carf INTERNATIONAL

**Three-Year Accreditation**

# CARF
# Survey Report
# for

# Innovative Industries, Inc.

**CARF INTERNATIONAL**
6951 East Southpoint Road
Tucson, AZ 85756 USA
Toll-free 888 281 6531
Tel/TTY 520 325 1044
Fax 520 318 1129

**CARF–CCAC**
1730 Rhode Island Avenue, NW, Suite 410
Washington, DC 20036 USA
Toll-free 866 888 1122
Tel 202 587 5001
Fax 202 587 5009

**CARF CANADA**
10665 Jasper Avenue, Suite 760
Edmonton, AB T5J 3S9 CANADA
Toll-free 877 434 5444
Tel 780 429 2538
Fax 780 426 7274

# carf INTERNATIONAL

**Organization**

Innovative Industries, Inc. (III)
215 North Walnut Street
Creston, IA   50801

**Organizational Leadership**

Dorene M. Rusk, Consumer Services Manager

Kendalyn K. Huff, Manager

**Survey Dates**

February 24-25, 2014

**Survey Team**

Margot A. Van Kleeck, B.R.E., Administrative Surveyor

Debby L. Graham, M.A., Program Surveyor

**Programs/Services Surveyed**

Community Integration
Organizational Employment Services

*Governance Standards Applied*

**Previous Survey**

January 27-28, 2011
Three-Year Accreditation

**Three-Year Accreditation**

## Survey Outcome

**Three-Year Accreditation**
**Expiration: March 2017**

# SURVEY SUMMARY

**The directors and staff of Innovative Industries, Inc. (III), are commended for the quality of its services. The organization has strengths in many areas.**

- Positive and long-term leadership is evidenced at III. The leadership is well connected and well respected in the area.

- The organization has a committed board that represents a variety of interests from parents of the consumers to relevant community members.

- Programs are provided in a pleasant, well-kept building that was donated to the organization.

- The organization, as part of a four-member Heartland Management Alliance, has been able to make improvements and savings in both leadership time and financial expenses, which has been a benefit to the organization.

- The organization has employed a production manager with manufacturing and production experience. This has assisted the organization with increased production efficiencies and contract procurement. In addition, the organization is pursuing additional product production.

- The organization is utilizing grants for the purchase of specific capital equipment to expand its production operation.

- The organization develops individualized plans that are reflective of the goals addressed by funders. The plans allow for services in more than one program, such as day habilitation and pre-vocational, if that is what a person desires.

- The organization provides a variety of safety and wellness training and information to the persons served. The *Living Well* bulletin is shared with both employees and the consumers.

- The consumers' parents and guardians reported a high rate of satisfaction with the services at III and reported that communication with the organization was very good.

**III should seek improvement in the areas identified by the recommendations in the report. Consultation given does not indicate nonconformance to standards but is offered as a suggestion for further quality improvement.**

On balance, III demonstrates conformance to the CARF standards. The persons served receive essential and beneficial services that meet their needs. Their families refer to III as being vital to the families and the community. The organization employs dedicated, caring, and well-trained staff members. The organization is urged to use its resources to address the opportunities for improvement noted in this report.

Innovative Industries, Inc., has earned a Three-Year Accreditation. The directors and staff members are congratulated for this accomplishment and recognized for the efforts they have made in pursuit of international accreditation. The organization is encouraged to use the CARF standards to further improve the quality of the services offered by the organization.

# SECTION 1. ASPIRE TO EXCELLENCE<sup>®</sup>

## A. Leadership

### Principle Statement

CARF-accredited organizations identify leadership that embraces the values of accountability and responsibility to the individual organization's stated mission. The leadership demonstrates corporate social responsibility.

### Key Areas Addressed

- Leadership structure

- Leadership guidance

- Commitment to diversity

- Corporate responsibility

- Corporate compliance

### Recommendations
**A.3.k.**

It is recommended that the identified leadership guide the annual review of III's policies.

**A.6.a.(4)(f)**

The organization's written code of conduct should be expanded to include the witnessing of documents. Language such as, "We limit and vest authority of witnessing documents pursuant to persons served to those designated by the chief executive officer of the organization" might meet the intent of the standard.

### Consultation

- The leadership is encouraged to ensure that all organizational policies and procedures are followed on a consistent basis.

## B. Governance

### Principle Statement

The governing board should provide effective and ethical governance leadership on behalf of its owners'/stakeholders' interest to ensure that the organization focuses on its purpose and outcomes for persons served, resulting in the organization's long-term success and stability. The board is

responsible for ensuring that the organization is managed effectively, efficiently, and ethically by the organization's executive leadership through defined governance accountability mechanisms. These mechanisms include, but are not limited to, an adopted governance framework defined by written governance policies and demonstrated practices; active and timely review of organizational performance and that of the executive leadership; and the demarcation of duties between the board and executive leadership to ensure that organizational strategies, plans, decisions, and actions are delegated to the resource that would best advance the interests and performance of the organization over the long term and manage the organization's inherent risks. The board has additional responsibilities under the domain of public trust, and as such, it understands its corporate responsibility to the organization's employees, providers, suppliers, and the communities it serves.

**Key Areas Addressed**

■ Ethical, active, and accountable governance

■ Board composition, selection, orientation, development, assessment, and succession

■ Board leadership, organizational structure, meeting planning, and management

■ Linkage between governance and executive leadership

■ Corporate and executive leadership performance review and development

■ Executive compensation

**Recommendations**
**B.2.f.(4)**
**B.2.g.(3) through B.2.g.(6)**
Governance policies should be broadened to include guidelines on duration of board membership. The board should ensure that annual self-assessment of the entire board and periodic self-assessment of individual members is completed and results are discussed and acted upon. It is recommended that annual written and signed conflict of interest declarations and code of conduct declarations be completed by each board member.

**B.5.a.(1) through B.5.b.**
Governance policies should address executive leadership development and evaluation, including a formal annual written review of executive leadership performance in relation to overall corporate performance versus target, individual performance versus target, professional development, professional accomplishments, and professional opportunities. Governance polices should include the annual review of the executive leadership succession plan.

**B.6.d.(1)**
**B.6.d.(2)**
**B.6.e.(4)**
**B.6.e.(6)**
Governance policies addressing executive compensation should be broadened to include reference to market comparator data, functionally comparable positions, and data used in the compensation decision. An annual review of executive compensation records should be completed.

**B.7.**

The governing board should annually review its governance policies.

**Consultation**

■ The board is encouraged to have all four Heartland Management Alliance members utilize the same policy and procedure manual, format of plans, and forms used by the consumers and staff.

# C. Strategic Planning

**Principle Statement**

CARF-accredited organizations establish a foundation for success through strategic planning focused on taking advantage of strengths and opportunities and addressing weaknesses and threats.

**Key Areas Addressed**

■ Strategic planning considers stakeholder expectations and environmental impacts

■ Written strategic plan sets goals

■ Plan is implemented, shared, and kept relevant

**Recommendations**
**C.3.a. through C.3.c.**

Relevant information from the strategic plan should be shared with the consumers, their families, personnel, and other stakeholders. One method of accomplishing this could be to post the high level strategic initiatives on the organization's website.

# D. Input from Persons Served and Other Stakeholders

**Principle Statement**

CARF-accredited organizations continually focus on the expectations of the persons served and other stakeholders. The standards in this subsection direct the organization's focus to soliciting, collecting, analyzing, and using input from all stakeholders to create services that meet or exceed the expectations of the persons served, the community, and other stakeholders.

**Key Areas Addressed**

■ Ongoing collection of information from a variety of sources

■ Analysis and integration into business practices

■ Leadership response to information collected

### Recommendations

There are no recommendations in this area.

### Consultation

■ The leadership is urged to utilize a staff satisfaction questionnaire to gather important information that could be utilized in strategic planning. Many organizations find it helpful to have the questionnaire go to a board committee to review, rather than to leadership, to ensure confidentiality.

## E. Legal Requirements

### Principle Statement

CARF-accredited organizations comply with all legal and regulatory requirements.

### Key Areas Addressed

■ Compliance with all legal/regulatory requirements

### Recommendations
### E.2.a. through E.2.d.

Although the organization has a policy that guides personnel in responding to subpoenas, search warrants, investigations, and other legal actions, it is only in respect to those being directed at a consumer. It is recommended that this be expanded to include actions directed at the staff and board members.

## F. Financial Planning and Management

### Principle Statement

CARF-accredited organizations strive to be financially responsible and solvent, conducting fiscal management in a manner that supports their mission, values, and annual performance objectives. Fiscal practices adhere to established accounting principles and business practices. Fiscal management covers daily operational cost management and incorporates plans for long-term solvency.

### Key Areas Addressed

■ Budget(s) prepared, shared, and reflective of strategic planning

■ Financial results reported/compared to budgeted performance

■ Organization review

- Fiscal policies and procedures

- Review of service billing records and fee structure

- Financial review/audit

- Safeguarding funds of persons served

**Recommendations**

There are no recommendations in this area.

# G. Risk Management

**Principle Statement**

CARF-accredited organizations engage in a coordinated set of activities designed to control threats to their people, property, income, goodwill, and ability to accomplish goals.

**Key Areas Addressed**

- Identification of loss exposures

- Development of risk management plan

- Adequate insurance coverage

**Recommendations**

**G.1.a.(1) through G.1.b.(2)**

The organization should develop a risk management plan that includes identification of loss exposures, analysis of loss exposures, identification of how to rectify identified exposures, implementation of actions to reduce risk, monitoring of actions to reduce risk, reporting results of actions taken to reduce risks, and inclusion of risk reduction in performance improvement activities. This plan should be reviewed annually and updated as needed.

# H. Health and Safety

**Principle Statement**

CARF-accredited organizations maintain healthy, safe, and clean environments that support quality services and minimize risk of harm to persons served, personnel, and other stakeholders.

**Key Areas Addressed**

■ Inspections

■ Emergency procedures

■ Access to emergency first aid

■ Competency of personnel in safety procedures

■ Reporting/reviewing critical incidents

■ Infection control

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**Recommendations**

**H.5.c.(6)**

**H.5.c.(7)**

The organization should expand its written emergency procedures to include identification of essential services and a plan for the continuation of essential services.

**H.6.c.(1) through H.6.c.(4)**

All health and safety drills should be analyzed for performance that addresses areas needing improvement, actions to be taken, results of performance improvement plans, and necessary education and training of personnel.

**H.8.d.**

**H.8.e.**

**H.8.f.(9)**

**H.8.f.(10)**

**H.8.f.(16)**

Written procedures regarding critical incidents should include remedial action and timely debriefings conducted following critical incidents. Written procedures regarding wandering, elopement, and suicide or attempted suicide should also be developed.

**H.9.b.(2) through H.9.b.(8)**

An annual written analysis of all critical incidents should be developed and include trends, actions for improvement, results of performance improvement plans, necessary education and training of personnel, prevention of recurrence, and internal and external reporting requirements.

**H.11.b.**

A regular review of driving records and licenses of all drivers should be conducted. The organization might consider documenting this review in its personnel files.

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# I. Human Resources

## Principle Statement

CARF-accredited organizations demonstrate that they value their human resources. It should be evident that personnel are involved and engaged in the success of the organization and the persons they serve.

## Key Areas Addressed

■ Adequate staffing

■ Verification of background/credentials

■ Recruitment/retention efforts

■ Personnel skills/characteristics

■ Annual review of job descriptions/performance

■ Policies regarding students/volunteers, if applicable

## Recommendations
**I.6.a.(1)**
**I.6.b.(3)(b)**
**I.6.b.(4)(a)**
**I.6.b.(4)(b)**
The organization's performance management should include an annual review of job descriptions. The organization might consider including this on each staff member's annual performance review. Performance evaluations of all staff should have evidence of input from the personnel being evaluated, assess performance related to objectives established in the last evaluation period, and establish measurable performance objectives for the next year.

**I.8.a.(2)**
**I.8.a.(3)**
The organization should ensure that personnel policies are reviewed annually and updated as needed.

# J. Technology

## Principle Statement

CARF-accredited organizations plan for the use of technology to support and advance effective and efficient service and business practices.

**Key Areas Addressed**

■ Written technology and system plan

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**Recommendations**

There are no recommendations in this area.

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# K. Rights of Persons Served

**Principle Statement**

CARF-accredited organizations protect and promote the rights of all persons served. This commitment guides the delivery of services and ongoing interactions with the persons served.

**Key Areas Addressed**

■ Communication of rights

■ Policies that promote rights

■ Complaint, grievance, and appeals policy

■ Annual review of complaints

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**Recommendations**

There are no recommendations in this area.

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# L. Accessibility

**Principle Statement**

CARF-accredited organizations promote accessibility and the removal of barriers for the persons served and other stakeholders.

**Key Areas Addressed**

■ Written accessibility plan(s)

■ Status report regarding removal of identified barriers

■ Requests for reasonable accommodations

**Recommendations**
**L.3.a. through L.3.c.(2)**
The written accessibility status report should be prepared annually and include progress made in the removal of identified barriers and areas needing improvement.

**L.4.a. through L.4.d.**
Requests for all reasonable accommodations should be identified, reviewed, decided upon, and documented. The organization might consider documenting this information in the personnel files of the individuals who request the accommodations.

**Consultation**

■ It is suggested that the leadership review the accessibility plans and follow through on the goals set.

# M. Performance Measurement and Management

**Principle Statement**

CARF-accredited organizations are committed to continually improving their organizations and service delivery to the persons served. Data are collected and information is used to manage and improve service delivery.

**Key Areas Addressed**

■ Information collection, use, and management

■ Setting and measuring performance indicators

**Recommendations**
**M.3.d.(1)(a) through M.3.d.(1)(c)**
The organization should develop a written business function that includes objectives, performance indicators, and performance targets.

**M.7.d.**
For each service delivery performance indicator the organization should determine a performance target based on an industry benchmark, the organization's performance history, or a target established by the organization or other stakeholder.

**Consultation**

■ The leadership developed two different formats for reporting its outcomes measurements, one in a narrative format and the other in a table format. It is strongly suggested that both report on the same chosen indicators and provide the same information.

## N. Performance Improvement

### Principle Statement

The dynamic nature of continuous improvement in a CARF-accredited organization sets it apart from other organizations providing similar services. CARF-accredited organizations share and provide the persons served and other interested stakeholders with ongoing information about their actual performance as a business entity and their ability to achieve optimal outcomes for the persons served through their programs and services.

### Key Areas Addressed

■ Proactive performance improvement

■ Performance information shared with all stakeholders

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**Recommendations**
**N.1.b.(1)**
**N.1.b.(3) through N.1.c.(3)**

The written annual analysis should analyze performance indicators in relation to performance targets, including business functions and extenuating or influencing factors. The analysis should identify areas needing performance improvement, result in an action plan to address the improvements needed to reach established or revised performance goals, and outline actions taken or changes made to improve performance.

**N.3.a.(1) through N.3.b.(3)**

The performance information should be communicated to the consumers, personnel, and other stakeholders according to the needs of each group. The format, content, and timeliness of the information communicated should be specific to each group's needs.

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# SECTION 2. QUALITY INDIVIDUALIZED SERVICES AND SUPPORTS

## A. Program/Service Structure

### Principle Statement

A fundamental responsibility of the organization is to provide a comprehensive program structure. The staffing is designed to maximize opportunities for the persons served to obtain and participate in the services provided.

**Key Areas Addressed**

■ Services are person centered and individualized

■ Persons are given information about the organization's purposes and ability to address desired outcomes

■ Documented scope of services shared with stakeholders

■ Service delivery based on accepted field practices

■ Communication for effective service delivery

■ Entrance/exit/transition criteria

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**Recommendations**

**A.1.c.**

It is recommended that the organization review the scope of services at least annually and update it as needed. This could be accomplished by annually updating information on the website, updating the organizational brochure, or doing an annual report to the community.

**A.5.**

It is recommended that each service implement procedures that address unanticipated service modification, reduction, or exits/transitions precipitated by funding or other resource issues. This could be addressed in a business plan or a risk management plan or through the strategic plan.

**A.9.b.**

**A.9.c.**

It is recommended that the organization develop ways to provide information to persons inquiring about its services in an understandable format. This could be accomplished by adding pictures to the client handbook, developing a recorded CD that has information about the organization, or providing information on the website. The organization should update, as necessary, the information provided to persons inquiring about services. This could be done by updating the information on the website and information in its brochure.

**A.10.**

The organization should consistently maintain a complete record for each person served. For example, some records do not appear to have up-to-date medications listed or evidence of the receipt of handbooks. The organization is encouraged to closely review its consumer files to ensure that accuracy and details are addressed. For example, some forms were not filled out completely, signed, or dated.

**A.11.a. through A.11.e.**

The organization should revise its release of confidential information to ensure that it is authorized by the person served and/or his or her legal representative, is limited to the specific information identified, has a time limitation, conforms to the guidelines of funders and/or referral sources, and conforms to applicable laws.

**Consultation**

■ Although the organization serves a large population of consumers in the pre-vocational program, the organization might consider service delivery models and strategies for individualized community-based employment services.

# B. Individual-Centered Service Planning, Design, and Delivery

## Principle Statement

Improvement of the quality of an individual's services/supports requires a focus on the person and/or family served and their identified strengths, abilities, needs, and preferences. The organization's services are designed around the identified needs and desires of the persons served, are responsive to their expectations, and are relevant to their maximum participation in the environments of their choice.

The person served participates in decision making, directing, and planning that affects his or her life. Efforts to include the person served in the direction or delivery of those services/ supports are evident. The service environment reflects identified cultural needs, practices, and diversity. The person served is given information about the purposes of the organization.

## Key Areas Addressed

■ Services are person-centered and individualized

■ Persons are given information about the organization's purposes and ability to address desired outcomes

## Recommendations
## B.5.b.(2) through B.5.b.(5)

III should develop coordinated individualized service plans that identify specific measurable objectives, methods/techniques used to achieve the objectives, those responsible for implementation, and how and when progress on the objectives will be regularly reviewed.

## C. Medication Monitoring and Management

**Key Areas Addressed**

■ Current, complete records of medications used by persons served

■ Written procedures for storage and safe handling of medications

■ Educational resources and advocacy for persons served in decision making

■ Physician review of medication use

■ Training and education for persons served regarding medications

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**Recommendations**
**C.1.a. through C.1.d.**

The organization should maintain an up-to-date individual record of all medications, including prescription and non-prescription medications used by the persons served, which includes the name of the medication; dosage, including strength or concentration; frequency; and instructions for use, including administration route.

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## D. Employment Services Principle Standards

**Principle Statement**

An organization seeking CARF accreditation in the area of employment services provides individualized services and supports to achieve identified employment outcomes. The array of services and supports may include:

■ Identification of employment opportunities and resources in the local job market.

■ Development of viable work skills that match workforce needs within the geographic area.

■ Development of realistic employment goals.

■ Establishment of service plans to achieve employment outcomes.

■ Identification of resources and supports to achieve and maintain employment.

■ Coordination of and referral to employment-related services and supports.

The organization maintains its strategic positioning in the employment sector of the community by designing and continually improving its services based on input from the persons served and from employers in the local job market, and managing results of the organization's outcomes management system. The provision of quality employment services requires a continuous focus on the persons served and the personnel needs of employers in the organization's local job market.

**Key Areas Addressed**

■ Goals of the persons served

■ Personnel needs of local employers

■ Community resources available

■ Economic trends in the local employment sector

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**Recommendations**
**D.3.**

It is recommended that III inform the person served about opportunities for employment in the local community consistent with his or her desired outcome. This could be accomplished by establishing a jobs board in the consumer break area or discussing the openings during staff meetings.

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## F. Community Services Principle Standards

**Key Areas Addressed**

■ Access to community resources and services

■ Enhanced quality of life

■ Community inclusion

■ Community participation

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**Recommendations**

There are no recommendations in this area.

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# SECTION 3. EMPLOYMENT AND COMMUNITY SERVICES

**Principle Statement**

An organization seeking CARF accreditation in the area of employment and community services assists the persons served through an individualized person-centered process to obtain access to the services, supports, and resources of their choice to achieve their desired outcomes. This may be accomplished by direct service provision, linkages to existing generic opportunities and natural supports in the community, or any combination of these. The persons served are included in their communities to the degree they desire.

The organization provides the persons served with information so that they may make informed choices and decisions. Although we use the phrase *person served*, this may also include *family served*, as appropriate to the service and the individual.

The services and supports are arranged and changed as necessary to meet the identified desires of the persons served. Service designs address identified individual, family, socioeconomic, and cultural preferences.

Depending on the program's scope of services, expected results from these services/supports may include:

■ Increased inclusion in community activities.

■ Increased or maintained ability to perform activities of daily living.

■ Increased self-direction, self-determination, self-reliance, and self-esteem.

■ Increased independence.

■ Increased employment options.

■ Employment obtained and maintained.

■ Competitive employment.

■ Economic self-sufficiency.

# G. Organizational Employment Services

### Principle Statement

Organizational employment services are designed to provide paid work to the persons served in locations owned, leased, rented, or managed by the service provider. A critical component and value of organizational employment services is to use the capacity of the organization's employment and training service design to create opportunities for persons to achieve desired employment outcomes in their community of choice.

Service models are flexible and may include a variety of enterprises and business designs, including organization-owned businesses such as retail stores, restaurants, shops, franchises, etc.

### Key Areas Addressed

■ Paid work provided by organization

■ Employment goals of persons served

■ Legal guidelines adherence

■ Increased wages and skills

**Recommendations**

**G.1.q.**

It is recommended that the organization provide information to the person served on how the person can move to community integrated employment. This could be done at the person's annual review, by providing information on a community jobs board, or through specific training.

**G.4.b.**

It is recommended that the organization annually provide information to the consumers regarding informed choices for exploration of other work opportunities, as desired in the community. This could be done at their annual meeting, during staff meetings, or by developing a job club.

**Consultation**

■ The organization is encouraged to provide information and assistance to the persons served on community integrated employment. Funding and referral sources and the national organizations that support those with disabilities are moving toward community integrated employment.

# P. Community Integration

**Principle Statement**

Community integration is designed to help persons to optimize their personal, social, and vocational competency to live successfully in the community. Persons served are active partners in determining the activities they desire to participate in. Therefore, the settings can be informal to reduce barriers between staff members and persons served. An activity center, a day program, a clubhouse, and a drop-in center are examples of community integration services. Consumer-run programs are also included.

Community integration provides opportunities for the community participation of the persons served. The organization defines the scope of these services and supports based on the identified needs and desires of the persons served. This may include services for persons who without this option are at risk of receiving services full-time in more restrictive environments with intensive levels of supports such as hospitalization or nursing home care. A person may participate in a variety of community life experiences or interactions that may include, but are not limited to:

■ Leisure or recreational activities.

■ Communication activities.

■ Spiritual activities.

■ Cultural activities.

■ Pre-vocational experiences.

■ Vocational pursuits.

■ Development of work attitudes.

- Employment activities.

- Volunteerism in the community.

- Educational and training activities.

- Development of living skills.

- Health and wellness promotion.

- Orientation, mobility, and destination training.

- Access and utilization of public transportation.

- Interacting with volunteers from the community in program activities.

- Community collaborations and social connections developed by the program (partnerships with community entities such as senior centers, arts councils, etc.).

**Key Areas Addressed**

- Opportunities for community participation

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**Recommendations**
**P.1.a.(1) through P.1.e.**

Although the organization provides a number of activities in the facility, the services/activities should move toward optimal use of natural supports and self-help, self-sufficiency, increased choice and control of the consumers' lives, and increased participation in the community. This could be done by providing individualized activities and reaching out to the community for more activities.

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