

# Comprehensive Evaluation of Upstate Warrior Solution Community Integration Program Year 6



## General Information

---

Name of Organization: **Upstate Warrior Solution**

Name of Reviewers Performing the Audit:

Program Audit:

**Allison Williams**

[awilliams@americaswarriorpartnership.org](mailto:awilliams@americaswarriorpartnership.org)

**Shya Ellis-Flint**

[sellis-flint@americaswarriorpartnership.org](mailto:sellis-flint@americaswarriorpartnership.org)

Financial Audit:

**Kaitlin Cashwell**

[kcashwell@americaswarriorpartnership.org](mailto:kcashwell@americaswarriorpartnership.org)

Organization Staff Consulted During Audit:

**Charlie Hall**

**Nate Moore**

Location of Program Audit:

Virtual via Zoom

Location of Financial Audit:

Virtual via Zoom

Audit Dates: 11/3/2020

Start: 12:00

End: 2:00

## A. Program Progress

---

This section is designed to ensure that activities are being carried out in a timely manner. The number and diversity of veterans, their family members, and caregivers served are consistent with the program agreement.

---

Item A-1: Is the number and diversity of customers served consistent with the program expectation and deliverable in the signed agreement? (Source: Monthly Report/Quarterly Report, agreement)

A Score of 2- No variance or exceeds variance and has already exceeded service number. Engagement and services are provided to a diverse cross-section of veterans, family members, and caregivers

Item A-1 Comments: According to Upstate Warrior Solution's organizational goal, 100 warriors (pre & post veterans, veteran family members, and veteran caretakers) should be added each month and 1,200 a year. This year COVID affected new intakes. Due to UWS relationships and referrals from hospitals and jails, they are operating at more than 50% new clients. UWS has seen an increase with follow-ups in service due to their comprehensive outreach, assisting, and service coordination to current and past clients. With past clients, they focused on closing cases and opening new cases for needs and wants. UWS set a goal to reach out to 100% of their known warriors. They were able to get in contact with 79% of their "Known Warriors."

---

Item A-2: Is staffing level appropriate to implement the community integration model? (Source: program budget and interviews)

A Score of 2- Staffing level is proportional to the number of warriors (veterans, their family members, and veteran caregivers) served. The organization can fully implement the community integration model.

Item A-2 Comments: UWS has fourteen full-time staff. They have moved away from the part-time model of employment and have added a full-time development associate, and a CI Outreach Associate. The fellowship positions of last year have become full time. They have four separate offices: an Oconee /Pickens office, an Anderson Office, Spartanburg, and a Greenville office to better serve veterans in the Tri-County. UWS has capable staffing to achieve its goals and has created a blended position to utilize their personnel best. They have combined the case coordinator and outreach position. This dual position has allowed the advocates to take more ownership of their warriors and better place them as the lead in their community. The management is doing a good job supporting the staff with the dual-role.

---

## Section A. Overall Comments:

Upstate Warrior Solution is doing an outstanding job of overcoming the challenges of COVID-19. They have created new procedures to keep in touch with the vets they are serving. They have combined positions to utilize their staff best and have created a stable and cohesive environment to serve veterans and their families.

Management is doing an excellent job supporting their staff with dual positions. Additionally, the organization demonstrates its understanding of its staff by utilizing the strengths of its management personnel.

The leadership of Upstate Warrior Solution in the community has flourished. The continual reach back to partners is evidence of leadership.

Recommendation: Keep doing what you're doing! To assist with referrals from organizations not using the Partner Portal, consider a referral link that directly connects into WarriorServe®.

## B. Overall Management Systems/Structure

---

This section is designed to assess the organization's overall management system and structure to ensure compliance with program requirements and the achievement of stated goals.

---

Item B-1: Does the organization have written procedures describing the scope and delivery of services, including a description of 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: Policy and Procedures manual, organization program handbooks, organization program brochures, website)

A Score of 2 – The policies and procedures are well-organized, clear, and thorough. Policies and procedures are easily accessible to all Community Integration staff and are reviewed often.

Item B-1 Comments: UWS has a Policy and Procedures Manual that guides all the daily operations and processes related to warrior service and care. The policy and procedures have evolved and continue to reflect the relevant standards to ensure best practices are followed throughout the organization. The policy and procedure document for case coordination is updated and reviewed as needed throughout the year. This document is located in Google Docs, where it can be examined, and the directors can make suggestions. When changes are made and approved by the

directors, it is highlighted in yellow to draw attention to the changes. Modifications to the case coordination "Policy and Procedures" are reviewed and discussed during the case coordinators' monthly meeting.

Additionally, UWS has a standard operations binder that is updated as policy and procedures change.

---

**Item B-2: Describe how the organization obtains input from veterans, their family members, caregivers served, and other community stakeholders. Does the organization utilize community stakeholders' input to improve the performance of the program?** (Source: satisfaction surveys, demonstration of participation in advisory groups, conferences, presentations to stakeholders, suggestion boxes, strategic planning documents, partner feedback)

A Score of 2 – The organization has an internal survey and community action board meetings to obtain stakeholders' input. The organization holds quarterly meetings to obtain community partners' input. The organization uses feedback from stakeholders to enhance the Community Integration program.

Item B-2 Comments: Upstate Warrior Solution continues to work to obtain input from its veterans/ family members/ caregivers and the community level stakeholders to improve its program's performance.

In addition to UWS's social media and monthly newsletter, Upstate Warrior Solution sends out an email survey at the closing of every case. Warriors are asked to complete the survey with their names attached or anonymously. The survey data is discussed at their weekly meetings and utilized for training. They also review the results from America's Warrior Partnership's Annual Warrior Survey and the Annual Audit to make modifications improving their program.

UWS has established four Community Action Boards (CAB). They have recently created a CAB for Anderson County. These CABs are community-specific and are composed of residents, business owners, professionals, first respondents, and various social service agencies dedicated to collectively serving local warriors. This year they have focused a single staff person, the director of community engagement, to lead the CABs to provide consistency. All the CABs now have the same big goals: ending veteran unemployment, veteran suicide, and veteran homelessness.

---

**Item B-3: Does the organization 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: Organization Policies and Procedures

manual, copies of incident reports if relevant, documentation of staff training, interview)

A Score of 2 – The organization has a clear procedure in place, and the staff is aware of how to handle a critical incident. The organization closely monitors risk as part of its regular operations.

Item B-3 Comments: UWS has a clear procedure in place that can be found in their Policy and Procedure Manual, along with a suicide assessment and protocol. Additionally, they utilize the special handling instructions in WarriorServe® to prevent critical incidents and inform advocates of warriors that may need special care and/or immediate attention.

---

**Item B-4: Does the organization have procedures for providing and documenting the supervision of personnel delivering services to consumers?** (Source: documentation of meetings or team meetings, records of competency-based training, interview, organization policies and procedures)

A Score of 2 – The organization provides regular supervision, yearly employee evaluations, and conducts training relevant to America's Warrior Partnership services.

Item B-4 Comments: Upstate Warrior Solution continues its policy auditing of all critical level closed cases. All critical level closed cases are pending until a supervisor approves them.

UWS conducts yearly employee performance reviews. The Director of Warrior Advocacy meets with each advocate weekly to review cases and caseload. Each Warrior Advocate receives a semi-annual one-on-one review. If a complaint is received regarding a case, the Director of Warrior Advocacy completes an audit of all of the advocate's cases and remediates as needed.

Fellows are evaluated with their partner organization and the fellowship Program Manager at 90 days, monthly, and at the end of their nine months.

Upstate Warrior Solutions conducts monthly training for all staff, and fellows. The program staff attended this year's virtual Symposium, and many attended the Post Symposium Community Integration Webinar series. Each month, a representative from UWS attends America's Warrior Partnership's Battle Rhythm Webinar.

---

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

A Score of 2 - Organization has job descriptions that match the staffs' duties, reviews the job descriptions annually, and updates if the job duties change.

Item B-5 Comments: Upstate Warrior Solutions has job descriptions that match the duties of the staff. The combined outreach and case coordinator's positions, Warrior Advocate, has been updated and is contained in their Policy and Procedure Manual. Fellow job descriptions can be seen on UWS's Website.

---

**Item B-6: Does the organization's governing body or board of directors have policies that include a signed conflict of interest and ethical code of conduct declarations?** (Source: Organization Board Policies, or annual signed conflict of interest declarations, annual signed ethical conduct declarations, interviews, board meeting minutes)

A Score of 2 - The organization is able to provide policies related to its board/governing body pertaining to conflict of interest and ethical codes of conduct. Policies are reviewed regularly and provided to new board members.

Item B-6 Comments: UWS has written policies related to its board/governing body pertaining to conflict of interest and ethical codes of conduct that are reviewed regularly and provided to new board members.

---

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

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

Item B-7 Comments: Upstate Warrior Solution has 18 board members who are actively engaged in the organization. (This year, one of the 19 board members is on sabbatical.) The board meets quarterly and covers overhead if any occurs. In addition to providing governance and fiduciary oversight, the board facilitates community awareness and community partnerships. For example, the current partnership with Prisma Health was initiated by one of the Upstate Warrior Solution's current board members.

---

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

A Score of 2 - The organization has policies and procedures written and implemented to ensure the security and protection of confidential information. Organization staff received training on HIPAA standards and/or confidentiality training.

Item B-8 Comments: All warrior documentation is secured through WarriorServe®. All additional information, on paper copies or previous excel spreadsheets, are kept in a locked cabinet within a locked room. Training is held monthly, and HIPAA and Confidentiality Training is addressed during these meetings.

---

### Section B. Overall Comments:

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

Recommendation: Continue monitoring the Warrior Advocate position for documentation inconsistency. Documentation often gets left out when additional responsibilities are added, and the Warrior Advocate job description has many responsibilities. Remember, documentation is the key to grant acquisition and retention as well as staff accountability. If it isn't documented, it didn't happen!

## C. Outreach and Targeting

---

This section is designed to assess outreach services, as described in the Agreement and Playbook. Organizations must provide outreach services and use their best efforts to ensure that hard-to-reach warriors are identified, engaged, and provided support services. 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 organization.

---

**Item C-1: Does the organization's documentation show where outreach is conducted and the frequency of outreach activities?** (Source: Organization Program Files, website, social media, and Interview)

A Score of 2 - The organization has documentation showing where outreach is being

conducted and the frequency of outreach to both community agencies and potential program consumers. The organization has a regular, consistent outreach schedule, which is supported by program leadership.

Item C-1 Comments: UWS sends out monthly newsletters to their contacts in WarriorServe®, keeps an updated calendar on its website, tracks events and participation using the "lead source" field in the WarriorServe®, and advertises upcoming events on their social media pages.

---

**Item C-2: Does the organization provide consistent outreach efforts in the community that target the populations identified in their agreement?** (Source: program files, Census Data, and interviews)

A Score of 2 – The organization provides consistent and regular outreach in the community as identified in the agreement. The organization is adequately targeting community agencies and potential program users. The program's leadership reviews outreach activities.

Item C-2 Comments: Upstate Warrior Solution meets its outreach goal, to engage 100 new warriors each month by utilizing an innovative upstream approach to outreach entitled Operation Prisma Warrior. They have partnered with Prisma Health in a joint effort to identify all veteran patients in the Prisma Health system. During intake at one of the seven Prisma Health emergency department, patients are asked if they are veterans. If the veteran self-identifies, they are contacted via email and asked if they would like to be connected to UWS for holistic support.

---

**Item C-3: Does the organization provide outreach services to find and engage warriors and their families on a routine basis in a variety of community venues?** (Source: program files, website, and Interviews)

A Score of 2 – The organization demonstrates outreach services to find and engage warriors and their families on a routine basis in a variety of community venues.

Item C-3 Comments: In addition to Operation Prisma Warrior, UWS provides events or join with other organizations to offer joint events around each of their sites. These events are varied and show that they are providing service and outreach to warriors of all eras. The events range from service providing opportunities for warriors who have needs to family-oriented activities to reach warriors who have wants but no needs. They offer monthly opportunities for all veterans to connect and network.

---

**Item C-4: Does the organization conduct and engage in outreach activities with the local VA?** (Source: Organization Program Files and Interview)



A Score of 2 – The organization conducts and engages in outreach activities with VA agencies, including VA Medical Center, warrior Benefits Administration, and Vet Centers. The organization demonstrates a strong relationship with the local VA systems.

Item C-4 Comments: Due to the COVID restrictions, UWS has not conducted formal outreach activities with the local VA since March. However, UWS continued its collaboration with the VA's Veteran Justice Outreach program through UWS's Justice-Involved Veteran Outreach Program. Throughout this year, UWS continued to collaborate with the local VA to meet the needs of veterans in their catchment area.

---

**Item C-5: Does the organization conduct and engage in outreach activities with state and local government agencies?** (Source: Organization Program Files and Interview)

A Score of 2 – The organization engages in outreach activities with state and local government agencies. The organization demonstrates a strong relationship with the state and local government agencies

Item C-5 Comments: Upstate Warrior Solution demonstrates strong relationships with the local law enforcement agencies, community organizations, the local detention centers, and the court system in its development of the Justice-Involved Veteran Outreach Program. This program involves regular attendance at roll-calls and group meetings with local law enforcement agencies to connect and coordinate, and weekly visits to the detention center in the five upstate counties for outreach to incarcerated veterans.

---

**Item C-6: Does the organization conduct outreach to private agencies and organizations that serve warriors and their families?** (Source: Organization Program Files and Interview)

A Score of 2 – The organization engages in outreach activities with private agencies and organizations. The organization demonstrates a strong relationship with private agencies and organizations.

Item C-6 Comments: Upstate Warrior Solution has developed strong relationships with many local private agencies and organizations that serve veterans. They are a part of the Upstate Veterans Alliance Network, a collaboration of community organizations across the Anderson, Greenville, and Spartanburg counties to provide services to their local veteran community.

---

Item C-7: Is the population of veterans, their family members, and caregivers currently being served consistent with the target population in the approved application? (Source: Agreement and Monthly Report)

A Score of 2 - The organization demonstrates the ability to effectively target the population in the approved application (within 10% of the target).

Item C-7 Comments: Upstate Warrior Solution's breakdown of family demographic is consistent with the Upstate area. For example, UWS contact list is 19% women vets, while women vets are 12% of the Upstate population.

---

### Section C. Overall Comments:

Upstate Warrior Solution is the lead organization for veterans, veteran family members, and veteran caregivers in the Upstate of South Carolina.

This leadership is exemplified in establishing Community Action Boards (CABs) in Greenville County, Spartanburg County, and Pickens County. These CABs are community-specific and are composed of residents, business owners, professionals, first responders, and various social service agencies. All of them support our collective mission to serve local warriors. Upstate Warrior Solution is in the process of developing a CAB in Anderson and Oconee. It is this leadership that enables UWS to outreach, connect, and coordinate holistic supportive services to all Upstate warriors and their family members.

Operation Prisma Warrior is a game-changer for UWS in terms of its ability to increase its outreach to a variety of veterans. Because of the success of this program, Hamrick's Department store granted UWS to extend the project to Spartanburg Regional Hospital

Recommendation: A Partner referral link can be established through form assembly to ease the burden of data entry in organizations in which partner portals are not utilized. America's Warrior Partnership is happy to assist in these matters.

### D. Consumer Eligibility and Documentation

---

This section is designed to assess if veterans' eligibility has been documented, and if veterans, their family members, and caregivers wants/needs are being determined and adequately assessed and documented.

---

**Item D-1: Describe the process for determining a veteran's eligibility.** (Source: program files and interview)

A Score of 2 - The veteran eligibility policies with procedures for eligible and ineligible veterans are documented. Staff can clearly and consistently describe the process.

Item D-1 Comments: UWS consistently uses its pending warrior verification button added to WarriorServe® to ensure veteran status is verified through the DD214 or VA Veteran Verification card.

It is UWS policy to only collect a copy of DD214 from veterans who are seeking assistance and services in which this document is required.

---

**Item D-2: When a veteran served is found ineligible for services, does the organization have a process to inform the veteran as to the reasons, recommend alternative services, notify the referral source, if applicable** (Source: program files and interview).

A Score of 2 - The organization has a process for ineligible persons that notifies the veteran as to the reasons, recommends alternative services, and informs the referral source if applicable. Alternative resources provided to the consumer are related to the consumer's needs and is a direct referral.

Item D-2 Comments: Documentation in WarriorServe® files confirms UWS policy and process for veterans found ineligible for services. UWS procedure includes giving the veteran a list of alternative services and making referrals to partners as needed.

---

**Item D-3: Where does the organization refer warrior families who are determined to be ineligible to participate?** (Source: program files and interviews)

A Score of 2 - The organization has a thorough referring process complete with tools (like pamphlets) and direct referrals for ineligible applicants.

Item D-3 Comments: Upstate Warrior Solution has gathered a list of community resources and updates the resource list regularly. When families are determined to be ineligible, they are provided with a list of alternative resources. These lists have been developed into email templates in WarriorServe® for ease of distribution.

---

**Item D-4: Do the files reviewed adequately document that the consumer's DD214 are obtained.** (Source: program files)

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

Item D-4 Comments: UWS only collects DD214 from warriors who are seeking services that require this documentation. These files are uploaded and attached to the warrior's file in WarriorServe® and then stored in a locked drawer in a locked room.

---

**Item D-5: Do the files reviewed adequately document that the veterans seeking housing are housed?** (Source: program files)

A Score of 1 - Consistent documentation of referral. Some files lack documentation that veterans seeking housing were housed.

Item D-5 Comments: Case files do document that veterans seeking housing are open. Some case files adequately document that veterans seeking housing are housed. However, some cases are closed and list the Case Outcome as "connected to HUD/SSVF Services." Without further documentation supporting that the veterans were housed, the reviewer cannot state that veterans seeking housing were housed.

Recommendation: Always follow-up on referrals, especially in critical cases like housing. There is never a guarantee that a veteran will become housed, just by referring the case. When following up on housing referrals, if it becomes evident that the veteran was housed, change the status on the veterans contact page to housed. Updating the record allows you to easily pull a report of veterans seeking housing to housed.

---

**Item D-6: Do the files reviewed adequately document that the veterans are enrolled in education?** (Source: program files)

A Score of 2 - Clearly and consistently documented with appropriate backup documentation.

Item D-6 Comments: UWS's WarriorServe files demonstrate clear and consistent efforts to enroll warriors in education and provide assistance with education benefit information.

Recommendation: The standard operating procedure for assisting veterans in school enrollment should include creating a "Warrior Education" record. Information for the Education Benefit Status, the name of the school enrolled, projected graduation date, and changing the status on the record should be updated as the veteran moves along their educational journey.

---

**Item D-7: Do the files reviewed adequately document that veterans are employed or unemployed?** (Source: program files)

A Score of 2 - Clearly and consistently documented with appropriate backup documentation.

Item D-7 Comments: When a case is closed, and a veteran is employed, the contact page in WarriorServe® should be updated by editing the page to reflect this change in job status.

---

**Item D-8: Do the files reviewed adequately document that veterans are enrolled in the VA?** (Source: consumer files)

A Score of 2 - Clearly and consistently documented with appropriate backup documentation.

Item D-8 Comments – When a Healthcare case to “Enroll in the VA” is closed and the veteran is successfully enrolled in the VA, the contact page in WarriorServe® should be updated by editing the page to reflect this change.

---

**Item D-9: Do the files reviewed adequately document that veterans are enrolled in eBenefits?** (Source: program files)

A Score of 2 - Clearly and consistently documented with appropriate backup documentation.

Item D-8 Comments: When a veteran is enrolled in eBenefits, and the case is closed, the contact page in WarriorServe® should be updated by editing the page to reflect this change in enrollment of eBenefits.

---

**Item D-10: Do the files reviewed adequately document that the veterans and their family members are enrolled in recreation/peer support programs?** (Source: program files)

A Score of 2 - Clearly and consistently documented with appropriate backup documentation.

Item D-8 Comments: According to UWS 2020 metrics, 6% of their cases connected veteran and veteran family members/caregivers to volunteer opportunities, and 4% of their cases connected veterans and veteran family members/caregivers to recreational activities.

---

**Item D-11: Do the files reviewed adequately document that veterans are identified as pre versus post-9/11 warriors?** (Source: program files)

A Score of 2 - Clearly and consistently documented with appropriate backup documentation.

Item D-8 Comments: 100% of their warriors are documented as pre or post 9/11.

---

**Item D-12: Do the files reviewed adequately document the appropriate follow-up for each veteran, their family member, or caregiver served?** (Source: program files/case notes, and interviews)

A Score of 2 - Case files do adequately document follow-up every three months for those actively receiving services and annually for those not requesting services. Critical cases are reviewed and signed off by program management.

Item D-12 Comments: In critical cases, the UWS Advocates must follow-up every seven days while the case is open. For non-critical cases, documentation support following up within a month while the case is open. For non-critical cases that are opened and closed in a day with resources supplied, the ICE note on the case mentions following-up, but documentation in the case does not always support that the follow-up is being done.

---

**Item D-13: Do the files reviewed adequately document the case resolution for each veteran, their family member, or caregiver served?** (Source: program files/case notes)

A Score of 2 - Case files adequately document case resolution. Notes document the resolution and the outcome of each case.

Item D-13 Comments: Upstate Warrior Solution utilizes the “case close-reasons” and has added a case outcome field to WarriorServe®. Multiple cases opened in different case types and closing with case reasons and case outcomes, along with notes and activities documented within WarrriorServe, provide documentation of warriors’ goals and the outcome of these goals.

---

### **Section D. Overall Comments:**

In general, Upstate Warrior Solution’s documentation is complete and demonstrates the extraordinary work being done by UWS. In most cases, the documentation found in the contact and case notes has been standardized, and the content is appropriate. However, the documentation in some of this years’ cases does not show the same

level of consistency that has been demonstrated in the past.

Recommendation 1: Improve documentation by having Advocates add a task each time they place the word “follow-up” in a case note. Additionally, if fellows are following the procedure to call or email at the close of each case, this follow-up should be documented in WarriorServe®. There is a lack of follow-up documentation on cases that are not considered critical, especially on cases that were opened and closed within the same day.

Recommendation 2: To assist with annual follow-up of all warriors. Creating a workflow and email template in WarriorServe® that automatically sends an email on the year to date of the contact creation. This automatic workflow will serve the purpose of yearly follow-up and provide the follow-up documentation within WarriorServe®. Workflows can also be used for birthdays and the QOL survey.

Recommendation 3: Some critical housing cases have been closed and marked “Resolved - Community Help” with case outcome listed as “Connected to HUD/SSVF Services” without further documentation that the veterans were housed. In the reviewer’s opinion, these cases should not be closed until the veteran is housed. If the SOP is to close the case with the outcome of “Connected to HUD/SSVF,” the case notes should contain documentation that follow-up was completed after the case was closed to assess whether or not the veteran was actually housed.

## **E. Case Coordination of Supportive Services**

---

This section is designed to assess the organization’s performance in conducting on-going veterans, veteran family members, and caregivers' need assessments. Along with coordinating the supportive services identified in the approved agreement.

---

**Item E-1: Describe the supportive services coordinated on behalf of veterans, their family members, or caregivers. (Source: organization application, interviews)**

A Score of 2 – The organization coordinates supportive services based on the needs as a result of a comprehensive assessment.

Type of Benefits/Services Provided:

	Provided Internally by Organization	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	X	
Income support services	X	X	
Legal services: Does proper documentation exist for legal staff to rep. Veterans w/ VA claims process?		X	
Childcare		X	
Housing counseling, housing search	X	X	
Educational Assistance/Support	X	X	
Employment Assistance/Support	X	X	
WWP Alumni	X		
Outreach	X	X	
Access to Recreation/Volunteer/Peer Support	X	X	

Other benefits/services offered internally by the organization:

- Outdoor Recreation Opportunities
- Family Support
- Caregiver Support
- Volunteer Opportunities
- The Sharpen Warrior Mobile Application

Item E-1 Comments: Due to the extent of need, Upstate Warrior Solution is added a support staff for warrior employment in January. Upstate Warrior Solution uses fellowship programs funded by corporate sponsors that embed a fellow into partner organizations, thus providing better access to veterans/family members/caregivers who are using the partner services and referrals to and from the partner organizations. Currently, they have fellows in Prisma Health and fellows who liaisons at local colleges, universities and the VA .

---



**Item E-2: Describe the location where case coordination of services takes place: Does the organization have space, materials, and staffing available to provide the appropriate level of coordination?** (Source: organization's agreement, interviews, and visual observance, community map of all available resources within the service area ex: Community Profile Map)

A Score of 2 – The organization coordinates services with the appropriate space, materials, and/or staffing. The organization's services are flexible and coordinated in the agency's community, dependent upon the consumers' needs.

Item E-2 Comments: Upstate Warrior Solution has four locations where they conduct case coordination services. They have offices in Greenville, Spartanburg, Clemson, and Anderson.

---

**Item E-3: Is there a coordinated, holistic plan that is developed with the active involvement of each warrior served that identifies:**

Overall goals

Specific measurable objectives

Methods/techniques to be used to achieve the objectives

Those responsible for the implementation

(Source: consumer files and interviews, Community Map or Resource List)

A Score of 2 - The holistic plan is directly related to the identification of overall goals, identifies specific measurable objectives, the methods/techniques to achieve the objectives, and identifies those responsible for the implementation. The holistic plan is reviewed with the warrior on a regular basis.

Item E-3 Comments: Upstate Warrior Solution begins the plan with the initial background note where a statement of what the warrior is seeking. The plan continues with the opening and assigning of cases to the appropriate advocate. Follow-up is noted as needed. Documentation within the case indicates the follow-up plan. Cases are closed with the appropriate reason that indicates success or failure, and case outcomes indicate achievement or failure of the goal.

Warriors who are not actively engaged in the process and are unresponsive to calls and emails are closed. When such cases are closed, they receive an email or letter that their case has been closed due to lack of engagement.

---

**Item E-4: Are veterans, their family members, and caregivers provided with referrals and related activities to help them obtain needed support services?** (Source: program files, staff, and consumer interview)

A Score of 1 – The files reviewed adequately document that consumers were

provided referrals and related activities to help consumers obtain needed supportive services.

Item E-4 Comments: Some of the files reviewed did not document whether the Warrior followed up with the referral. Most of the non-critical cases were opened and closed on the same day and did not document follow-up calls or personnel emails to verify that the warrior utilized any of the resources listed. Some case files, specifically critical cases, recorded good follow-up and warm handoffs. The reviewer noted a consent policy of three attempts to connect before closing a case due to lack of engagement.

Recommendation: Have fellows/staff create a task to call/text/email two weeks after a resource list is given, and the case is closed on non-critical cases. This follow-up reminder will assist with documentation and building a long-term, trusted relationship. Additionally, cases that are opened and closed on the same day are not getting a check back for quality of life. It is the reviewers recommendation that case follow-up should be a SOP on cases that were opened and closed in one day. This follow-up should double as a check-in to see if the veteran received the supportive services, and a opportunity to conduct the quality of life survey.

---

**Item E-5: Is a list of resources that identifies partner organizations that provide services to veterans, their family members, and caregivers available?** (Source: organization agreement, interviews, and Community Resource List)

A Score of 2 - The list of organizations the organization is working with is a comprehensive list that will provide supportive services to consumers, including VA services and mainstream services. Most of the organizations are functioning as partners.

Item E-5 Comments: UWS is part of the Upstate Veterans Alliance Network. Together this organization develops and maintains a comprehensive veteran resource directory. All areas of the holistic wheels are covered, including community-based supportive services and VA services.

---

**Item E-6: Are veterans provided assistance in obtaining any benefits from VA for which they are eligible? Including but not limited to the following:**

- Vocational and rehabilitation counseling
- Employment and training service
- Educational Assistance
- Health Care Services

(Source: program files, interviews)

A Score of 1 - The files reviewed adequately document that consumers were provided assistance in obtaining any VA benefits for which the consumer is eligible.

Item E-9 Comments: Some of the case files reviewed did not document that the warrior received VA benefits. Cases are being referred to the VA and then closed as resolved without follow-up to see if the benefit was received. Often VA cases are opened and closed on the same day. The Case Outcome shows that UWS provided assistance with applying for the benefit, or they provided information, but the follow-up to document whether the warrior received the benefit is lacking.

Recommendation: Have fellows/staff create a task to call/text/email two weeks after a resource list was given to assess if the warrior followed through and a task for 30 days later to determine whether or not the veteran received the VA benefit. This follow-up reminder will assist with documentation and help develop a long-term, trusted relationship.

---

Item E-7: Are veterans, their family members, and caregivers 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

- Recreation/Volunteer/Peer support

(Source: program files, interviews)

A Score of 1 - The files reviewed adequately document that veterans, veteran family members, and veteran caregivers were provided assistance in obtaining any public benefits for which they are eligible.

Item E-7 Comments: Some of the files lack documentation showing whether the warrior received the benefit. The files show that cases are opened and closed with a list of resources provided, but no follow-up to see if the person called the resources or received the benefit or not.

Recommendation: Staff/fellows should create a task for any follow-up action required.

---

**Item E-8: Are the supportive services being coordinated consistent with Community Integration Program Deliverables?** (Source: program files, interviews, agreement, and Monthly Reports)

A 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.

Item E-8 Comments: UWS has instituted a case closure approval system for critical cases. Leading advocate supervisors must review cases before the official closing of the case. UWS continues to use an approval button in WarriorServe® to track case review. Documentation in WarriorServe® supports this approval procedure.

---

**Item E-9: Does the organization conduct on-going assessments of each veteran, their family member, or caregiver supportive services needs and reviews the coordinated holistic plan with respect to expected outcomes?** (Source: program files and interviews)

A Score of 2 - The organization conducts on-going assessments of the supportive services and reviews the holistic plan with respect to outcomes with the veteran, veteran family member, or caregiver. The organization modifies the holistic plan as new needs are identified, or outcomes are achieved.

Item E-9 Comments: Documentation in the WarriorServe® files supports on-going modification of the holistic plan. The reviewer noted new cases are opened and closed over time as new needs are identified and outcomes are achieved. Closed cases are documented to the successful or unsuccessful resolution, and case outcomes have been added to further document the actual results of the case.

---

**Item E-10: Is the organization modifying its strategies for outreach and engagement for each applicable program deliverable based on reported barriers?** (Source: Monthly Reports, interviews, and organization's agreement)

A Score of 2 - Outreach and engagement strategies have been modified and implemented base on program outcomes and barriers.

Item E-10 Comments: This year, Upstate Warrior Solution removed its fellow from the NRA program as the fellowship did not yield high outreach numbers. Since the Prisma Health fellowship has resulted in high outreach numbers, Upstate Warrior

Solution will add a fellowship at the Spartanburg Regional Hospital. They are continuing their outreach to incarcerated veterans at jails through the justice-involved veteran outreach program and in the process of refining this proactive approach through early identification, resource referral, and case coordination. Due to the success of UWS's fellowship program, in January, the fellowship program will grow to 8 fellows to include an in-house family service fellow and an employment fellow.

---

**Item E-11: Is the organization updating its community list of all available resources within the service area accordingly based on what barriers they have encountered in achieving the program deliverables?** (Source: Monthly Reports and Community map of all available resources within the service area.)

A Score of 2 - The list of available resources has been fully updated.

Item E-11 Comments: The Upstate Veterans Alliance Network Steering Committee (UVAN), which UWS is a key member, promotes and supports opportunities to benefit veterans and the community by focusing on issues surrounding all areas regarding veterans' quality of life: health and wellness, basic needs assistance, educational and vocational training, employment, and continued support.

UVAN exists to increase awareness of services and referral criteria between and among veteran support organizations; to facilitate more efficient, effective referrals for veterans to meet their needs; to identify unmet needs and work to fill the gaps, and to foster partnerships between and among organizations. In partnership with members of UVAN, UWS works to maintain a comprehensive veteran resource directory.

---

### **Veteran Verification Calls:**

The reviewer randomly selected 25 veteran files via WarriorServe® and determined that the assistance being provided to the veterans is holistic and supportive.

The 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, all veterans from the 25 files were contacted by America's Warrior Partnership staff.

The following script was used:

"Hi, my name is \_\_\_\_\_; I'm calling on behalf of Upstate Warrior Solution. I am with a third-party organization conducting a program review for them. Have you heard of Upstate Warrior Solution?"

(If yes) Have you been pleased with the information and the services they have provided? Are there any other services or programs that you would like Upstate Warrior Solution to provide or connect you with?

(If no) Upstate Warrior Solution is committed to assisting veterans in the Upstate of South Carolina. You can find out more about them at [Upstatewarriorsolution.org](http://Upstatewarriorsolution.org).

Thank you for your service and for your time. Have a great day!"

(The following voicemail was left if the veteran did not answer.)

"Hello, I am calling on behalf of Upstate Warrior Solution. I would like to take this opportunity to thank you for your service."

10 of the 25 warriors contacted answered. Their responses are listed below:

J.P. – She is not pleased with their service. She reports that UWS hasn't helped her since she turned down the shelter due to her inability to climb stairs. She hasn't heard anything more from them. She would like assistance with getting her DD214 and also housing.

R.R. was not pleased with their service. They were not able to help him. He related that UWS sent him to another organization, and they were unable to help. He hasn't heard anything more from them. He would like UWS to reach back out to him.

C.W. has heard of UWS. He would like some "help from any place he can get it" and would like UWS to reach back out to him.

W. S. is pleased with UWS as an organization. However, he was referred to another organization that didn't call him back or provide assistance. He said that UWS did a follow-up and said they would reach back to the referred organization and give him a call back. He has not heard from either organization since then. He would like a call back from UWS.

J. W. has been happy with the service that UWS provided.

R.D. has been happy with UWS services. He indicated that he would be alone on the holiday since he doesn't have any family.

S.S is happy with the services provided by UWS.

L.L. says that she is happy with Upstate Warrior's Program so far; she is new with them but likes the contact she has had with them.

Herbert is happy with UWS and is waiting to hear back from them. He would like a

call. He has not heard back from the VA.

R.B. called me back after I left the message. He has heard of UWS and is currently working with them. He has been pleased with their service. However, he was expecting a call back from his advocate. He would like a call back about the status of a grant that she told him about.

### Section E. Overall Comments:

Upstate Warrior Solution continues to provide leadership in the veteran space for the Upstate of South Carolina. Upstate Warrior Solution is a member of the Upstate Veteran Alliance Network (UVAN) that brings together local veteran providers with VA leadership to gain a better perspective of veteran care at the local level. UWS's president, Charlie Hall, has been an active participant in UVAN since its founding and currently serves as the board's chair.

UWS reports that they are using the CRM side of WarriorServe® to track partners in addition to veterans, their family members, and caregivers. Using the CRM to track their partners allows UWS to monitor and evaluate partners and the service they provide as well as their interaction with their partners.

Recommendation: Improve follow-up. Have fellows/staff create a task to call/text/email two weeks after a resource list or a referral is given to another service organization. (Especially on cases that are opened and closed in one day.) This follow-up procedure will assist with documentation and help to build a long-term relationship. Serving and creating a trusted relationship with a diverse population is essential for the community integration model's success. Serving veterans with non-critical cases take less effort; however, a little follow-up to gauge the success of the referral list not only assists in building a trusted relationship it also helps evaluate the service providers. When relationships based on trust are built, veterans will seek assistance before the crisis occurs, they will seek advice on volunteer opportunities and ways to give back, and they will spread the word and become an active participants of Upstate Warrior Solution. Lack of follow-up leaves a negative impression, especially when the referred organization fails to provide or is unable to provide the service.

## F. Financial Management and Cost Allowability

---

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

---

**Item F-1: Does the organization have written procedures for recording financial transactions, a current accounting manual, and a chart of accounts?** (Source: Organization policy manual, organization interview)

A Score of 2 – Procedures for financial management are clearly written and include action steps. There is evidence that the policies and procedures for financial management are communicated to staff and regularly reviewed.

Item F-1 Comments: Charlie Hall, President, and CEO of Upstate Warrior Solution, stated there have been no major changes since last year on this policy and procedure.

---

**Item F-2: Does the organization maintain a policy manual covering the authority for approving financial transactions?** (Source: Organization policy manual, organization interview)

A Score of 2 – The organization maintains a policy manual covering authority for approving financial transactions; there is evidence that the manual is periodically reviewed by relevant staff.

Item F-2 Comments: The organization continues to use the same spending authority matrix created based on recommendations from America's Warrior Partnership.

---

**Item F-3: Does the organization have written procedures regarding the maintenance of accounting records?** (Source: Organization Policy Manual)

A Score of 2 - Procedures are clearly written with action steps regarding the maintenance of accounting records. There is evidence of communication to and periodic review by relevant staff.

Item F-3 Comments: The organization stated there have been no major changes to the maintenance of accounting records. The office manager, Sandra Drake, continues to do in-house tracking and sends the information to the bookkeeper, Greyrock Accounting. Financials are located on the website to include all audited financials and 990s.

---

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

A Score of 2 – The organization's fiscal records/valuables secured in an area limited to access by relevant management and fiscal staff.



Item F-4 Comments: The organization continues to use the triple lock system for securing valuables. Individuals needing access to secure valuables still come into the office during the COVID-19 pandemic. No changes have been made to the security procedures during COVID-19.

---

**Item F-5: Does the organization identify expenditures in its accounting records according to program activities?**

(Source: Organization Program Files, Fiscal Records, and Approved Program Budget)

A Score of 2 – The organization has accounting records that clearly identify expenditures based on the most recent program budget. The organization regularly monitors actual expenditures to compare with the program budget.

Item F-5 Comments: The organization's 990 and audit demonstrate clearly identified expenditures. The organization monitors actual expenditures on a monthly basis by a review board.

---

**Item F-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: Organization Program Files)

A Score of 2 – The organization has documentation of wages based on payroll that identifies employee, time worked in program, and deductions that has been approved by responsible staff. The organization provides evidence of periodic review of charges for salaries and comparison of actual services provided.

Item F-6 Comments: The organization allocates a percentage of each employee's time to activities and programs. These percentages are reviewed by supervisors as well as the review board on a monthly basis.

---

**Item F-7: Are payments for employee salaries supported by timesheets indicating actual times, or is there an appropriate process for management and supervisors to document salary allocation?** (Source: Organization Program Files)

A Score of 2 – The organization provides time sheets or an appropriate process that indicates time worked for each employee is paid with CI funds. Timesheets are signed, and salary allocation is approved by the employee and supervisor and approved by fiscal staff.

Item F-7 Comments: The organization tracks 1099 worker time based on timesheets.

The remainder of the staff's time is allocated based on a percentage that is regularly reviewed.

---

**Item F-8: If salaries are paid from more than one source, do the fiscal records clearly define payments among the funding sources?** (Source: Organization Program Files)

A Score of 2 - The organization provides timesheets that indicate the time worked by each employee and clearly define programs for which salaries are being paid. Timesheets are signed by the employee and supervisor and approved by fiscal staff.

Item F-8 Comments: The organization's review board ensures salaries are categorized based on programs and activity during a monthly review meeting.

---

**Item F-9: Is there evidence in the financial records of any cash payments being provided directly to the veterans, their family members, or caregivers?** (Source: Organization Program Files and Consumers Files)

A Score of 2 - Payments of cash or gift cards given directly to consumers are not evident in financial records. Procedures exist to mitigate ineligible expenses.

Item F-9 Comments: There is no evidence of cash payments. Charlie Hall stated that the organization does not distribute cash to veterans directly.

---

**Item F-10: Do program funds received match program funds expended?** (Source: Organization Program Files, Financial Reports)

A Score of 2 - The organization has backup documentation to support program funds received and documentation linking expenses to CI program files.

Item F-10 Comments: The organization's financial statements demonstrate a positive net asset at the end of 2019.

---

**Item F-11: Does the organization participate in an annual financial audit performed by a Certified Public Accountant (CPA)?** (Source: Organization Program Files, Financial Reports)

A Score of 2 - The organization receives an annual financial audit from a CPA. The most recent report stated they are in good standings.

Item F-11 Comments: Martin Smith and Company CPA completed the Upstate Warrior Solution audit. The audit letter revealed UWS is in good standings.

**Item F-12: Does a review of the organization's expenditures indicate that costs related to lobbying political activities have not been charged to the program?**  
(Source: Organization Program Files and Approved Program Budget)

A 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 F-12 Comments: Charlie Hall certified that UWS does not participate in any political lobbying activities and costs related to lobbying are not evident in the 990 or audit.

---

### Section F. Overall Comments:

Overall, the organization continues to improve its financial sustainability. They ended another year with a positive cash flow in 2019. They continue to be good stewards of their funds, following appropriate financial policies and procedures to maintain checks and balances. Their annual report for 2019 demonstrated diverse income, with the majority of their cash income coming from grants, individual giving, and corporations.

Recommendation: Review the financial policies and procedures with relevant staff on an annual basis to ensure they are up-to-date and continue to meet the ever-changing needs of the organization.

## G. Policy and Procedures

---

This section is designed to review the organization's policies and procedures to ensure compliance with program requirements and the achievement of program goals.

---

**Item G-1: Does the organization have procedures that describe how outreach is conducted to target the populations described in the approved agreement?**

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

---

**Item G-2: The organization has written policies and procedures defining access to services that include:**

- Where intake will be conducted;
- How intake will be conducted;

How external referrals are made;  
How to determine staff that is responsible for warriors services; and  
Who is responsible for follow-up?

(Source: organization's policy manual, program files, and interviews)

A Score of 2 – Policies and procedures are clearly written with action steps regarding access to services. There is evidence that these policies and procedures are communicated to staff and periodically reviewed.

---

**Item G-3: The organization has policies and procedures that describe how case coordination is delivered to veterans, their family members, and caregivers 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: organization's policy manual, program files, and interviews)

A Score of 2 – Policies and procedures are clearly written with action steps regarding case coordination. There is evidence that these policies and procedures are communicated to staff and periodically reviewed.

---

**Item G-4: The organization has procedures regarding the sharing of information with other individuals or agencies that includes identification of information to be shared and forms to authorize the release of information that identify at a minimum:**

- Name; Content; Purpose; Date upon which authorization will expire; and
- Signature of person authorized to sign the release. (Source: organization's policy manual, program files, Release of Information form)

A Score of 2 – The organization has a written policy and procedure for sharing information with other individuals or agencies that contains all elements. There is evidence that the procedure is communicated to and practiced consistently by relevant staff.

---

**Item G-5: The organization has written policies and procedures describing case closure and follow-up procedure? (Source: organization's policy manual, program files, interview)**

A Score of 2 – The organization has a written policy and procedure that contains action steps for case closure and follow-up. There is evidence that this policy is communicated to staff and periodically reviewed.

Item G-5 Comments: According to UWS, 100% of closed cases go through a review.

---

### Section G Overall Comments:

Upstate Warrior Solution's policies and procedures are in compliance with program requirements and assist in the achievement of their program's goals. There is evidence that the policy and procedures are communicated to staff and periodically reviewed.

Recommendations: Create a policy and procedure to utilize the Network when services are exhausted within your community.

## OVERALL EVALUATION REMARKS

---

Upstate Warrior Solution continues to be the lead organization for veteran support in the upstate. This leadership is demonstrated by Upstate Warriors Solution's development of a new Community Action Board to cover Anderson and Oconee Counties.

Despite Covid, with decreased outreach opportunities, UWS pivoted to conducting wellness checks on warriors in their network, engaging community partners, and contacting supporters to update them on their response to the health crisis. UWS was able to contact 79% of their "Known Warriors".

Due to the outreach success of the Prisma Health fellowship, Upstate Warrior Solution is adding a fellowship at the Spartanburg Regional Hospital. They are continuing their outreach to incarcerated veterans at jails through the justice-involved veteran outreach program and in the process of refining this proactive approach through early identification, resource referral, and case coordination.

This upcoming year, their fellowship program will grow to 8 fellows including an in-house family service fellow and an employment fellow.

### Areas of Improvement or Concern:

1. Improve follow-up on current cases or recently closed cases. Have fellows/staff create a task to call/text/email two weeks after a resource list or a referral is given to another service organization. (Especially on cases that are opened and closed in one day.) This follow-up procedure will assist with documentation and help to build a

long-term relationship as well as build a trusted, high quality service program. Serving and creating a trusted relationship with a diverse population is essential for the community integration model's success. Serving veterans with non-critical cases take less effort; however, a little follow-up to gauge the success of the referral list not only assists in building a trusted relationship it also helps evaluate the service providers. When relationships based on trust are built, veterans will seek assistance before the crisis occurs, they will seek advice on volunteer opportunities and ways to give back, and they will spread the word and become an active participants of Upstate Warrior Solution. Continuous engagement with all veterans decreases isolation. Veterans who are engaged and involved in community events have been known to have a higher quality of life. Lack of follow-up leaves a negative impression, especially when the referred organization fails to provide or is unable to provide the service.

2. Utilize the Network when community level resources have been exhausted.

---

**Total Weighted Score = 96%**