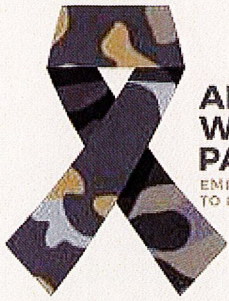


September 13, 2016



**AMERICA'S
WARRIOR
PARTNERSHIP**
EMPOWERING COMMUNITIES
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Charlie Hall
Executive Director
Upstate Warrior Solution
3 Caledon Court, Suite A-2
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 2 of the Community Integration Initiative.

Our findings include recommendations that are shared best practices and have been proven to support Community Integration Initiative. Please review the program audit full report for **recommendations** in relevant sections.

Auditor noted mandates in areas that required immediate attention and action. The mandate(s) are located within the program audit, however, for a quick reference the mandates are below:

- UWS create a feasible voucher system including a policy and procedure to be submitted to America's Warrior Partnership within 4 months, no later than December 15, 2016.
- America's Warrior Partnership grant funds must be fully matched by the end of the grant year within the approved program budget or any other budget reallocation upon approval.

We have found that your program is in alignment with our guidelines and is progressing according to the agreed upon objectives. We appreciate the dedication UWS has demonstrated to Warriors/family members and the community.

If you have any questions please feel free to contact Cheree Tham at 706.631.6537 or cth@americaswarriorpartnership.org.

Sincerely,

Cheree M. Tham
America's Warrior Partnership
Director Community Integration



DATE: August 9-10, 2016

**COMMUNITY INTEGRATION
COMPREHENSIVE AUDIT**

Exhibit 1: Guide for Review of Grantees Receiving COMMUNITY INTEGRATION (CI) Funds		
Name of Grantee: Upstate Warrior Solution (UWS)		
Grantee Staff Consulted: Charlie Hall, Theresa Thompson, Nate Moore, Derrick Popham, James Mulak, Andrew Mitchell, Jenna Grotler, Robyn Grable, Brett Claycamp		
Name(s) of Reviewer(s):	Cheree Tham, Director of Community Integration Kaitlin Mongan, Grants and Planning Manager	Date: August 9-10, 2016

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:

A. Program Progress		
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.		
Item	Description	Score
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 type="checkbox"/> 1 Within 10% variance. <input checked="" 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 has a staff that includes 6 FTE, 9 PTE, 6 Fellows (Volunteers with small stipend), and 4 bachelor’s level social work interns. The staff has put an emphasis on outreach in the past but current metrics indicate a drop in outreach to Warriors. However, through further discussion, it was observed that in combination with additional staff roles and responsibilities, Warriors who have been outreached to have several supportive service requirements. Therefore, UWS has been focusing on supporting Warriors that have been outreached to that require assistance. UWS has increased their teams capacity to continue to conduct outreach and support those that they outreach to.

In previous audit it was recommended that UWS diversify their Warrior population to include all Warriors and not just those with complexity of needs. It was apparent through documentation and the use of WarriorServe™ that they have diversified their Warrior population.

In previous audit it was recommended that UWS organizational structure be set up to support clear lines of supervision/communication through supervision and team meetings. UWS at that time designated staff to be experts in designated area but it has been demonstrated through the use of supervision and team meetings that the staff maintains their expertise but are acting as generalist for the Warrior population. UWS has three offices; Greenville, Spartanburg, and Clemson in which they provide bi-weekly meetings with staff and directors and bi-weekly case coordination meetings.

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>Notes: UWS Education Program Development, Peer Mentor Support Program, Veterans Treatment Court, UWS Policy and Procedural Manual all include description of Community Integration Initiative. The execution of the above P&P establishes a clear path to diversify and support the Warrior population of the upstate.</p>		

	UWS has an in depth employee handbook that clearly defines the HR matters for employees, volunteers and interns.	
2	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)	<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.
	Notes: Currently the only official input provided to UWS from consumers is done through the Annual Survey and Initial Intake and Follow up questions (QoL). Recommendation: UWS develop a survey monkey with no more than 5 questions that is made available to Warriors UWS has engaged, create polls that periodically go to their Warriors, and/or create a feedback box in the offices in order to ascertain the satisfaction of the program.	
3	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)	<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.
4	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)	<input 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 checked="" type="checkbox"/> 2 Grantee provides regular supervision, yearly employee evaluations, and conducts trainings relevant to AWP services.
5	Are the duties for Community Integration Initiative personnel up to date and defined by job descriptions? (Source: current job descriptions)	<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. <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,	<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

	<p>annual signed ethical conduct declarations, Interview, Board Meeting minutes)</p>	<p>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.</p>
<p>7</p>	<p>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)</p>	<p><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.</p>
<p>8</p>	<p>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)</p>	<p><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.</p>
<p>Overall Remarks: B3: UWS continues to provide a great service to their Warriors in doing so, there have been occasions where staff have put themselves in potential risk of a situation. Recommendation: UWS develop policies regarding transporting Warriors and their families, home visits and after office hours provisions. Ensure that all policies are consistent with insurance policies and laws surrounding the responsibility of the agency to ensure staff, volunteers and interns as well as Warriors are always safe.</p> <p>B4: UWS conducts Mid-Year Performance Reviews as well as Annual Performance Reviews as required.</p> <p>B8: All documentation of Warriors are secured through WarriorServe™. Any additional information that is held on paper copies or previous excel spreadsheets is kept in locked cabinets within a locked facility.</p>		

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 type="checkbox"/> 0 Grantee does not have a written management system for the oversight of its sub-grantees.* <input checked="" 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, MOA, Monthly Reports)	<input type="checkbox"/> 0 Grantee does not have written agreements that clearly define the program activities the sub-grantee is to perform. <input type="checkbox"/> 1 Grantee has written agreements that clearly define the program activities the Sub-grantee is to perform. <input checked="" 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 direct services that would enable the grantee to effectively monitor the sub-grantees activities? (Source: Grantee Program Files and Interview, Sub grantee applications)	<input checked="" 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 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 type="checkbox"/> 1 The written agreements include statements regarding mitigation of conflicts of interest. <input checked="" 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.
4	Does the grantee have a written policy and procedure that ensures accountability of Sub Grantees both financially and program deliverables? (If "yes," briefly describe below.) (Source: Grantee Application, interview, Sub grantee application)	<input type="checkbox"/> 0 Grantee does not have a written Policy & Procedure for the accountability of its sub-grantees.* <input checked="" type="checkbox"/> 1 Grantee has a written Policy & Procedure for the accountability of its sub-grantees. <input type="checkbox"/> 2 Grantee has a written Policy & Procedures for the accountability 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
5	Is the number of consumers currently being served by Sub Grantee consistent with the program deliverable in the approved MOA and Contract? (Source: Program Deliverables monthly report, Names of Warriors associated with the number reported on monthly reports)	<input checked="" type="checkbox"/> 0 11% variance or more. <input type="checkbox"/> 1 Within 10% variance. <input type="checkbox"/> 2 No variance or exceeds variance and have already exceeded service number.
6	Does the grantee have a written policy and procedure that identifies the Quality Control of data provided by Sub-grantees?	<input type="checkbox"/> 0 Grantee does not have a written Policy & Procedure for the Quality Control of its sub-grantees.* <input checked="" type="checkbox"/> 1 Grantee has a written Policy & Procedure for the Quality Control of its sub-grantees. <input type="checkbox"/> 2 Grantee has a written Policy & Procedures for the Quality Control 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
7	Does the grantee have a written policy and procedure that outlines communication and referrals from Sub-grantees?	<input type="checkbox"/> 0 Grantee does not have a written Policy & Procedure for the communication and referrals of its sub-grantees.* <input checked="" type="checkbox"/> 1 Grantee has a written Policy & Procedure for the communication and referrals of its sub-grantees. <input type="checkbox"/> 2 Grantee has a written Policy &

		Procedures for the communication and referrals 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
8	Does the Sub-Grantee identify expenditures in its accounting records according to eligible activities identified in the approved application? (Source: Sub-Grantee Program Files, Fiscal Records and Approved Program Budget)	<input type="checkbox"/> 0 Sub-Grantee does not have method to identify expenditures according to eligible activities identified in approved application. * <input checked="" type="checkbox"/> 1 Sub-Grantee has accounting records that clearly identify expenditures identified in most recent program budget. <input type="checkbox"/> 2 Sub-Grantee has accounting records that clearly identify expenditures identified in most recent program budget. Sub-Grantee regularly monitors actual expenditures to compare with program budget.
9	Are charges to the program budget for direct services, whether treated as direct or indirect costs, based on documentation and approved by a responsible official(s) of the organization being monitored? (Source: Sub-Grantee Program Budget, P & L agency wide, P & L CI, Invoices, cancelled checks/receipts)	<input type="checkbox"/> 0 Sub-Grantee does not have documentation identifying payroll documentation. <input checked="" type="checkbox"/> 1 Sub-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. <input type="checkbox"/> 2 Sub-Grantee has documentation of wages based on payroll that identifies employee, time worked in program, and deductions that has been approved by responsible staff. Sub-Grantee provides evidence of periodic review of charges for salaries and comparison of actual services provided.
10	Is there evidence in the financial records of any cash payments being provided directly to the consumers? (Source: Sub-Grantee Program Budget, P & L agency wide, P & L CI, Invoices, cancelled checks/receipts)	<input type="checkbox"/> 0 Program files or financial records indicate cash or gift cards provided to consumers. <input checked="" type="checkbox"/> 1 Payments of cash or gift cards directly to consumers is not evident in financial records. <input 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

<p>11</p>	<p>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 Sub-Grantee.) (Source: Sub-Grantee Program Budget, P & L agency wide, P & L CI, Invoices, cancelled checks/receipts)</p>	<p><input type="checkbox"/> 0 Program files or financial records indicate ineligible expenses have been paid with CI funds.</p> <p><input type="checkbox"/> 1 Payments of ineligible expenses are not evident in financial records.</p> <p><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>
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Overall Remarks:

UWS secured 4 sub-grants for this grant term. In the agreements, the sub-grants provided funding for salaried positions within organizations. 2 of the current sub-grants had already expended their funds at the time of the program audit. 2 of the sub-grants were on track to expend their funds at the end of the contract year. The 2 organizations that were on track to spend money by contract end were Goodwill and Vet Court. Cheree Tham (America's Warrior Partnership), Kaitlin Mongan (America's Warrior Partnership), and Charlie Hall (UWS) met with Goodwill and Vet Court regarding Sub-grant (8.9.16).

Goodwill Industries: Goodwill has been a sub-grantee of UWS for two consecutive years. The money used to fund Goodwill was for a salaried position to specifically assist Warriors with employment through Goodwill industries. The position did not exceed Goodwill's other staff responsibilities other than to work specifically with the Warrior population. This partnership allowed for UWS to secure a relationship with Goodwill to work with UWS Warriors to secure employment. Following a conversation with Goodwill, they are unable to continue to fund a Goodwill employee to specifically work with Warriors and without funding they will continue to work with the Warriors as they do with all job seekers who utilize Goodwill services. A conversation ensued following to discuss a continued partnership with UWS without funding for a salaried position. Several options were shared regarding in kind support and partnership that has been successful with other community groups and the Goodwill's in those areas that did not require funding for a salaried position but leveraged both Goodwill's expertise and the community groups expertise. UWS and Goodwill will continue to discuss methods of leveraging each other to secure successful employment for Warriors and their families.

Vet Court: Vet Court has been a sub-grantee of UWS for two consecutive years. The money used to fund Vet Court was for a part-time employee who works directly with the courts and jails to assess Warriors and secure a plan for them. Currently, there is no funding for Vet Courts in the Upstate and therefore, in order to continue the Vet Court additional funding will need to be secured within the community or through grants to ensure that this program continues.

Recommendation: Sub-grantee funding for next contract year cannot be used for salaried positions and can only be used for direct services to Warriors. Therefore, it is recommended that UWS determine the direct services Warriors are needing in order to assist them with their goals and objectives and to identify non-profits in the area that can provide those direct services.

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 type="checkbox"/> 0 Grantee does not have adequate documentation of where and /or when outreach is being conducted to both community agencies and potential program consumers. <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. <input checked="" 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.
2	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)	<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. * <input 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. <input checked="" 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.
3	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)	<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.

		<input 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. <input checked="" 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.
4	Does the grantee conduct and engage in outreach activities with the local VA? (Source: Grantee Program Files and Interview)	<input type="checkbox"/> 0 Grantee does not engage in outreach activities with the local VA. <input type="checkbox"/> 1 Grantee conducts and engages in outreach activities with VA agencies including VA Medical Center, Warrior Benefits Administration, and Vet Centers. <input checked="" 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 type="checkbox"/> 1 Grantee engages in outreach activities with State and local government agencies. <input checked="" 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 type="checkbox"/> 1 Grantee engages in outreach activities with private agencies and organizations. <input checked="" 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 type="checkbox"/> 1 Grantee demonstrates the ability to effectively target the population in the approved application (within 20% of target) <input checked="" type="checkbox"/> 2 Grantee demonstrates the

		ability to effectively target the population in the approved application (within 10% of target)
<p>Overall Remarks: UWS keeps detailed records of outreach events and defines them as Outreach, Warrior Outreach, Family Support, Community Engagement, Employment Outreach, Fundraising, Educational Outreach, Event Outreach, and Exposure Outreach.” Outreach venues include a diverse population to the following venues: USMC, VA, Spouses Hike, PIT Count, Aughtry Fundraiser, Peace Center Partners, Easley Lions Club 1831 Gala, UPS Employee Expo, A Hero’s 5K, Greenville Corvette Club, Logan & Pops Gun Event, Spouses Hike, Hero’s Night-Hockey, National Guard Anderson, North Spartanburg Rotary, Fox Run-Pro Am, USFFC Edge of Revolt, Rotaract March Mixer, Ware Shoals High Poker Run, Community Town Hall, Pickens County Lunch, Oconne Financial Alliance, and several others.</p>		

<p>E. Consumer Eligibility</p>		
<p>This section is designed to assess whether consumer eligibility has been adequately documented.</p>		
Item	Description	Score
1	<p>Describe the process for determining consumer eligibility. (Source: Grantee Program Files and Interview)</p>	<p><input type="checkbox"/> 0 No eligibility policy and procedure and/or staff describes the procedure in an inconsistent manner.</p> <p><input type="checkbox"/> 1 Vague written process of eligibility, little criteria. Staff describes the procedure in a consistent manner.</p> <p><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>
2	<p>When a person served is found ineligible for services, does grantee have a process to:</p> <ul style="list-style-type: none"> • Inform the consumer as to the reasons • Recommend alternative services • Notify the referral source as to the reasons, if applicable <p>(Source: Grantee Program Files and Interview)</p>	<p><input 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.</p> <p><input type="checkbox"/> 1 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.</p> <p><input checked="" 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</p>

		to the needs of the consumer and is a direct referral.
	<p>Notes: UWS consistently obtains eligibility information via an Intake form. UWS then inputs the information gathered on the intake form into WarriorServe™ (Information System).</p>	
3	Where does the grantee refer Warrior families who are determined to be ineligible to participate? (Source: Grantee Program Files and Interview)	<input type="checkbox"/> 0 Does not refer to other resources consistently. <input type="checkbox"/> 1 Refers, but process is vague and not always tailored to the Warrior family needs. <input checked="" type="checkbox"/> 2 Thorough referring process complete with tools (like pamphlets) and direct referrals for ineligible applicants.
	<p>Notes: All Warriors and their family members are eligible for assistance. For those who contact UWS who are not Warriors community referrals are provided.</p>	
5	Do the files reviewed adequately document that the consumer's DD214 are obtained. (Source: Grantee Program Files) ***UWS only requires DD214 when assisting Warriors in programs/benefits that require DD214.	<input type="checkbox"/> 0 DD214 or files indicating dishonorable discharge or no Warrior in household are not required or used for services <input type="checkbox"/> 1 Few files requiring DD214 to provide services are missing <input checked="" type="checkbox"/> 2 All files requiring a DD214 to provide services are maintained
6	Do the files reviewed adequately document that the consumers are occupying permanent housing? (Source: Grantee Program Files)	<input type="checkbox"/> 0 No documentation * <input type="checkbox"/> 1 Clearly and consistently documented. <input checked="" type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.
7	Do the files reviewed adequately document that the consumers are enrolled in education? (Source: Grantee Program Files)	<input type="checkbox"/> 0 No documentation * <input type="checkbox"/> 1 Clearly and consistently documented. <input checked="" type="checkbox"/> 2 Clearly and consistently documented. With appropriate back up documentation.
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 type="checkbox"/> 1 Clearly and consistently documented. <input checked="" 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 type="checkbox"/> 1 Clearly and consistently documented. <input checked="" 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 type="checkbox"/> 1 Clearly and consistently documented. <input checked="" 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 type="checkbox"/> 1 Clearly and consistently documented. <input checked="" 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 type="checkbox"/> 1 Clearly and consistently documented. <input checked="" 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 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 checked="" 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 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 checked="" 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:

Reviewer gives UWS an A+ on their consistent and dedicated use of WarriorServe™ which allows for the reviewer to both quantify and qualitatively assess the support that is being conducted with Warriors and their family members. Since the previous audit, UWS has demonstrated an excellent method of assessing, planning and following up with the Warriors and their family members through documentation.

Reviewer randomly selected 30 Warrior files via WarriorServe™ and determined that the care that is being provided to the Warriors and their family members is holistic and supportive. Reviewer conducted an in depth analysis of the information obtained and documentation (ie. Reflecting outreach, follow-up and case coordination efforts).

Reviewer is unable to make suggestions on case coordination being conducted to Warriors and their families as the documentation demonstrates an ethical and supportive front for caring for the Warriors and their families.

The following initials are the individuals whose records were reviewed:

JH, TT, PA, AN, CC, NW, WM, JS, GS, JM, HT, PA, RS, JS, PA, MA, JS, TK, JP, MG, KB, AB, GG, SW, TL, RP, TT. 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, Lee Eva, Derrick, Lee, Nate, Ryan, Theresa, Jenna, Charlie, Ben, Gavin.

Of the 30 Warriors randomly selected, all Warriors were contacted by reviewer via telephone. The responses are below:

"Hi my name is Anthony Krepps 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."

JH-Pleased with UWS

TT- Busy at work, asked to call back

PA-Voicemail

AN-Not available

CC-No services needed, pleased with UWS, gets emails hasn't had time to participate in events

NW-satisfied, hasn't and doesn't need anything

WM-Wrong number

JS-Voicemail

GS-No Answer

JM-Voicemail

HT-Disconnected number

PA-Phone is Off

RS-Wrong number

JS-Receives emails about positions within community working on his upgrade status. Works

shift work at night, sleeps during day. UWS is GREAT.
 PA-Voicemail
 MA-Call back at work couldn't talk
 JS-Disconnected number
 TK-At work couldn't talk
 JP-Disconnected Number
 MG-Voicemail
 MC-Number not in Service
 KB-Voicemail
 AB-Disconnected number
 GG-Phone was busy
 SW-Satisfied, spoke with Robin and Charlie. Great program
 TL-Great experience very satisfied
 TT-NSN, has application for Volunteering. Very happy with UWS.

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 type="checkbox"/> 1 Grantee is coordinating all agreed upon supportive services to consumers. <input checked="" type="checkbox"/> 2 Grantee is coordinating supportive services based on the needs as a result of a comprehensive assessment.																		
	<table border="1"> <thead> <tr> <th>Type of Benefit/Service</th> <th>Applicant will provide benefit directly using Community Integration funds (Yes/No)</th> <th>Applicant will assist consumers in obtaining services through referrals to other organizations (Yes/No)</th> </tr> </thead> <tbody> <tr> <td>VA Health care services (Physical)</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>VA Health care services (Mental)</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>Daily living services (ADL)</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>Personal financial planning services</td> <td><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td> <td><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>Transportation services</td> <td><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td> <td><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> </tbody> </table>	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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
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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 checked="" 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 checked="" 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: Supportive Services	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: Physical/Mental Wellness	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: Recreation	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: Peer Support	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: Career Mentors	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Other: Family Support Program	<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 type="checkbox"/> 1 Grantee is coordinating services with the appropriate space, materials and/or staffing. <input checked="" 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.	
	Notes: 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"> • Overall goals • Specific measurable objectives • Methods/techniques to be used to achieve the 	<input 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	

	<p>objectives</p> <ul style="list-style-type: none"> • Those responsible for implementation <p>(Source: Grantee Program Files and Interview Consumers Files, Community Profile Map)</p>	<p>related to overall goals, and identification of specific measurable goals, and methods/techniques to achieve the goals, and identifying those responsible for implementation.</p> <p><input checked="" 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.</p>
<p>4</p>	<p>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)</p>	<p><input type="checkbox"/> 0 Files reviewed do not adequately document the referrals provided and/or related activities to help consumers to obtain supportive services.</p> <p><input type="checkbox"/> 1 Files reviewed adequately document that consumers were provided referrals and related activities to help consumers obtain needed supportive services.</p> <p><input checked="" 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.</p>
<p>5</p>	<p>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)</p>	<p><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.</p> <p><input 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.</p> <p><input checked="" 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.</p>

6	<p>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:</p> <ul style="list-style-type: none"> • Vocational and rehabilitation counseling • Employment and training service • Educational Assistance • Health Care Services <p>(Source: Consumers Files, Interviews)</p>	<p><input 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.</p> <p><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.</p> <p><input checked="" 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.</p>
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"> • Health care services (Physical and Mental health) • Daily living services • Personal financial planning services • Transportation services • Income support services • Fiduciary and representative payee services • Legal Services • Child Care • Housing Counseling • Educational assistance/support • Vocational assistance/support • WWP Alumni Program <p>(Source: Consumers Files)</p>	<p>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 checked="" 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 type="checkbox"/> 1 The supportive services provided are consistent with those described in the approved application.</p> <p><input checked="" 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</p>	<p><input type="checkbox"/> 0 The grantee does not conduct on-going assessments of the consumers supportive services needs</p>

	coordinated holistic plan with respect to expected outcomes? (Source: Consumers Files and Interviews)	and/or does not review the holistic plan with respect to outcomes with the consumer. <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. <input checked="" type="checkbox"/> 2 The grantee conducts on-going assessments of the consumers supportive services needs and reviews the holistic plan with respect 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 type="checkbox"/> 1 Strategies are in the process of being modified. <input checked="" 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 checked="" type="checkbox"/> 0 The Community Profile Map is not being updated accordingly. <input type="checkbox"/> 1 The Community Profile Map has been partially updated. <input type="checkbox"/> 2 The Community Profile Map has been fully updated.

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
	Notes: Financial Policies and Procedures manual has been updated as of last November to include recommendations/mandates from the last annual audit such as including a cash donation policy and procedure.	
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 checked="" type="checkbox"/> 1 Grantee maintains a policy manual covering authority for approving financial transactions.

		<input 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.
	<p>Notes: Spending authority is included in the Financial Policies and Procedures manual for the Board of Directors. The manual also includes Budget Policies and Procedures. These sections include details on spending for grouped expenses or larger expenses.</p> <p>Recommendation: A spending chart be developed for day to day organizational spending. Charlie Hall, UWS Executive Director, asked to see an example spending chart for him to use as a guide in creating a UWS spending chart if available. Example spending chart was sent to Mr. Hall.</p>	
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.
	<p>Notes: UWS uses an internal triple check for accounting, auditing, and reconciliation. The triple check includes 1 look over from the Office Manager on a weekly basis, 1 look over from the Executive Director on a weekly basis, and a final look over from the Director of Development on a monthly basis to close out the month. Additionally, UWS uses an external accounting firm to prepare its monthly, quarterly, and annual financial statements.</p>	
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.
	<p>Notes: As described in the Financial Policies and Procedures Manual, UWS uses a triple lock system for keeping fiscal records and valuables secured in a limited access area. The triple lock includes the Office Building lock, the Office room door lock, and then a locked safe or filing cabinet.</p>	
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 recent program budget. <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.
6	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)	<input type="checkbox"/> 0 Grantee does not have documentation identifying payroll documentation. <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. <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.
7	Are payments for employee salaries supported by timesheets indicating actual times? (Source: Grantee Program Files)	<input checked="" type="checkbox"/> 0 Grantee does not have timesheets to support charges for wages or salaries. <input type="checkbox"/> 1 Grantee provides timesheets that indicate time worked in CI program budget for each employee being paid with CI funds. <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>Notes: UWS implemented an electronic timesheet and mileage tracking system as of August 1, 2016. Recommendation: UWS to provide a Timesheet and Mileage tracking Policy and Procedure for the next annual audit.</p>		
8	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)	<input type="checkbox"/> 0 Grantee does not have fiscal records defining payments among funding sources. <input type="checkbox"/> 1 Grantees fiscal records clearly define payments of salaries from each funding source through time sheets or payroll records. <input type="checkbox"/> 2 Grantee provides timesheets 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. <input checked="" type="checkbox"/> Not Applicable
	<p>Notes: UWS states America's Warrior Partnership Community Integration (CI) Program is their only program. Therefore all salaries are funded by CI or required match funds. They are implementing electronic timesheets as of August 1. Their financial records however indicate proper accounting is made in regards to allocating salaries to appropriate accounts for Program Personnel and Administrative Personnel.</p>	
9	<p>Is there evidence in the financial records of any cash payments being provided directly to the consumers? (Source: Grantee Program Files and Consumers Files)</p>	<input checked="" 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 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.
	<p>Notes: UWS states they will sometimes distribute gift cards to volunteers as a thank you or to veterans they are providing services to for emergency funds. There is no compiled Policy and Procedure for the distribution of gift cards and for the accounting of the distribution of gift cards, but UWS has a process in place.</p> <p>Recommendation: Reviewer recommends UWS coordinate with a partner organization within the community to develop a voucher system instead of distributing gift cards. Distributing gift cards makes it difficult to account for the expense and service rendered since the individual who receives the gift card is able to purchase something other than what the initial expense was intended for.</p> <p>Mandate: UWS create a feasible voucher system including a policy and procedure to be submitted to America's Warrior Partnership within 4 months, not later than December 15, 2016.</p>	
10	<p>Do the disbursement requests match the schedule for grant disbursement? (Source: Grantee Program Files, Quarterly Disbursements)</p>	<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.
11	<p>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)</p>	<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.

	Notes: Fundraising is categorized as marketing within CI funds according to Charlie Hall, UWS Executive Director. UWS wanted to ensure their fundraising expense was a separate account for financial accounting purposes.	
12	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>Overall Remarks: Policies are still in place and are updated on an annual basis. The current budget is over spent, but well accounted for.</p> <p>Recommendation: Find ways to decrease program expenses by partnering with local non-profit organizations and volunteers and/or by implementing more internship programs.</p> <p>Mandate: The America's Warrior Partnership grant funds must be fully matched by the end of the grant year within the approved program budget or any future budget reallocation upon approval.</p>		
<p>H. Policy and Procedures 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 type="checkbox"/> 1 Grantee has procedures describing how outreach is conducted. <input checked="" 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"> • Where intakes will be conducted • How intakes will be conducted, • How internal referrals are conducted, • How to determine staff that is responsible for Warriors services, • Who is responsible for follow-up <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 type="checkbox"/> 1 Grantee has written policies and procedures describing access to services that include all elements. <input checked="" 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"> • Coordination of housing stabilization services • Assistance with achieving goals • Assistance with accessing community resources • Provision of linkages to enhance wellbeing • Coordination when more than one case coordination provider exists 	<p><input type="checkbox"/> 0 Grantee does not have written procedures describing how case coordination is delivered or procedures do not contain all elements.</p> <p><input type="checkbox"/> 1 Grantee has policies and procedures describing how case coordination is delivered that include all elements.</p> <p><input checked="" type="checkbox"/> 2 Grantee has written policy and procedures providing action steps; there is evidence of communication to and periodic review by relevant staff.</p>
4	<p>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:</p> <ul style="list-style-type: none"> • Name • Content • Purpose • Date upon which authorization will expire • Signature of person authorized to sign release <p>(Source: Grantee policy manual, program files, copy of ROI form)</p>	<p><input type="checkbox"/> 0 Grantee does not have procedures regarding sharing of information with other agencies.</p> <p><input checked="" type="checkbox"/> 1 Grantee has procedures in place for sharing of information with other individuals or agencies that contains all elements.</p> <p><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.</p>
5	<p>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)</p>	<p><input type="checkbox"/> 0 Grantee does not have written policies and procedures describing exit from CI program or procedures do not contain all elements.</p> <p><input checked="" type="checkbox"/> 1 Grantee has written procedures describing exit from CI Program that include all elements.</p> <p><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.</p>
<p>Overall Remarks:</p>		

Total Score: _____

<p>1. Names and Titles of CI Staff Participating in Exit Conference:</p>	<p>Cheree Tham, Director of Community Integration Kaitlin Mongan, Grants and Planning Monitor</p>
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2. Names and Titles of Grantee Staff in Attendance:	
3. Discussion (Highlights, including areas of disagreement, if any):	