. <input checked="" type="checkbox"/> 1 Grantee has written agreements that clearly define the program activities the Sub-grantee is to perform. <input type="checkbox"/> 2 Grantee has written agreements that clearly define the program activities the sub-grantee is to perform. These Program Activities are reviewed with the sub-grantee regularly to ensure compliance with AWP program

		deliverables and the approve grant agreement.
2a	If the answer to "2" above is "yes," does the written work for the sub-grantee agreements contain sufficient descriptions of the types of outreach and engagement that would enable the grantee to effectively monitor the sub-grantees activities? (Source: Grantee Program Files and Interview, Sub grantee applications)	<input type="checkbox"/> 0 Sub-grantee Agreements do not contain sufficient descriptions of the types of outreach and engagement that would enable the grantee to effectively monitor the Sub-grantee's activities. <input checked="" type="checkbox"/> 1 Sub-grantee Agreements do contain sufficient descriptions of the types of outreach and engagement that would enable the grantee to effectively monitor the sub-grantee activities. <input type="checkbox"/> 2 Sub-grantee Agreements do contain sufficient descriptions of the types of outreach and engagement that would enable the grantee to effectively monitor the sub-grantee activities. The agreements include standards for service delivery.
3	Does the written agreement with the sub-grantee include statements regarding mitigation of conflicts of interest? (Sub grantee application, Grantee Program Files and Interview)	<input type="checkbox"/> 0 The written agreements do not include statements regarding mitigation of conflicts of interest. <input checked="" type="checkbox"/> 1 The written agreements include statements regarding mitigation of conflicts of interest. <input type="checkbox"/> 2 The written agreements include statements regarding mitigation of conflicts of interest. A process for handling conflicts of interest is also discussed in the written agreement.

**Overall Remarks:**

UWS provided a clear policy and procedure regarding managing and oversight of the VTC program (sub-grantee). However, the policy and procedure specifically applied to one sub-grantee and not multiple. **Recommendation:** Develop a policy/procedure that can be applied to all sub-grantees in order to manage the expectations consistently.

**D. Outreach and Targeting**

This section is designed to assess outreach services as described in Grant Agreement, RFP and Playbook. Grantees must a) provide outreach services and use their best efforts to ensure that hard-to-reach Warrior families are identified, engaged and provided supportive services and b) outreach services must include active liaison with local VA facilities, State, local, tribal (if any), nonprofits, and private agencies and organizations providing supportive services to Warriors and their families in the area or community served by the grantee.

Item	Description	Score
1	Does the grantee's documentation show where outreach is conducted and the frequency of outreach activities? (Source: Grantee Program Files and Interview)	<input checked="" type="checkbox"/> 0 Grantee does not have adequate documentation of where and /or when outreach is being conducted to both community



		<p>agencies and potential program consumers.</p> <p><input type="checkbox"/> 1 Grantee has documentation showing where outreach is being conducted and the frequency of outreach to both community agencies and potential program consumers.</p> <p><input type="checkbox"/> 2 Grantee has documentation showing where outreach is being conducted and the frequency of outreach to both community agencies and potential program consumers. Grantee has a regular, consistent outreach schedule which is program leadership.</p>
2	<p>Does the grantee provide consistent outreach efforts in the community that target the populations identified in their grant agreement? (Source: Grantee Program Files, Census Data and Interview)</p>	<p><input type="checkbox"/> 0 Grantee does not provide consistent and regular outreach in community as identified in the grant agreement. Grantee is not adequately targeting community agencies and potential program consumers. *</p> <p><input checked="" type="checkbox"/> 1 Grantee provides consistent and regular outreach in community as identified in the grant agreement. Grantee is adequately targeting community agencies and potential program consumers.</p> <p><input type="checkbox"/> 2 Grantee provides consistent and regular outreach in community as identified in the grant agreement. Grantee is adequately targeting community agencies and potential program consumers. Outreach activities are reviewed by program leadership.</p>
3	<p>Does the grantee provide outreach services to find and engage Warriors and their families on a routine basis in a variety of community venues? (Source: Grantee Program Files and Interview)</p>	<p><input type="checkbox"/> 0 Grantee does not demonstrate outreach services to find and engage Warriors and their families on a routine basis in a variety of community venues.</p> <p><input checked="" type="checkbox"/> 1 Grantee does demonstrate outreach services to find and engage Warriors and their families on a routine basis, but in limited community venues.</p> <p><input type="checkbox"/> 2 Grantee does demonstrate outreach services to find and engage Warriors and their families on a routine basis in a variety of community venues.</p>
4	<p>Does the grantee conduct and engage in outreach activities with the local VA? (Source: Grantee Program Files and Interview)</p>	<p><input type="checkbox"/> 0 Grantee does not engage in outreach activities with the local VA.</p> <p><input checked="" type="checkbox"/> 1 Grantee conducts and engages in outreach activities with VA agencies including VA Medical</p>

		Center, Warrior Benefits Administration, and Vet Centers. <input type="checkbox"/> 2 Grantee conducts and engages in outreach activities with VA agencies including VA Medical Center, Warrior Benefits Administration, and Vet Centers. Grantee demonstrates a strong relationship with the local VA systems.
5	Does the grantee conduct and engage in outreach activities with State and local government agencies? (Source: Grantee Program Files and Interview)	<input type="checkbox"/> 0 Grantee does not engage in outreach activities with State and local government agencies. <input checked="" type="checkbox"/> 1 Grantee engages in outreach activities with State and local government agencies. <input type="checkbox"/> 2 Grantee engages in outreach activities with State and local government agencies. Grantee demonstrates a strong relationship with the State and local government agencies.
6	Does the grantee conduct outreach to private agencies and organizations that serve Warrior and their families? (Source: Grantee Program Files and Interview)	<input type="checkbox"/> 0 Grantee does not engage in outreach activities with the private agencies and organizations. <input checked="" type="checkbox"/> 1 Grantee engages in outreach activities with private agencies and organizations. <input type="checkbox"/> 2 Grantee engages in outreach activities with private agencies and organizations. Grantee demonstrates a strong relationship with the private agencies and organizations.
7	Is the population of consumers currently being served consistent with the target population in the approved application? (Source: Grantee RFP, Grant Agreement and Monthly Report)	<input type="checkbox"/> 0 Grantee does not target consumers with the target population. <input checked="" type="checkbox"/> 1 Grantee demonstrates the ability to effectively target the population in the approved application (within 20% of target) <input type="checkbox"/> 2 Grantee demonstrates the ability to effectively target the population in the approved application (within 10% of target)

**Overall Remarks:**

UWS reports several organizations they provide outreach through: United Way, Judicial System, Health Service agencies, Civic groups, Academic Institutions, Hospitals, GHS, Spartanburg Regional, AMed and Law Enforcement. UWS has several venues they are conducting outreach/follow up therefore, providing the opportunity for diversity amongst their Warrior population. **Recommendation:** There are several National Guard units in the catchment area as well as businesses where Warriors work, spread outreach/engagement efforts to all areas where Warriors concentrate. Continue to focus on all Warriors and not just those with complexity of needs. If a community group only focusses on Warriors with complexity of need, unemployed, homeless etc. the community will be unable to obtain their goal of 80% outreach and engagement. The majority of Warriors in a community fall within the median of the square.

**E. Consumer Eligibility**

This section is designed to assess whether consumer eligibility has been adequately documented.

Item	Description	Score
1	Describe the process for determining consumer eligibility. (Source: Grantee Program Files and Interview)	<input type="checkbox"/> 0 No eligibility policy and procedure and/or staff describes the procedure in an inconsistent manner. <input type="checkbox"/> 1 Vague written process of eligibility, little criteria. Staff describes the procedure in a consistent manner. <input checked="" type="checkbox"/> 2 Well-written consumer eligibility policies with procedures for eligible and ineligible consumers. Staff can clearly and consistently describe the procedure.
<p><b>Notes:</b>                      UWS has a Policy/Procedure for Eligibility Criteria. The P&amp;P outlines the demographic information, documentation, and referrals/communication. <b>Recommendation:</b> Adapt policy to reflect/include various levels of follow up.</p>		
2	When a person served is found ineligible for services, does grantee have a process to: <ul style="list-style-type: none"> <li>• Inform the consumer as to the reasons</li> <li>• Recommend alternative services</li> <li>• Notify the referral source as to the reasons, if applicable</li> </ul> (Source: Grantee Program Files and Interview)	<input checked="" type="checkbox"/> 0 Does not have a process for ineligible persons that notifies the consumer as to the reasons, recommends alternative services and notifies the referral source as to the reasons. <input type="checkbox"/> 1 Does have a process for ineligible persons that notifies the consumer as to the reasons, recommends alternative services and

		<p>notifies the referral source as to the reasons.</p> <p><input type="checkbox"/> 2 Does have a process for ineligible persons that notifies the consumer as to the reasons, recommends alternative services and notifies the referral source as to the reasons. The alternative resources provided to the consumer are related to the needs of the consumer and is a direct referral.</p>
<p><b>Notes:</b> UWS has a policy/procedure that clearly defines eligibility. However, in regards to Warriors not being eligible for other services, the policy does not outline how Warriors are screened for appropriate programs and enrolled in appropriate programs.</p> <p><b>Recommendation:</b> A policy/procedure that ensures other programs Warriors are interested in, they are eligible and it is appropriate for them at the time of their planning.</p>		
3	<p>Where does the grantee refer Warrior families who are determined to be ineligible to participate? (Source: Grantee Program Files and Interview)</p>	<p><input checked="" type="checkbox"/> 0 Does not refer to other resources consistently.</p> <p><input type="checkbox"/> 1 Refers, but process is vague and not always tailored to the Warrior family needs.</p> <p><input type="checkbox"/> 2 Thorough referring process complete with tools (like pamphlets) and direct referrals for ineligible applicants.</p>
<p><b>Notes:</b> N/A</p>		
5	<p>Do the files reviewed adequately document that the consumer's DD214 are obtained. (Source: Grantee Program Files)</p> <p><b>*** Not Applicable. UWS only requires DD214 when assisting Warriors in programs/benefits that require their DD214.</b></p>	<p><input type="checkbox"/> 0 Multiple files missing DD214 or files indicating dishonorable discharge or no Warrior in household.*</p> <p><input type="checkbox"/> 1 Few files missing DD214 but show request for DD214 and presumptive eligibility forms.</p> <p><input type="checkbox"/> 2 All files have DD214.</p>
6	<p>Do the files reviewed adequately document that the consumers are occupying permanent housing? (Source: Grantee Program Files)</p>	<p><input type="checkbox"/> 0 No documentation *</p> <p><input checked="" type="checkbox"/> 1 Clearly and consistently documented.</p> <p><input type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.</p>
7	<p>Do the files reviewed adequately document that the consumers are enrolled in education? (Source: Grantee Program Files)</p>	<p><input type="checkbox"/> 0 No documentation *</p> <p><input checked="" type="checkbox"/> 1 Clearly and consistently documented.</p> <p><input type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.</p>

8	Do the files reviewed adequately document that the consumers are employed or unemployed? (Source: Grantee Program Files)	<input type="checkbox"/> 0 No documentation * <input checked="" type="checkbox"/> 1 Clearly and consistently documented. <input type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.
9	Do the files reviewed adequately document that the consumers are enrolled in the VA? (Source: Grantee Program Files)	<input type="checkbox"/> 0 No documentation * <input checked="" type="checkbox"/> 1 Clearly and consistently documented. <input type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.
10	Do the files reviewed adequately document that the consumers are enrolled in e-benefits? (Source: Grantee Program Files)	<input type="checkbox"/> 0 No documentation * <input checked="" type="checkbox"/> 1 Clearly and consistently documented. <input type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.
11	Do the files reviewed adequately document that the consumers are enrolled in WWP Alumni Program? (Source: Grantee Program Files)	<input type="checkbox"/> 0 No documentation * <input checked="" type="checkbox"/> 1 Clearly and consistently documented. <input type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.
12	Do the files reviewed adequately document that the consumers are identified Post 9/11 Warriors? (Source: Grantee Program Files)	<input type="checkbox"/> 0 No documentation * <input checked="" type="checkbox"/> 1 Clearly and consistently documented. <input type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.
13	Do the files reviewed adequately document follow-up for each consumer at least every 3 months? (Source: Grantee Program Files/case notes)	<input checked="" type="checkbox"/> 0 Case files do not adequately document follow-up services every 3 months. <input type="checkbox"/> 1 Case files do adequately document follow-up every 3 months. <input type="checkbox"/> 2 Case files do adequately document follow-up every 3 months. It is reviewed and signed off by program management.
14	Do the files reviewed adequately document the exit criteria for each consumer? (Source: Grantee Program Files/case notes)	<input checked="" type="checkbox"/> 0 Case files do not adequately document exit from the program for each consumer. <input type="checkbox"/> 1 Case files do adequately document exit from the program for each consumer. <input type="checkbox"/> 2 Case files do adequately document exit from the program for each consumer. Exit documents outline goals that were established and met with Warrior signature.

**Overall Remarks:**

UWS consistently obtains eligibility information via an Intake form. UWS then inputs the information gathered on the intake form into Vet Tracker (Information System). However, while the demographic information is obtained/captured, the follow-up and planning was not clearly documented. Reviewer conducted a random sample analysis of the Warriors that have been served. The overall findings include: Events not up to date or selected, case note not signed, plan not clear, follow up conducted in preparation for audit, case notes do not tell a story from start to finish (if applicable), varying levels of competency observed via support (i.e. clinical, case management used **NOT** case coordination).

30 Warriors were randomly selected by reviewer to conduct an in depth analysis of the information obtained and documentation (ie. Reflecting outreach, follow-up and case coordination efforts).

The following initials are the individuals whose records were reviewed:

VR, KB, MW, AB, LT, JG, DC, DS, NP, MN, KL, DC, SM, DB, SP, GK, SA, TS, KS, AD, BC, SS, CL, DJ, JG, WG, BE, WM, ET, PC. The records reviewed reflected a mixture of staff who are working with them in order to ascertain the different levels of competency. The following staff members were associated with the randomly selected Warriors: Adam, Jonathan, Chris, Lee Eva, Derrick, Lee, Nate, Ryan, Theresa, Jenna, Charlie, Ben, Gavin.

Of the 30 Warriors randomly selected, 9 Warriors were contacted by reviewer.

Script: *Hi my name is Cheree Tham and I am calling on behalf of UWS. I am calling to see if you have been satisfied with our services and if you have any feedback you would like to share.*

1. KB- I'm biased my husband works for you guys. No feedback on services. They are great and awesome all the time.
2. JG- unable to contact, left voicemail
3. KL- I provided information. I wasn't a priority. I was a green and they have a system of green, red and amber. I spoke with them at a law enforcement event. And you are the only person has contacted me from the organization. Phone disconnected, reviewer unable to contact after attempt.
4. SP- I haven't used any services, I was working with David in Florida and he has been great for cycling events. **Warrior thought he was talking to WWP, when reviewer redirected to UWS he continued...**Oh, Chris and those guys are fantastic they helped me get a phlebotomist scholarship and with job placement.
5. SA- incorrect number (423) 6087153
6. TS- satisfied, no feedback for improvement of services
7. CL- phone number was to a centralized leasing office (864)991-0202
8. WM- left voicemail
9. JG- left voicemail

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**F. Case Coordination of Supportive Services**

This section is designed to assess the grantee's performance in conducting on-going consumer needs assessments and in coordinating the supportive services identified in the approved application.

Item	Description	Score
1	Describe the supportive services coordinated on behalf of the consumers. (Source: Grantee Application)	<input type="checkbox"/> 0 Grantee is not coordinating all agreed upon supportive services to consumers.* <input checked="" type="checkbox"/> 1 Grantee is coordinating all agreed upon supportive services to consumers. <input type="checkbox"/> 2 Grantee is coordinating supportive services based on the needs as a result of a comprehensive assessment.

Type of Benefit/Service	Applicant will provide benefit directly using Community Integration funds (Yes/No)	Applicant will assist consumers in obtaining services through referrals to other organizations (Yes/No)
VA Health care services (Physical)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
VA Health care services (Mental)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Daily living services (ADL)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Personal financial planning services	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Transportation services	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Income support services	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Legal services, Does proper documentation exist for legal staff to rep. vets w/ VA claims process?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Child care	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

	Housing counseling, housing search	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Educational Assistance/Support	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Employment Assistance/Support	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	WWP Alumni	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Outreach	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: <u>Peer Support</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: <u>Career Mentors</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: <u>Family Support Program</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2	Describe the location where case coordination for consumers takes place: Does the grantee have space, materials, and staffing available to provide the appropriate level of coordination? (Source: Grantee Application, Interview and Visual Observance, Community Profile Map)	<input type="checkbox"/> 0 Grantee is not coordinating services with the appropriate space, materials and/or staffing. <input checked="" type="checkbox"/> 1 Grantee is coordinating services with the appropriate space, materials and/or staffing. <input type="checkbox"/> 2 Grantee is coordinating services with the appropriate space, materials and/or staffing. Grantee services are flexible and coordinated in the community at the agency dependent upon the need of the consumer.	
	<b>Notes:</b> Refer to Section D "Outreach and Targeting"		
3	Is there a coordinated holistic plan that is developed with the active involvement of consumers served that identifies: <ul style="list-style-type: none"> <li>• Overall goals</li> <li>• Specific measurable objectives</li> <li>• Methods/techniques to be used to achieve the objectives</li> <li>• Those responsible for implementation</li> </ul> (Source: Grantee Program Files and Interview Consumers Files, Community Profile Map)	<input checked="" type="checkbox"/> 0 The consumer's holistic plan does not identify overall goals, and/or identify specific measurable goals, and/or methods/techniques to achieve the goals, and/or identifying those responsible for implementation. * <input type="checkbox"/> 1 The holistic plan is directly related to overall goals, and identification of specific measurable goals, and methods/techniques to achieve the goals, and identifying those responsible for implementation. <input type="checkbox"/> 2 The holistic plan is directly related to identification of overall goals, and identifies specific measurable goals, and methods/techniques to achieve the goals, and identifying those responsible for implementation. The holistic plan is reviewed with the	



		consumers on a regular basis and informs consumer. Supportive services provided and when a consumers should be exited from the program.
4	Do the files reviewed adequately document that consumers were provided with referrals and related activities to help consumers obtain needed support services? (Source: Consumers Files)	<input checked="" type="checkbox"/> 0 Files reviewed do not adequately document the referrals provided and/or related activities to help consumers to obtain supportive services. <input type="checkbox"/> 1 Files reviewed adequately document that consumers were provided referrals and related activities to help consumers obtain needed supportive services. <input type="checkbox"/> 2 Files reviewed adequately documented that consumers were provided with referrals and related activities to help consumers obtain needed supportive services. Files reviewed documented whether the Warrior followed up with the referral.
5	Provide a list of the organizations with whom the grantee is working to provide services to consumers, such as Sub-grantees. (Source: Grantee Application, Quarterly Reports, and Interview, Community Profile Map)	<input type="checkbox"/> 0 The list of organizations the grantee is working with does not include one of the following: mainstream services or VA services. <input checked="" type="checkbox"/> 1 The list of organizations the grantee is working with is a comprehensive list that will provide supportive services to consumers, including VA services and mainstream services. <input type="checkbox"/> 2 The list of organizations the grantee is working with is a comprehensive list that will provide supportive services to consumers, including VA services and mainstream services. Most of organizations are functioning as partners.
6	Do the files reviewed adequately document that consumers were provided with assistance in obtaining any benefits from VA for which the consumer is eligible? Including but not limited to the following: <ul style="list-style-type: none"> <li>• Vocational and rehabilitation counseling</li> <li>• Employment and training service</li> <li>• Educational Assistance</li> <li>• Health Care Services</li> </ul> (Source: Consumers Files, Interviews)	<input checked="" type="checkbox"/> 0 The files reviewed do not adequately document that consumers were provided assistance in obtaining any VA benefits for which the consumer is eligible. <input type="checkbox"/> 1 The files reviewed adequately document that consumers were provided assistance in obtaining any VA benefits for which the consumer is eligible. <input type="checkbox"/> 2 The files reviewed adequately document that consumers were provided assistance in obtaining any VA benefits for which the consumer is eligible. The files also document

		whether or not the Warrior received the benefit.
7	<p>Do the files reviewed adequately document that consumers were provided with assistance in obtaining and coordinating the provision of public benefits? Including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Health care services (Physical and Mental health)</li> <li>• Daily living services</li> <li>• Personal financial planning services</li> <li>• Transportation services</li> <li>• Income support services</li> <li>• Fiduciary and representative payee services</li> <li>• Legal Services</li> <li>• Child Care</li> <li>• Housing Counseling</li> <li>• Educational assistance/support</li> <li>• Vocational assistance/support</li> <li>• WWP Alumni Program</li> </ul> <p>(Source: Consumers Files)</p>	<p><input checked="" type="checkbox"/> 0 The files reviewed do not adequately document that consumers were provided assistance in obtaining any public benefits for which the consumer is eligible.</p> <p><input type="checkbox"/> 1 The files reviewed adequately document that consumers were provided assistance in obtaining any public benefits for which the consumer is eligible.</p> <p><input type="checkbox"/> 2 The files reviewed adequately document that consumers were provided assistance in obtaining any public benefits for which the consumer is eligible. The files also document whether or not the Warrior received the benefit.</p>
8	<p>Are the supportive services being coordinated consistent with Community Integration Program Deliverables? (Source: Consumer Files, Grantee Application and Monthly Reports)</p>	<p><input type="checkbox"/> 0 The supportive services provided are not consistent with those described in the approved application.</p> <p><input checked="" type="checkbox"/> 1 The supportive services provided are consistent with those described in the approved application.</p> <p><input type="checkbox"/> 2 The supportive services provided are consistent with those described in the approved application. The supportive services provided are consistently and regularly reviewed by program leadership.</p>
9	<p>Does the grantee conduct on-going assessments of the consumers' supportive services needs and review the coordinated holistic plan with respect to expected outcomes? (Source: Consumers Files and Interviews)</p>	<p><input checked="" type="checkbox"/> 0 The grantee does not conduct on-going assessments of the consumers supportive services needs and/or does not review the holistic plan with respect to outcomes with the consumer.</p> <p><input type="checkbox"/> 1 The grantee conducts on-going assessments of the consumers supportive services needs and reviews the holistic plan with respect to outcomes with the consumer.</p> <p><input type="checkbox"/> 2 The grantee conducts on-going assessments of the consumers supportive services needs and reviews the holistic plan with respect</p>

		to outcomes with the consumer. The grantee modifies the holistic plan as new needs are identified or outcomes are completed.
10	Is the grantee modifying its strategies for Outreach and Engagement and for each applicable program deliverable based on reported barriers? (Source: Monthly Reports and Grant Application)	<input type="checkbox"/> 0 Strategies are not being modified <input checked="" type="checkbox"/> 1 Strategies are in the process of being modified. <input type="checkbox"/> 2 Strategies have been modified and have been implemented.
11	Is the grantee updating its Community Profile Map accordingly based on what barriers they have encountered in achieving the program deliverables? (Source: Monthly Reports and Community Profile Map)	<input type="checkbox"/> 0 The Community Profile Map is not being updated accordingly. <input checked="" type="checkbox"/> 1 The Community Profile Map has been partially updated. <input type="checkbox"/> 2 The Community Profile Map has been fully updated.

**NOTES:** UWS has a clear and concise policy and procedure regarding case coordination.

**Overall Remarks:**  
 Reviewer indicated “0” on the majority of fields related to case coordination. The rationale for the “0” is from the observations of the randomly selected Warrior records. Reviewer observed inconsistencies throughout the various records. Some records were complete and indicated a plan, referrals, follow-up and close out, while a large majority did not capture all of the indicators through documentation that UWS had and maintained a relationship with the Warrior. Simply stated, if it is not documented, reviewer cannot deduce that a common practice across UWS is being conducted. **Recommendation:** Utilize supervision as a method of ensuring that all Warriors are receiving the same level of support, regarded in the same manner, and relationships are being developed and maintained. Supervisors ensure that Outreach workers workload is diversified amongst complexity of needs and low needs although follow-up will vary based on level of need, follow-up continues to need to be conducted appropriate to the Warriors journey. **Recommendation:** Utilize staff who are successful with their documentation as peer mentors to assist other staff with continuity of practice. Reviewer observed documentation that was completed varied from case management and case coordination. **Recommendation:** A clear understanding of Community Integration as a Case Coordination model and educating staff that case management is a model most commonly used with social service organizations.

**G. Financial Management and Cost Allowability**

This section is designed to review the grantee's financial management system and eligibility of grant expenditures. This section is designed to review the grantee's allocation of cost to verify that its procedures comply with contractual obligations and program budget.

Item	Description	Score
1	Does the grantee have written procedures for recording financial transactions, and a current accounting manual and a chart of accounts? (Source: Grantee policy manual, grantee interview)	<input type="checkbox"/> 0 Grantee does not have written procedures or current accounting manual in place.* <input type="checkbox"/> 1 Grantee has written procedures, accounting manual and chart of accounts. <input checked="" type="checkbox"/> 2 Procedures are clearly written provides action steps; evidence of communication to relevant staff and review by staff
2	Does the grantee maintain a policy manual covering the authority for approving financial transactions? (Source: Grantee policy manual, grantee interview)	<input type="checkbox"/> 0 Grantee does not have a current policy manual in place covering authority for approving financial transactions. * <input type="checkbox"/> 1 Grantee maintains a policy manual covering authority for approving financial transactions. <input checked="" type="checkbox"/> 2 Grantee maintains a policy manual covering authority for approving financial transactions; there is evidence that manual is periodically reviewed by relevant staff.
3	Does the grantee have written procedures regarding the maintenance of accounting records? (Source: Grantee Policy Manual)	<input type="checkbox"/> 0 Grantee does not have written procedures regarding maintenance of accounting records.* <input type="checkbox"/> 1 Grantee has written procedures regarding maintenance of accounting records. <input checked="" type="checkbox"/> 2 Procedures are clearly written providing action steps; there is evidence of communication to and periodic review by relevant staff.
4	Are the grantee's fiscal records and valuables secured in a limited access area? (Source: Grantee Policy Manual, Interview and Visual Observance)	<input type="checkbox"/> 0 Grantees fiscal records/valuables are not secured.* <input type="checkbox"/> 1 Grantees fiscal records/valuables are secured in limited access area. <input checked="" type="checkbox"/> 2 Grantees fiscal records/valuables secured in area limited to access by relevant management and fiscal staff.
5	Does the grantee identify expenditures in its accounting records according to eligible activities identified in the approved application? (Source: Grantee Program Files, Fiscal Records and Approved Program Budget)	<input type="checkbox"/> 0 Grantee does not have method to identify expenditures according to eligible activities identified in approved application. * <input type="checkbox"/> 1 Grantee has accounting records that clearly identify expenditures identified in most

		<p>recent program budget.</p> <p><input checked="" type="checkbox"/> 2 Grantee has accounting records that clearly identify expenditures identified in most recent program budget. Grantee regularly monitors actual expenditures to compare with program budget.</p>
6	<p>Are charges to the program budget for salaries and wages, whether treated as direct or indirect costs, based on payroll documentation and approved by a responsible official(s) of the organization being monitored? (Source: Grantee Program Files)</p>	<p><input type="checkbox"/> 0 Grantee does not have documentation identifying payroll documentation.</p> <p><input type="checkbox"/> 1 Grantee has documentation of wages based on payroll that identifies employee, time worked in program budget, and deduction. Individual payroll has been approved by responsible staff.</p> <p><input checked="" type="checkbox"/> 2 Grantee has documentation of wages based on payroll that identifies employee, time worked in program, and deductions that has been approved by responsible staff. Grantee provides evidence of periodic review of charges for salaries and comparison of actual services provided.</p>
<p><b>Notes:</b> Upstate Warrior Solution has in-depth policies and procedures in place to be good stewards of organizations finances. Their accounting on quarterly disbursements is on track and match. The policies are so detailed that compliance by the Executive Director may be difficult to achieve without delegation.</p>		
7	<p>Are payments for employee salaries supported by timesheets indicating actual times? (Source: Grantee Program Files)</p>	<p><input checked="" type="checkbox"/> 0 Grantee does not have timesheets to support charges for wages or salaries.</p> <p><input type="checkbox"/> 1 Grantee provides timesheets that indicate time worked in CI program budget for each employee being paid with CI funds.</p> <p><input type="checkbox"/> 2 Grantee provides timesheets that indicate time worked for each employee being paid with CI funds. Timesheets are signed by employee and supervisor and approved by fiscal staff.</p>
8	<p>If salaries are being paid from more than one source, do the fiscal records clearly define payments among the funding sources? (Source: Grantee Program Files)</p>	<p><input checked="" type="checkbox"/> 0 Grantee does not have fiscal records defining payments among funding sources.</p> <p><input type="checkbox"/> 1 Grantees fiscal records clearly define payments of salaries from each funding source through time sheets or payroll records.</p> <p><input type="checkbox"/> 2 Grantee provides timesheets</p>

		that indicate time worked by each employee and clearly define programs for which salaries are being paid. Timesheets are signed by employee and supervisor and approved by fiscal staff.
9	Is there evidence in the financial records of any cash payments being provided directly to the consumers? (Source: Grantee Program Files and Consumers Files)	<input type="checkbox"/> 0 Program files or financial records indicate cash or gift cards provided to consumers. <input type="checkbox"/> 1 Payments of cash or gift cards directly to consumers is not evident in financial records. <input checked="" type="checkbox"/> 2 Payments of cash or gift cards directly to consumers is not evident in financial records and procedures exist to mitigate ineligible expenses.
10	Do the disbursement requests match the schedule for grant disbursement? (Source: Grantee Program Files, Quarterly Disbursements)	<input type="checkbox"/> 0 Grantee does not have backup documentation to support disbursement request. * <input type="checkbox"/> 1 Grantee has backup documentation to support disbursement request. <input checked="" type="checkbox"/> 2 Grantee has backup documentation to support disbursement request and documentation linking expenses to CI program files.
12	Is there evidence that ineligible expenses have been paid with CI funds (Examples of ineligible expenditures include, but are not limited to, costs associated with entertainment, contributions and donations, fines and penalties, or general governmental and nonprofit expenditures including salary and expenses of the chief executive officer of the grantee.) (Source: Grantee Program Files and Approved Program Budget)	<input type="checkbox"/> 0 Program files or financial records indicate ineligible expenses have been paid with CI funds. <input type="checkbox"/> 1 Payments of ineligible expenses are not evident in financial records. <input checked="" type="checkbox"/> 2 Payments of ineligible expenses are not evident in financial records and procedures exist to mitigate payments of ineligible expenses.
	<p><b>Recommendation:</b> Employees, even those on part-time basis are not required to complete timesheets. I advised for state labor law compliance and accounting of funds those time sheets should be obtained. While there is a policy for accounting for cash donations, the policy is not complied. The use of unaccounted cash funds for petty cash use is not in alignment with policy or good financial practices. <b>Mandate:</b> Every donation - cash, check, in-kind, and credit card must be accounted for and the expenditure identified.</p>	
13	Does a review of the grantee's expenditures indicate that costs related to lobbying political activities have not been charged to the CI program? (Source: Grantee Program Files and Approved Program Budget)	<input type="checkbox"/> 0 Financial records indicate costs related to lobbying have been paid with CI funds. <input type="checkbox"/> 1 Costs related to lobbying are not evident in financial records. <input checked="" type="checkbox"/> 2 Costs related to lobbying are not evident in financial records and procedures exist to mitigate payments of these costs to the CI

		program.
<p><b>Overall Remarks:</b> Policies are in place, but not fully complied. The current budget is under spent, but well accounted for. <b>Recommendation:</b> Re-allocate the unexecuted funds toward a shortfall such as media to support outreach. <b>Mandate:</b> The AWP grant funds must be fully matched and expended by the end of the grant year within the approved program budget or budget reallocation approvals.</p>		
<p><b>H. Policy and Procedures</b> This section is designed to review the grantee's policies and procedures to ensure compliance with program requirements and achievement of program goals.</p>		
Item	Description	Score
1	Does the grantee have procedures that describe how outreach is conducted to target the populations described in the approved RFP application?	<input type="checkbox"/> 0 Grantee does not have procedures describing how outreach is conducted. <input checked="" type="checkbox"/> 1 Grantee has procedures describing how outreach is conducted. <input type="checkbox"/> 2 Grantee has written procedures for conducting outreach; there is evidence procedures are communicated to and practiced consistently by relevant staff.
2	<p>The grantee has written policies and procedures defining access to services that include:</p> <ul style="list-style-type: none"> <li>• Where intakes will be conducted</li> <li>• How intakes will be conducted,</li> <li>• How internal referrals are conducted,</li> <li>• How to determine staff that is responsible for Warriors services,</li> <li>• Who is responsible for follow-up</li> </ul> <p>(Source: Grantee Policy Manual, Grantee Program Files and Interview)</p>	<input type="checkbox"/> 0 Grantee does not have written procedures defining access to services or procedures do not contain all elements. <input checked="" type="checkbox"/> 1 Grantee has written policies and procedures describing access to services that include all elements. <input type="checkbox"/> 2 Grantee has written policy and procedures providing action steps; there is evidence of communication to and periodic review by relevant staff.
3	<p>The grantee has policies and procedures that describe how case coordination is delivered to consumers that include:</p> <ul style="list-style-type: none"> <li>• Coordination of housing stabilization services</li> <li>• Assistance with achieving goals</li> <li>• Assistance with accessing community resources</li> <li>• Provision of linkages to enhance wellbeing</li> <li>• Coordination when more than one case coordination provider exists</li> </ul>	<input type="checkbox"/> 0 Grantee does not have written procedures describing how case coordination is delivered or procedures do not contain all elements. <input checked="" type="checkbox"/> 1 Grantee has policies and procedures describing how case coordination is delivered that include all elements. <input type="checkbox"/> 2 Grantee has written policy and procedures providing action steps; there is evidence of communication

		to and periodic review by relevant staff.
4	The grantee has procedures regarding sharing of information with other individuals or agencies that includes identification of information to be shared and forms to authorize release of information that identify at a minimum: <ul style="list-style-type: none"> <li>• Name</li> <li>• Content</li> <li>• Purpose</li> <li>• Date upon which authorization will expire</li> <li>• Signature of person authorized to sign release</li> </ul> (Source: Grantee policy manual, program files, copy of ROI form)	<input type="checkbox"/> 0 Grantee does not have procedures regarding sharing of information with other agencies. <input checked="" type="checkbox"/> 1 Grantee has procedures in place for sharing of information with other individuals or agencies that contains all elements. <input type="checkbox"/> 2 Grantee has written procedures for sharing information with other individuals or agencies that contains all elements; there is evidence procedures are communicated to and practiced consistently by relevant staff.
5	The grantee has written policies and procedures describing exit from CI program and follow up plan? (Source: Grantee Policy Manual, grantee program files that include written exit plans, discharge summaries)	<input checked="" type="checkbox"/> 0 Grantee does not have written policies and procedures describing exit from CI program or procedures do not contain all elements. <input type="checkbox"/> 1 Grantee has written procedures describing exit from CI Program that include all elements. <input type="checkbox"/> 2 Grantee has written policy and procedures providing action steps; there is evidence of communication to and periodic review by relevant staff.
<b>Overall Remarks:</b> Reviewer reviewed policy and procedures that respond to the above information. The policy and procedures that are written are clear and concise and form a great foundation for supporting Warriors.		

<b>1. Names and Titles of CI Staff Participating in Exit Conference:</b>	Jim Lorraine, President/CEO Cheree Tham, Director Community Integration
<b>2. Names Grantee Staff in Attendance:</b>	Charlie Hall, Chris McCrae, Kevin McBride, Jenna Grotler
<b>3. Discussion</b> (Highlights, including areas of disagreement, if any):	N/A