

September 29, 2017



1190 Interstate Parkway
Augusta, GA 30909

AmericasWarriorPartnership.Org

706-434-1708

Board of Directors

Tim McClain, Chairman

Ron Thomas, Vice Chairman

James M. Hull, Treasurer

Jim Lorraine, President

Clay P. Boardman

Peter J. Bunce

David P. Fridovich, Lt. Gen. (Ret) U.S. Army

Sal Giunta, SSG
MOH Recipient

Paul Hatch

Theresa Holder

Jeremy King

David J. McIntyre, Jr.

Al Tarasiuk

Emeritus

Pete Caye, Jr.

W. Thomas Matthews

Jay Town

Mentor Founder

Col Leo K. Thorsness, USAF Ret.
MoH Recipient
1932 - 2017

Charlie Hall
President
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 3 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:

- The America's Warrior Partnership grant funds must be fully matched by the end of the grant year within the approved program budget or budget reallocation approvals.

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

UWS Y3- Community Integration Comprehensive Audit

General Information

Name of Organization:

Upstate Warrior Solutions

General Information

Name of Reviewers Performing the Audit:

Cheree Tham; Kaitlin Cashwell

Email Address of Reviewers:

cth@americaswarriorpartnership.org;

kcashwell@americaswarriorpartnership.org

General Information

Audit Start Date:

08/28/2017

Audit End Date:

08/30/2017

A. Program Progress

Item A-1: Is the number of consumers currently being served consistent with the program deliverable in the approved application? (Source: Monthly Report/Quarterly Report)

Score of 1- Within 10% variance.

Item A-1 Comments:

UWS outreach numbers fluctuate based on educational institutions being in session and briefings that are conducted at National Guard Installations. UWS has been currently averaging approx. 70 Post 9/11 Warriors per month; their goal is 130/month. UWS reports that they are providing a quality service (as indicated through WS case notes) and therefore, their outreach numbers have decreased in order to maintain a high quality of service.

A. Program Progress

Item A-2: Is staffing level proportionate with consumers served? (Source: Grantee RFP Program Budget and Interview)

Score of 2- Staffed according to grant agreement (zero variance).

Item A-2 Comments:

UWS currently employs 10 full time employees, 10 part-time employees and 6 Fellows to cover the offices. The offices are Spartanburg, Clemson and Greenville.

A. Program Progress

Section A Overall Comments:

Partner Portal has been designed to assist communities with outreach and engagement. It ensures accountability of partners, confidentiality measures and fluid communication. Once UWS is actively utilizing partner portal it will increase the outreach numbers and enhance the reach area for all Warriors.

B. Overall Management Systems/Structure

Item B-1: Does the grantee have written procedures describing scope and delivery of services including description of the America's Warrior Partnership 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)

Score of 2 - Policies and procedures well-organized, clear and thorough. Policies and procedures are easily accessible to all Community Organization Staff, reviewed often.

Item B-1 Comments:

UWS has policy and procedures that guide all the daily operations and processes related to Warrior service and care. The policy and procedures have evolved over time but continue to reflect the relevant standards to ensure best practices throughout the organization.

B. Overall Management Systems/Structure

Item B-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)

Score of 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 America's Warrior Partnership program.

Item B-2 Comments:

UWS uses a case closure survey and random calls for feedback. The directors utilize this practice as a quality assurance measure. When a case is closed an email is sent to Warrior for their feedback. In addition, when cases are closed they are sent for approval in order to see case notes and what information is in the file or is not in the file in order to populate fields through survey. This practice is new and has been being executed for approximately 2 weeks.

B. Overall Management Systems/Structure

Item B-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, and neglect. (Source: Grantee Policies and Procedures manual, copies of incident reports if relevant, documentation of staff training, interview)

Score of 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.

Item B-3 Comments:

Procedure is held within Standard Operating Procedures

B. Overall Management Systems/Structure

Item B-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)

Score of 2 - Grantee provides regular supervision, yearly employee evaluations, and conducts trainings relevant to America's Warrior Partnership services.

B. Overall Management Systems/Structure

Item B-5: Are the duties for Community Integration Initiative personnel up to date and defined by job descriptions? (Source: current job descriptions)

Score of 2 - Grantee has job descriptions that match the duties of the staff, review the job descriptions annually and update if the job duties change.

Item B-5 Comments:

Job descriptions are kept up to date and discussed with employees through HR department.

B. Overall Management Systems/Structure

Item B-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)

Score of 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.

B. Overall Management Systems/Structure

Item B-7: Is the **grantee's** governing body or board of directors involved and invested in America's Warrior Partnership Community Integration Initiative? (Source: Grantee Board Policies, or annual signed conflict of interest declarations, annual signed ethical conduct declarations, board meeting minutes, Interview)

Score of 2 - Grantee is able to demonstrate that the grantee's board is extremely involved and invested in America's Warrior Partnership Community Integration Initiative through meeting notes and active involvement in the America's Warrior Partnership Community Integration Initiative.

B. Overall Management Systems/Structure

Item B-8: Does the grantee have policies and procedures ensuring that confidential information, including records of persons served, are secure and protected? (Source: Visual observance, grantee policies addressing confidentiality, interview, demonstration of access to electronic records)

Score of 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.

B. Overall Management Systems/Structure

Section B Overall Comments:

Reviewer noted that policies, procedures and standard operating procedures are up to date, thorough and reflect the growth and development of the organization.

C. Sub-grantee Management

Did the organization have any memorandum of agreements with sub-grantee partners?

No

D. Outreach and Targeting

Item D-1: Does the **grantee's** documentation show where outreach is conducted and the frequency of outreach activities? (Source: Grantee Program Files and Interview)

Score of 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.

Item D-1 Comments:

Outreach, fundraising and events is stored on a google live document for all to view, it was also noted that it is consistently in the case notes where Warriors were engaged.

Recommendation: Reviewer noted that in the "Lead Source" of WarriorServe® that it was not consistently documented where the referral or engagement occurred. If it is a standard operating procedure, and all staff and volunteers are consistently documenting in the drop down menu it will assist with reporting and grant proposals as it will allow for a report to be generated specific to outreach and engagement venues and participation.

D. Outreach and Targeting

Item D-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)

Score of 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.

D. Outreach and Targeting

Item D-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)

Score of 2 - Grantee does demonstrate outreach services to find and engage Warriors and their families on a routine basis in a variety of community venues.

Item D-3 Comments:

UWS diversifies their outreach and target areas, the majority of veterans are engaged through National Guard Installations and through schools.

D. Outreach and Targeting

Item D-4: Does the grantee conduct and engage in outreach activities with the local VA? (Source: Grantee Program Files and Interview)

Score of 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.

D. Outreach and Targeting

Item D-5: Does the grantee conduct and engage in outreach activities with State and local government agencies? (Source: Grantee Program Files and Interview)

Score of 2 - Grantee engages in outreach activities with State and local government agencies. Grantee demonstrates a strong relationship with the State and local government agencies.

D. Outreach and Targeting

Item D-6: Does the grantee conduct outreach to private agencies and organizations that serve Warriors and their families? (Source: Grantee Program Files and Interview)

Score of 2 - Grantee engages in outreach activities with private agencies and organizations. Grantee demonstrates a strong relationship with the private agencies and organizations.

D. Outreach and Targeting

Item D-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)

Score of 1 - Grantee demonstrates the ability to effectively target the population in the approved application (within 20% of target).

Item D-7 Comments:

Currently UWS outreach numbers average approx. 70 Post 9/11 Warriors per month. Recommendation: UWS leverage partner portal to increase outreach numbers and provide a collective support for Veterans in the community that can be documented.

E. Consumer Eligibility

Item E-1: Describe the process for determining consumer eligibility. (Source: Grantee Program Files and Interview)

Score of 2 - Well-written consumer eligibility policies with procedures for eligible and ineligible consumers. Staff can clearly and consistently describe the procedure.

Item E-1 Comments:

Eligibility for services is clearly defined through the Standard Operating Procedures.

E. Consumer Eligibility

Item E-2: When a person served is found ineligible for services, does grantee have a process to:

Inform the consumer as to the reasons

Recommend alternative services

Notify the referral source as to the reasons, if applicable

(Source: Grantee Program Files and Interview)

Score of 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.

E. Consumer Eligibility

Item E-3: Where does the grantee refer Warrior families who are determined to be ineligible to participate? (Source: Grantee Program Files and Interview)

Score of 2 - Thorough referring process complete with tools (like pamphlets) and direct referrals for ineligible applicants.

E. Consumer Eligibility

Item E-4: Do the files reviewed adequately document that the consumer's DD214 are obtained. (Source: Grantee Program Files)

Score of 2 - All files requiring a DD214 to provide services are maintained.

E. Consumer Eligibility

Item E-5: Do the files reviewed adequately document that the consumers are occupying permanent housing? (Source: Grantee Program Files)

Score of 2 - Clearly and consistently documented. With appropriate back up documentation.

E. Consumer Eligibility

Item E-6: Do the files reviewed adequately document that the consumers are enrolled in education? (Source: Grantee Program Files)

Score of 1 - Clearly and consistently documented.

Item E-6 Comments:

Education is consistently documented however; there is limited documentation of assurances that once aware that the Veteran being in school, that there are services to ensure they stay in school.

E. Consumer Eligibility

Item E-7: Do the files reviewed adequately document that the consumers are employed or unemployed? (Source: Grantee Program Files)

Score of 2 - Clearly and consistently documented. With appropriate back up documentation.

E. Consumer Eligibility

Item E-8: Do the files reviewed adequately document that the consumers are enrolled in the VA? (Source: Grantee Program Files)

Score of 2 - Clearly and consistently documented. With appropriate back up documentation.

E. Consumer Eligibility

Item E-9: Do the files reviewed adequately document that the consumers are enrolled in eBenefits? (Source: Grantee Program Files)

Score of 2 - Clearly and consistently documented. With appropriate back up documentation.

Item E-9 Comments:

UWS has approximately 50% of veterans who are enrolled in eBenefits. It is a part of their assessment that they encourage and assist with eBenefits. They have observed and it is documented that not all Veterans are enrolled in eBenefits and do not want to be.

E. Consumer Eligibility

Item E-10: Do the files reviewed adequately document that the consumers are enrolled in WWP Alumni Program? (Source: Grantee Program Files)

Score of 2 - Clearly and consistently documented. With appropriate back up documentation.

E. Consumer Eligibility

Item E-11: Do the files reviewed adequately document that the consumers are identified Post-9/11 Warriors? (Source: Grantee Program Files)

Score of 2 - Clearly and consistently documented. With appropriate back up documentation.

E. Consumer Eligibility

Item E-12: Do the files reviewed adequately document appropriate follow-up for each consumer? (Source: Grantee Program Files/case notes)

Score of 2 - Case files do adequately document follow-up every 3 months for those actively receiving services and annually for those who are not requesting services. It is reviewed and signed off by program management.

E. Consumer Eligibility

Item E-13: Do the files reviewed adequately document the exit criteria for each consumer? (Source: Grantee Program Files/case notes)

Score of 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.

E. Consumer Eligibility

Section E Overall Comments:

Documentation is standardized and the content is appropriate. Reporter is extremely impressed with the attention to detail and the level of information that is in the documentation. A+++

F. Case Coordination of Supportive Services

Item F-1: Describe the supportive services coordinated on behalf of the consumers. (Source: Grantee Application)

Score of 2 - Grantee is coordinating supportive services based on the needs as a result of a comprehensive assessment.

Type of Benefits/Services Provided:

	Provided Using Community Integration Funds	Provided Using Referrals to Other Organizations	Not Provided
VA Health care services (Physical)		X	
VA Health care services (Mental)		X	
Daily living services (ADL)		X	
Personal financial planning services	X	X	
Transportation services		X	
Income support services		X	
Legal services; Does proper documentation exist for legal staff to rep. vets w/VA claims process?	X	X	
Child care		X	
Housing counseling, housing search		X	
Educational Assistance/Support	X	X	
Employment Assistance/Support	X	X	
WWP Alumni		X	
Outreach	X	X	

Other benefits/services offered using Community Integration funds:

- Fellowship program
- Family Support groups once/month
- Monthly Hike for spouses and caregivers- wellness

Other benefits/services offered using referrals to other organizations:

- Sharpen platform- mobile application
- United Way partnerships/collaboration

F. Case Coordination of Supportive Services

Item F-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)

Score of 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.

F. Case Coordination of Supportive Services

Item F-3: Is there a coordinated holistic plan that is developed with the active involvement of consumers served that identifies:

Overall goals

Specific measurable objectives

Methods/techniques to be used to achieve the objectives

those responsible for implementation

(Source: Grantee Program Files and Interview Consumers Files, Community Profile Map)

Score of 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 consumer should be exited from the program.

F. Case Coordination of Supportive Services

Item F-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)

Score of 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.

Item F-4 Comments:

Recommendation: Document in WarriorServe using drop down menu where referrals are sent and outcome. Partner Portal will assist with this and allow for appropriate reporting and oversight.

F. Case Coordination of Supportive Services

Item F-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)

Score of 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.

F. Case Coordination of Supportive Services

Item F-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:

Vocational and rehabilitation counseling

Employment and training service

Educational Assistance

Health Care Services

(Source: Consumers Files, Interviews)

Score of 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.

F. Case Coordination of Supportive Services

Item F-7: 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:

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
(Source: Consumers Files)

Score of 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.

F. Case Coordination of Supportive Services

Item F-8: Are the supportive services being coordinated consistent with Community Integration Program Deliverables?

(Source: Consumer Files, Grantee Application and Monthly Reports)

Score of 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.

F. Case Coordination of Supportive Services

Item F-9: 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)

Score of 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.

F. Case Coordination of Supportive Services

Item F-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)

Score of 1 - Strategies are in the process of being modified.

F. Case Coordination of Supportive Services

Item F-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)

Score of 0 - The Community Profile Map is not being updated accordingly.

F. Case Coordination of Supportive Services

Section F Overall Comments:

Reviewer randomly selected 25 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 (i.e. outreach, follow-up and case coordination efforts). Following a comprehensive review of the documentation, the 8 Warriors were contacted by a America's Warrior Partnership staff.

The script that was used is: "Hello my name is Allison Williams; I am calling on behalf of Upstate Warrior Solutions. I'd like to thank you for your service and ask you if you have been pleased with information that has been provided from Upstate Warrior Solutions."

Voicemail "Hello my name is Allison Williams, I am calling on behalf of Upstate Warrior Solutions and I just would like to take this opportunity to thank you for your service."

The responses are below:

1. T C - Yes he is very pleased with the information and service they have provided. "Yes I know of them and they have been great. Every time I have a question they get back with me quickly. They inform me of events they are having and they send me updates for jobs that they have listed. I am very pleased with their service."
2. C G - Got their pamphlet from the VA and will call them if he needs any help.
3. J W - He's worked with them. He says that they are the BEST veteran serving organization that he has ever worked with.
4. S S - He hasn't been in touch with them in a while, but he is pleased with the services they offer.
5. A F - He hasn't been in touch with them in a while. He has been pleased with the information that they have given him in the past.
6. S K - He hasn't used any of their services yet, but is getting their emails and is passing them on to veterans that he knows that might be interested in the activity.
7. C R - He went in for an intake to connect with them about a job. He has not yet received a return call from Up State. He thinks he has gotten lost in the shuffle.
8. L H - He has been very pleased with the services that they have provided.

G. Financial Management and Cost Allowability

Item G-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)

Score of 2 - Procedures are clearly written provides action steps; evidence of communication to relevant staff and review by staff

Item G-1 Comments:

In August 2016, America's Warrior Partnership provided UWS with an example Spending Authorization Matrix as well as a Business Related Expense Policy and Procedure for them to tailor as their own and fit within their organization.

Financial Policies and Procedures manual has been updated as of August 2017 to include recommendations/mandates from the last annual audit such as including a Spending Authorization Matrix and Business Related Expense Policy and Procedure. A full manual of fiscal policies and procedures was provided via email to kcashwell@gmail.com on 8/27/2017.

G. Financial Management and Cost Allowability

Item G-2: Does the grantee maintain a policy manual covering the authority for approving financial transactions? (Source: Grantee policy manual, grantee interview)

Score of 2 - Grantee maintains a policy manual covering authority for approving financial transactions; there is evidence that manual is periodically reviewed by relevant staff.

Item G-2 Comments:

As noted in the previous question, UWS provided an updated Fiscal Policy and Procedure as of August 2017 that includes both day to day spending as well as board approval for large expenses. The Fiscal Policy and Procedure also includes financial and budget processes.

G. Financial Management and Cost Allowability

Item G-3: Does the grantee have written procedures regarding the maintenance of accounting records? (Source: Grantee Policy Manual)

Score of 2 - Procedures are clearly written providing action steps; there is evidence of communication to and periodic review by relevant staff.

Item G-3 Comments:

UWS still 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 President 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.

G. Financial Management and Cost Allowability

Item G-4: Are the grantee's fiscal records and valuables secured in a limited access area? (Source: Grantee Policy Manual, Interview and Visual Observance)

Score of 2 - Grantees fiscal records/valuables secured in area limited to access by relevant management and fiscal staff.

Item G-4 Comments:

UWS still 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 of the Office Manager, and then a locked safe or filing cabinet in the Office Manager's desk.

G. Financial Management and Cost Allowability

Item G-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)

Score of 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.

Item G-5 Comments:

UWS submits a profit and loss statement for the program budget to America's Warrior Partnership on a monthly basis which is reviewed by the Grants and Planning Manager. These monthly financials include a column to compare the budget and actual expenses.

G. Financial Management and Cost Allowability

Item G-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)

Score of 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.

Item G-6 Comments:

UWS tracks salaries and wages to identify employee's time worked on the program on a monthly basis which is check

by the Office Manager, Director of Development, and President. They monitor this for all grants they receive. Each year, the Director of Development rolls up this information for tax purposes as well as for planning and budgeting for the following year which is discussed with the President and Office Manager.

G. Financial Management and Cost Allowability

Item G-7: Are payments for employee salaries supported by time sheets indicating actual times or is there an appropriate process for management and supervisors to document salary allocation? (Source: Grantee Program Files)

Score of 2 - Grantee provides time sheets or an appropriate process that indicates time worked for each employee being paid with CI funds. Time sheets or salary allocation are signed by employee and supervisor and approved by fiscal staff.

Item G-7 Comments:

Last year, UWS was implementing an electronic time sheet system. The management team consistent of the President and Office Manager decided tracking hours on time sheets is not appropriate use of employee's time and adding a time clock would not be appropriate use of donor dollars. UWS employees are paid salary not hourly and therefore leadership felt hourly management was not appropriate for their organization. Additionally, as discussed in the next Item G-8, all staff for UWS is under the CI program budget because all of UWS' organization is Community Integration. Hours are monitored by UWS supervisors each day. The Office Manager, President, and Director of Development observes these hours on a monthly basis as well as annually for a final roll-up.

G. Financial Management and Cost Allowability

Item G-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)

Score of 2 - Grantee provides time sheets or payroll records that indicate time worked by each employee and clearly define programs for which salaries are being paid. Time sheets or salary allocation are signed by employee and supervisor and approved by fiscal staff.

Item G-8 Comments:

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. Their financial records however indicate proper accounting is made in regards to allocating salaries to appropriate accounts for Program Personnel and Administrative Personnel. The Director of Development, the President, and the Office Manager review this information on a monthly basis as well as review a roll-up on an annual basis to ensure allocation is clear and accurate.

G. Financial Management and Cost Allowability

Item G-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)

Score of 2 - Payments of cash or gift cards directly to consumers is not evident in financial records and procedures exist to mitigate ineligible expenses.

Item G-9 Comments:

UWS does not distribute cash to consumers. UWS states if they are approached from a local agency that wants to donate gift cards to a veteran, they identify veterans for the local agency. There is no sign of cash payments being provided directly to consumers on the P&L. There is no compiled Policy and Procedure for identifying veterans to receive gift cards and for the accounting of the distribution of gift cards, but UWS has a process in place.

G. Financial Management and Cost Allowability

Item G-10: Do the disbursement requests match the schedule for grant disbursement? (Source: Grantee Program Files, Quarterly Disbursements)

Score of 2 - Grantee has backup documentation to support disbursement request and documentation linking expenses to CI program files.

Item G-10 Comments:

This is monitored by the Grants and Planning Manager on a quarterly basis when UWS requests a grant disbursement. Additionally, a report is reviewed by the Director of Community Integration and President and CEO of America's Warrior Partnership each quarter.

G. Financial Management and Cost Allowability

Item G-11: 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)

Score of 2 - Payments of ineligible expenses are not evident in financial records and procedures exist to mitigate payments of ineligible expenses.

Item G-11 Comments:

This is monitored by the Grants and Planning Manager on a monthly basis when UWS submits their monthly financials. A report is reviewed by the Director of Community Integration and President and CEO of America's Warrior Partnership each month. Additionally, UWS participates in a Financial Audit with a CPA firm each year as required by the CI program grant.

G. Financial Management and Cost Allowability

Item G-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)

Score of 2 - Costs related to lobbying are not evident in financial records and procedures exist to mitigate payments of these costs to the CI program.

Item G-12 Comments:

This is monitored by the Grants and Planning Manager on a monthly basis when UWS submits their monthly financials. A report is reviewed by the Director of Community Integration and President and CEO of America's Warrior Partnership each month. Additionally, UWS participates in a Financial Audit with a CPA firm each year as required by the CI program grant.

G. Financial Management and Cost Allowability

Section G Overall Comments:

Overall Remarks:

Policies are still in place and are updated on an annual basis. The current budget is overspent, but well accounted for. UWS' fiscal policies and procedures have matured appropriately over the course of the CI grant program with the help of America's Warrior Partnership and the diligent UWS staff.

The President stated they recently started working with their external accounting firm on adding financial advising to their accounting package. Previously they relied on the firm for book keeping, taxes, and auditing. The President feels this addition will help with UWS' financial sustainability.

The President stated they started using a new donation management system called "Charity Proud". They have been very impressed with the system. It has helped them streamline the donation management process.

UWS is currently working with the Clemson School of business to create marketing material which was observed during the Audit. This project would be a good way to increase individual giving. Last year individual donors were only 12% of their income. Discussion was had between America's Warrior Partnership and UWS to ensure they can track

the impact on this project and increase participation from the community to grow reach and increase return on investment (ROI).

Recommendation:

Find ways to increase individual giving by partnering with local businesses, churches and colleges. Start creating a last quarter of 2017 and early 2018 campaign for this. Ensure you are able to track metrics to show ROI for all marketing projects. Text to donate, or text for more information would be one way to track your reach and to boost your donor contact list.

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 budget reallocation approvals.

H. Policy and Procedures

Item H-1: Does the grantee have procedures that describe how outreach is conducted to target the populations described in the approved RFP application?

Score of 2 - Grantee has written procedures for conducting outreach; there is evidence procedures are communicated to and practiced consistently by relevant staff.

H. Policy and Procedures

Item H-2: The grantee has written policies and procedures defining access to services that include:

Where intake will be conducted;
How intake will be conducted;
How internal referrals are conducted;
How to determine staff that is responsible for Warriors services; and
who is responsible for follow-up.

(Source: Grantee Policy Manual, Grantee Program Files and Interview)

Score of 2 - Grantee has written policy and procedures providing action steps; there is evidence of communication to and periodic review by relevant staff.

H. Policy and Procedures

Item H-3: The grantee has policies and procedures that describe how case coordination is delivered to consumers that include:

Coordination of housing stabilization services;
Assistance with achieving goals;
Assistance with accessing community resources;
Provision of linkages to enhance wellbeing; and
Coordination when more than one case coordination provider exists.

(Source: Grantee Policy Manual, Grantee Program Files and Interview)

Score of 2 - Grantee has written policy and procedures providing action steps; there is evidence of communication to and periodic review by relevant staff.

H. Policy and Procedures

Item H-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:

Name;
Content;
Purpose;
Date upon which authorization will expire; and
Signature of person authorized to sign release.

(Source: Grantee Policy Manual, Grantee Program Files, copy of Release of Information form)

Score of 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.

H. Policy and Procedures

Item H-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)

Score of 2 - Grantee has written policy and procedures providing action steps; there is evidence of communication to and periodic review by relevant staff.

Overall Audit Remarks:

Overall Audit Comments:

Reviewer has enjoyed being a part of the growth and development of UWS over the past 3 years. With every audit, the level of improvement in development, processes, support, services and documentation has grown to a best practice level. You should be very proud of your service you are providing and the story that you are able to tell through documentation and your quality assurance measures. Reviewer noted that a strong foundation has been developed and secured and that UWS is well positioned for additional technology tools and assistance through those to support Warriors, to support staff and create a larger narrative.

In regards to finances, overall the program has matured in implementing the Community Integration model and becoming an efficient/transparent nonprofit. The staff mentioned they were done growing in staff size **and they have hit a stride with appropriate resource utilization. The President's focus is finding strong funding sources to help them get to their 7 or 8 year mark which the President feels will be a milestone for their program to become sustainable.**

Audit Score

Audit Score:

92.7262038

N/A:

0

Exit Conference Information

List of Organization Staff Consulted During Audit:

- Option 1: Charlie Hall
- Option 2: Kevin McBride
- Option 3: Derrick Popham
- Option 4: Nate Moore
- Option 5: Jenna Grotler
- Option 6: James Mulak
- Option 7: Andrew Mitchell
- Option 8: Theresa Thompson
- Option 9: Christy Ellington
- Option 10: Angie Bowers

Did all of these staff members attend the exit conference?

No

Which staff members did not attend the exit conference?

Derrick Popham, Christy Ellington, Andrew Mitchell,

Exit Conference Information

Exit Conference Discussion for Program Audit (Highlights, including areas of disagreement, if any):

Reviewer reported findings from program audit. There were no disputes or disagreements.