

DEPARTMENT OF  
PUBLIC HEALTH AND HUMAN SERVICES



BRIAN SCHWEITZER  
GOVERNOR

JOAN MILES  
DIRECTOR

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STATE OF MONTANA

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DEVELOPMENTAL DISABILITIES PROGRAM  
3075 N. Montana Ave. Room 108  
PO Box 202955  
Helena, MT 59620-2955  
June 29, 2007

Michael Wong, Chairman  
Helena Industries  
250 N. Last Chance Gulch  
Helena, MT 59601

Dear Mr. Wong,

Attached is the Annual Quality Assurance Report for Fiscal Year 2007 for Helena Industries, Inc. The review was conducted based on standards identified in the Quality Assurance Process Handbook effective July 1, 2005. In addition to you and the CEO of Helena Industries, a copy of this report is also sent to pertinent staff at the DDP Central Office, a copy is maintained in the contract file at the Regional Office, and a copy will be posted on the State of Montana Website.

It was a pleasure to conduct this review. I trust you will find the information in the attached report to be an accurate representation of the Facility Based and Community Based employment services, and Community Supports services provided by Helena Industries.

I look forward to a continued relationship with Helena Industries in the delivery of quality services for individuals with developmental disabilities in the the State of Montana.

Respectfully,

*Catherine A. Murphy*

Catherine A. Murphy,  
Quality Improvement Specialist

CC: Wally Melcher, Helena Industries Chief Executive Officer  
Greg Olsen, Helena Industries Director of Programs  
Larry Lovelace, Region IV Manager  
Tim Plaska, Community Services Bureau Chief  
Jannis Conselyea, Program Supports Bureau Chief  
John Zeeck, Quality Assurance Specialist  
Perry Jones, Medicaid Waiver Specialist  
Contract File

**COMPREHENSIVE EVALUATION**

**SUMMARY REPORT**

**FOR**

**HELENA INDUSTRIES  
1325 HELENA AVE.  
HELENA, MT**

**REPORT PERIOD:  
FISCAL YEAR 2007**

**CONDUCTED BY**

**CATHERINE MURPHY  
QUALITY IMPROVEMENT SPECIALIST**

## Scope of Review

Helena Industries provides community and facility-based Work/Day services in the Helena area and Case Management services for individuals with developmental disabilities in various locations throughout the state of Montana. The scope of this review is Work/Day services only. The result of the evaluation of Case Management services can be found in a separate report. The annual on-site review portion of the quality assurance process for Helena Industries was conducted on April 26 and May 22, 2007. References and guidelines for this review are found in the Developmental Disabilities Program handbook titled "Quality Assurance Process for Adult and Group Home Services" dated July 1, 2005. This report contains findings, comments, and recommendations noted during the on-site review and observations over the past year.

## ADMINISTRATIVE

Helena Industries is a non-profit corporation governed by a Board of Directors. The Board is active in overseeing and approving changes or improvements in facilities and services. In addition to the Board, the corporation is under the direct management of Wally Melcher, Chief Executive Officer.

### Significant events:

Major accomplishments identified by Helena Industries include expanding the Work First program to nine participants; maintaining social skills classes in conjunction with area residential service providers, maintaining job classes for consumers interested in community employment, increasing the number of consumers in supported employment services, adding a series of classes/activities for walking, art, and nutrition, maintaining the educational services offered through the Learning Center, approximately doubling the Document Destruction operation, three year accreditation through CARF, and embarking on a major public relations/fund raising event in the form of an annual golf tournament beginning in June 2005.

### Policies & Administrative (DDP) Directives:

Helena Industries has a current Policy and Procedures Manual. All policies required by the Developmental Disabilities Program and other state and federal agencies are included. In addition, Helena Industries has an Emergency and Safety Procedures Manual, and an Employee Services Handbook, which was recently updated.

### Licensing:

No licensing is required for the services provided by Helena Industries. Helena Industries has met the qualifications to be a Qualified Provider for Day Habilitation and Support and currently provides community and facility-based work services and related transportation.

### Accreditation:

Helena Industries maintains CARF accreditation. Their last certification was in October 2004, for the maximum three year period. Surveyors will be visiting to begin the accreditation process in the fall of 2007.

Two Helena Industries employees, including the Director of Programs, are also CARF surveyors. This provides Helena Industries with opportunities to stay abreast of latest trends and

developments in the service delivery system, and also to gain exposure to work programs for individuals with developmental disabilities across the country.

**Fiscal:**

The most recent audit report is a Desk Review of Audit Report dated June 20, 2006. The review, conducted in accordance with OMB Circular A-133, was completed by the Audit Bureau of the State of Montana Quality Assurance Division. The report states there are no findings or questioned costs in the report. An Audit Report, attached to the Desk Review Report, for Fiscal Year 2005 was completed by Junkermier, Clark, Campanella, Stevens, P.C. That report states no reportable conditions or material weaknesses were identified during the audit of the financial statements, or of the major federal award programs. Neither did the audit disclose any noncompliance which is material to the financial statements of Helena Industries, Inc.

**Appendix I:**

All service to consumers at facility based services is provided in accordance with the cost plan and identified staffing ratio. Typical staff for each area is as follows: Benchmark—3 staff to 22 consumers; Mail Center—3 staff to 22 consumers; and Wood Products—4 staff to 22 consumers. The Work First Program maintains a staffing ratio of 1 staff for every two consumers. There are up to 9 individuals participating in this program and 4 staff employed in this area. The Learning Center employs one staff to provide individualized instruction to consumers based on their needs and interests. Individuals receiving Supported Employment services typically receive 1:1 assistance as identified by their individual cost plan the Individual Plan.

**RESIDENTIAL**

Helena Industries, Inc. is a qualified provider of Supported Living services, but has chosen not to provide any residential services through their contract with the Developmental Disabilities program at this time.

**VOCATIONAL**

**Programmatic Deficiencies:**

None noted in the previous evaluation.

**Corrections to Deficiencies:**

None required.

**HEALTH AND SAFETY**

Helena Industries assures necessary treatment, and promptly notifies the residential provider, family member, or other interested parties in the event of illness or injury that occurs while an individual is at work. For individuals who need assistance in receiving prescribed or prn medications written documentation must be present. Medications are stored in a locked cabinet, with only properly certified staff assisting consumers and properly documenting the event.

Helena Industries employees a Safety Officer, who's responsibility it is to maintain a safe work environment and to address any identified work hazards. Emergency drills,

including fire, earthquake, bomb threat, and lock-down drills are conducted and documented on a regular basis by Helena Industries. The average evacuation time for evacuation drills is well under two minutes. Fire extinguishers are maintained on a routine basis. Helena Industries also provides health and safety training on a variety of topics. In addition to First Aid and CPR, and dietary/nutrition classes, Montana State Fund services and NISH on-line training are utilized to provide safety training on a variety of topics.

#### SERVICE PLANNING AND DELIVERY

Helena Industries provides services to approximately 90 individuals with developmental disabilities. As part of the review process Individual Plans and Quarterly Reports were reviewed for 10 individuals. Individuals reviewed are a sample from all work sites and services.

Pre-planning documents for Individual Plans reviewed were all completed and distributed as needed, and assessment information is comprehensive in addressing an individual's strengths and needs. All required paperwork was present and completely filled out. All plans reviewed appear to adequately address the individual's preferences and needs.

In reviewing Quarterly Reports it became evident that, though progress is tracked and reported on by staff on a routine basis, there is often a significant delay in when this information is disseminated to case managers. Of the 10 files reviewed, Quarterly Reports were received an average of four weeks later than the target date for reporting. It appears that Quarterly Reports are received later by contracted Case Management versus State employed Case Managers.

Several consumer files were reviewed as part of the on-site evaluation process. These files contain a historical record of all programs implemented with the individual, monthly progress notes, and annual reviews completed by staff. IP files, with current objectives are complete and current.

Consumers are surveyed annually to assess their satisfaction with services provided by Helena Industries. Assigned Case Managers complete one survey prior to the individual's annual planning meeting where any areas of concern or dissatisfaction are routinely addressed by the team. Consumers are also surveyed annually by Helena Industries with results reported on in their Satisfaction Survey Results report. These survey results indicate consumers are generally satisfied with the services provided by Helena Industries. The most recent consumer satisfaction survey report details three areas to be addressed by the agency. These are: increase the number of individuals who are employed in the community, not all consumers possess a copy of the Consumer Employee Handbook, and not all consumers are aware of the goals in their plans. Strategies are identified to address these areas of concern; and actions were taken to address concerns identified from surveys of the previous year.

#### STAFFING

According to Appendix I of the Contract for Services between Helena Industries and the State of Montana the minimum staffing ratio is one staff for every eight consumers, except in the Work First program where there is one staff for every two consumers. The contract further states that there will be a minimum of one staff in each service area when consumers are present, and that there will be at least two other direct care staff on-site and available to assist in any facility-based area. As is noted earlier, Helena Industries typically provides a higher staffing level than required by contract. During on-site visits throughout the year there have always been an adequate number of staff present with consumers in each service area.

Helena Industries currently employs six Job Coaches for Supported Employment services. Job Coaches typically have a caseload comprised of consumers who receive funding from VR, VREE, VA and the Developmental Disabilities Program. Service hours are determined by each individual's needs. Hours of services per individual are tracked by Helena Industries.

Helena Industries has a comprehensive orientation and training curriculum for new and long-term staff. All direct care staff are provided, and required to stay current in Mandt, First Aid and CPR. Additionally, training is provided in health and safety; individual rights; system reporting procedures; abuse; neglect and exploitation; application of treatment and training techniques; behavior management techniques; and training specific to individual consumers. As is noted in the Health and Safety section of this report staff also receive training on work safety issues from Montana State Fund, and also utilize NISH on-line training.

Staff surveys to assess training retention was completed with five Helena Industries employees. Each staff surveyed represented a different service area of Helena Industries. Due to the longevity of the vast majority of Helena Industries employees, staff surveyed ranged from three years to 29 of employment. Staff provided acceptable answers to all questions which include those on abuse/neglect reporting, client rights, behavior support plans and protocols, orientation training, assistance and supervision of medications, behavior interactions with consumers, emotionally responsible care giving, Individual Plans/Personal Support Plans, and incident reporting. Not only were answers acceptable, but reflected respect and care towards individuals served.

#### INCIDENT MANAGEMENT

Helena Industries has an Incident Management Policy that meets the State of Montana's requirements as detailed in the Developmental Disabilities Program's Incident Management Policy and Incident Management System. An Incident Management Committee Meeting is conducted weekly with all incidents from the previous week reviewed by committee members. Additionally, the committee reviews trends in incidents, and develop strategies to address any related concerns. Incident Reports are completed and processed in a timely manner.

As the vast majority of consumers receiving services from Helena Industries receive residential services from other community providers, Helena Industries routinely informs other service providers, case managers, and other interested parties regarding consumer incidents and other matters of mutual concern.

### **COMMUNITY SUPPORTS**

Helena Industries currently provides Community Supports services to two individuals. One individual receives Supported Employment services to assist her maintain her community job; the other individual has a home-based business which Community Supports funds are used to help maintain.

#### **Programmatic Deficiencies:**

There were no Programmatic Deficiencies related to Community Supports services noted in the previous evaluation.

#### **Corrections to Deficiencies:**

None required.

### **HEALTH AND SAFETY**

The two individuals receiving Community Supports from Helena Industries do not require medication assistance from their Supported Employment staff. Assistance for medical needs and health monitoring is provided by a residential service provider for one individual, and by family for the other individual.

Staff are trained in, and maintain certification for, First Aid and CPR, as well as incident management so should an event arise, staff can adequately respond to such situations.

### **SERVICE PLANNING AND DELIVERY**

As is noted above, Helena Industries provides Community Support services to two individual at this time. The Community Supports Agreements were reviewed as part of the information gathering process for the Quality Assurance Review.

The current Community Supports Agreement for one individual contains an objective for Supported Employment provided by Helena Industries to assist the individual maintain her community employment. Two other objectives are in place with services provided by a residential provider. The second individual receiving Community Supports lives in a neighboring community and has a home-based business. His Community Supports agreement is designed to assist him in maintaining his business and marketing his wares (supported employment, educational, and transportation). This individual also uses Community Support dollars in the health/health safety/health maintenance category to purchase items related to his hearing impairment.

### **STAFFING**

The individuals enrolled in Community Supports receive support from Supported Employment Job Coaches. If additional staffing were required, the hiring and orientation

practices are the same as identified above in the Residential section of this report. This includes background checks and orientation which includes company policies, planning and service delivery process, abuse, neglect and exploitation, and incident reporting/management. Employees also receive training specific to the individual (s) they are working with.

#### INCIDENT MANAGEMENT

Helena Industries has a comprehensive Incident Management Policy developed which corresponds to the Developmental Disabilities Program Incident Management Policy and Incident Management System. This policy, and corresponding procedures, apply to individuals receiving Community Support services from Helena Industries. Should a consumer enrolled in this service experience an incident an Incident Report would be written with proper care and follow-up occurring as needed.

A specific time is designated for Incident Management Committee meetings. These meetings occur weekly to review incidents or discuss trends in incidents, and develop strategies to address any related concerns. Incident Reports are completed and processed in a timely manner, with proper notifications made as needed.

#### CONCLUSION

There is one recommendation as a result of this review. Quarterly Reports are completed for each consumer, however these are often late in their delivery to respective Case Managers. It is recommended that Helena Industries target the fifteenth of the month following the end of each quarter (for example: April 15<sup>th</sup> for the quarter ending March 30) to submit completed Quarterly Reports to Case Managers. This will enable Case Managers to review vocational and residential progress reports at the same time and assist them in having a holistic view of the progress of the Individual Plan objectives.

Helena Industries continually demonstrates a sincere commitment to providing quality services to the individuals they serve. This commitment is reflected in their response to needs and preferences identified by the consumers themselves, implementation of directives from the Developmental Disabilities Program, and their continuing efforts to improve or adapt services to changing needs. The staff and management of Helena Industries are to be complimented for their ongoing efforts in, and on behalf of, the lives of individuals with disabilities.