

CLIENT SERVICES

SECTION B

CASE MANAGEMENT

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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B1:	Confidentiality
Policy:	<p>The Agency and its employees will protect and hold confidential, all client information including, but not limited to:</p> <ul style="list-style-type: none"> • names • personal information and history • medical and behavioural information • family information • legal status and information • financial information • outcome plan/support plan information <p>With guardian consent, Agency employees may share client information pertaining to their current caseload with other agencies as deemed necessary for team planning.</p>
Guiding Principle:	<p>The Agency recognizes that its services are highly specialized and that documentation and information regarding clients is confidential and requires restrictive access. All persons receiving services have the right to confidentiality, as legislated under the Freedom of Information and Protection of Privacy Act (FOIP).</p>
Cross Reference	<ul style="list-style-type: none"> • Freedom of Information and Protection of Privacy Act (F.O.I.P.) • Confidentiality Agreement • Consent to Disclose Form • Release of Information Form • C.E.T. Standards
Date Approved	February 26, 2008
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B1:	Confidentiality
	<ol style="list-style-type: none"> 1. All employees of the Agency sign a <i>Confidentiality Agreement</i> upon hire and immediately following any revisions to the agreement 2. Consent to disclose and release of information will be fully explained with client/guardian and acknowledged on the My Yearly Summary (MYS) Consent Page. 3. Client files will be kept secured at Horizons Centre and electronic information will be password protected 4. Access to files is on a need to know basis with Coordinator’s consent. 5. Individuals transferring from service may initiate a file transfer. Copies of information will be shared when the request is written on the new service provider's official letterhead, and the individual/guardian has signed a Release of Information Form. 6. Requests for confidential client information shall be directed to the Executive Director. 7. All other client information (i.e. binder, photographs) will be kept secured.
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B2:	Client Files
Policy:	Confidential files will be created and maintained for each individual receiving services from the Agency.
Guiding Principle:	
Cross Reference	<ul style="list-style-type: none"> • Client Services Policy: Confidentiality (B1) • F.O.I.P. • C.E.T. Standards
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B2:	Client Files
	<ol style="list-style-type: none"> 1. The Official File may contain: <ul style="list-style-type: none"> • Cover Sheet • Individual Service Confirmation (I.S.C.) • Application for Service • Guardianship Information • Current Assistive Technology - Environmental Intervention consent • Assessment Information i.e. Supports Intensity Scale (S.I.S.) • Previous years information including service agreement, consent/guidelines, ISP/acknowledgement page, reviews, other agency plan and minutes, release of information, assessment information, incident reports, behavioural information, contact notes, correspondence and recognition 2. The Working File will be considered a "current" case file and may include: <ul style="list-style-type: none"> • Cover Sheet • Medical information • Key Worker record • Placement profile • Request for Change roster • Transportation requests • Current Individual Support Plan including Acknowledgement page • Service Agreement • Release and or access to information (Consent to the Disclosure of Personal and/or Health Information) • Minutes and or other Agency plan • Consents • Outcome Working Plan • Outcome Review • Goal documentation • Positive Behaviour Support Plan • Restrictive Procedure Plan • Support Assessments • Daily Activity Records • Contact Notes • Correspondence • Recognition 3. All sensitive documentation shall be placed in a sealed envelope with specific directions for access. Storage of this information will follow F.O.I.P./P.D.D. guidelines.
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B3:	Access to Client Files
Policy:	Client files are subject to authorized access.
Guiding Principle:	Individuals receiving services need to feel confident about the safeguards in place to protect their information. An individual's personal information is considered to be part of the person, and must be respected.
Cross Reference	<ul style="list-style-type: none"> • F.O.I.P. • C.E.T. Standards • P.D.D. Contract
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B3:	Access to Client Files
	<ol style="list-style-type: none"> 1. All client files are kept in a secure area. 2. Staff accessing files must receive permission to do so from their Program Coordinator, a Program Supervisor, the Program Director, or the Executive Director. 3. Employees will ensure confidentiality is maintained during file reviews. 4. Sealed information within a client file may only be accessed with permission from Executive Director or designate. 5. Clients may request access to their file. 6. Clients/legal guardians inspecting their personal client file will do so in the presence of a coordinator or designated staff. 7. Requests for deletions will be submitted to the Executive Director for consideration. 8. P.D.D. authorized personnel will have access to client files. 9. Other bodies with authorized consent. 10. All client files, photographs, audio/visual material are the property of the Agency.
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B4:	Client File Review
Policy:	All current client files will be reviewed on a regular ongoing basis.
Guiding Principle:	Record keeping systems are effectively maintained when monitored and reviewed.
Cross Reference	<ul style="list-style-type: none"> • C.E.T. Standards • P.D.D. Contract
Date Approved	February 26, 2008
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B4:	Client File Review
	<p>Program Coordinators will review each current client file on their caseload, annually or as required.</p> <p>Individual Support Plan Outcome reviews will occur regularly at three months, six months, nine months, and prior to the preparation of a new Individual Support Plan.</p> <p>This review will include the following:</p> <ul style="list-style-type: none"> • outcomes are progressing according to plan • assessments are completed as required • any applicable signatures • discussion with guardians (as needed) • file is up to date <p>File reviews will occur upon each individual transfer between client support workers and/or Program Coordinators, with corresponding documentation.</p> <p>File reviews may also occur on an "as needed" basis.</p> <p>File deficits will be corrected, as soon as possible.</p>
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B5:	Contractual Reporting
Policy:	Information will be collected for administrative and operational records and reporting.
Guiding Principle:	<p>Keeping accurate information regarding participation, program enrolment, termination of services, etc., allows the Agency to:</p> <ul style="list-style-type: none"> • ensure fiscal responsibility • ensure compliance to contractual obligations • use resources effectively • respond to changing service requirements
Cross Reference	<ul style="list-style-type: none"> • P.D.D. Contract • Abuse Prevention Response Protocol • Protection for Persons in Care Act
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B5:	Contractual Reporting
	<p>Records will be compiled and submitted to P.D.D. as per contract. Which include but are not limited to:</p> <ul style="list-style-type: none"> • A record of each client receiving service • Individual Support Plans • Monthly invoices • Abuse Prevention Response Protocol reports • Protection for Persons in Care reports • Restrictive Approaches used • Performance Management Framework
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B6:	Informed Consent
Policy:	<p>The Agency will ensure authorization for the provision of services via consent from the Independent Adult or Legal Guardian.</p> <p>The Agency will ensure clients/guardians are adequately informed prior to giving consent.</p> <p>The Agency will advise the Independent Adult/guardian that informed consent is described as: an act that is given voluntarily without due influence. Consent may be withheld or revoked, and is time limited.</p>
Guiding Principle:	<p>In order to make good decisions about the services they are receiving, clients and/or their guardians need to be informed of their options. All options, benefits, and risks need to be examined. Horizons Centre's services often evolve to meet the changing needs of our clients and/or of society. Our clients and/or their guardians need to be kept current of these changes and options.</p>
Cross Reference	<ul style="list-style-type: none"> • C.E.T. Standards • P.D.D. Contract
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B6:	Informed Consent
	<ol style="list-style-type: none"> 1. Upon entering service, the individual and/or their guardian will be required to sign the applicable consents. 2. Consents will be renewed annually, or as required. 3. The individual and/or their guardian will be informed of any new options or changes to programs. 4. Consent is required in the following areas (as applicable): <ul style="list-style-type: none"> • General service - includes Individual Service Agreement, Individual Support Plan, Individual Training Plan, Formal Treatment Plan, Restrictive Procedures and their alterations • Health care issues - includes medication administration, treatments, application of first-aid, emergency measures • Transportation - related to service/needs/program • Fitness programs • Out of town trips/vacations • Publicity - photographs, website/social media, video/audio recordings, newspaper, T.V., Agency • Supervision - includes level of supervision, unsupervised access to the community/home • Overnight courses/conferences • Extra expenses/purchases (trustee & guardian) - includes major purchases, trips
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B7:	Legal Guardianship
Policy:	<p>The Agency will ensure authorization and consent specific to the Dependant Adult as stipulated in the Guardianship Order.</p>
Guiding Principle:	<p>All adults receiving services from the Agency are considered independent adults, able to make their own decisions, unless the courts have appointed a legal guardian.</p> <p>The Agency respects and supports the role of a legal guardian to make decisions as designated by the court for the individual receiving services.</p> <p>The Agency recognizes and respects the choices and opinions of parents/family members who do not have legal authority but are actively involved in supporting the independent adult in making decisions.</p>
Cross Reference	<ul style="list-style-type: none"> • Adult Guardianship and Trusteeship Act • Office of the Public Guardian
Date Approved	February 26, 2008
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B7:	Legal Guardianship
	<p>Definitions:</p> <ol style="list-style-type: none"> 1. A legal guardian is an individual appointed by the court to make or assist in making personal decisions with a <i>Dependant Adult</i> excluding financial decisions. 2. An Independent Adult is a person over the age of eighteen who makes decisions on their own behalf (no court order). 3. Legal Guardianship may be appointed in one or more of the following areas: <ul style="list-style-type: none"> • informed health care decisions • where to live • whom to live/consort with • social matters • where to work • education/training • licenses and permits • legal matters • day to day decisions <p>Procedure:</p> <ol style="list-style-type: none"> 1. Legal Guardianship status will be established upon entrance into the program. 2. Guardianship may be public or private. 3. A copy of the court order will be filed in the individual's Official File. 4. Legal Guardians are responsible for updating the Guardianship Order. 5. Individual Service Agreements, Individual Support Plans, Treatment Plans, and applicable consents (medication administration, etc.) will be signed by the Legal Guardian and/or Independent Adult. These consents will be time limited and reflective of client need. 6. Other consents and approvals will be obtained as required (release of information, etc).
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B7:	Legal Guardianship (continued)
	<p>Procedure (continued)</p> <ol style="list-style-type: none"> 7. Medical, dental, optical, or specialized treatments must be authorized by the Legal Guardian and/or Independent Adult. Support staff will not sign for medical consent. 8. The Legal Guardian may be informed in cases where the client has been injured, received medical care, is suicidal, is absent without approval, and/or has displayed Major Behaviour warranting an incident report.
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Revised Date	July 22, 2015

Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B8:	Trusteeship
Policy:	<p>The Agency will ensure authorization and consent specific to the Dependant Adult as stipulated by the Trustee.</p>
Guiding Principle:	<p>The Agency respects and supports the role of an appointed trustee, whether formally or informally appointed.</p> <p>Additionally the Agency respects and supports the role of the Independent Adult in the management of his/her personal finances.</p>
Cross Reference	<ul style="list-style-type: none"> • Office of the Public Trustee
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B8:	Trusteeship
	<ol style="list-style-type: none"> 1. Trusteeship status will be established upon entrance into the program. 2. Trusteeship may be formal or informal. 3. Trusteeship may be Private or Public. 4. The trustee is responsible for notifying the Agency of changes in status. 5. The trustee is responsible for paying the client's regular expenses and providing personal spending money. 6. Exceptional expense requests (additional funds, large amounts) must be approved by the guardian and submitted to the trustee in writing.
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B9:	Client Exit from Program
Policy:	The Agency uses a formal process for clients exiting the program.
Guiding Principle:	Supports will be given to assist individuals in their exploration of transfer or termination of services.
Cross Reference	<ul style="list-style-type: none"> • P.D.D. Contract • C.E.T. Standards
Date Approved	February 26, 2008
Revised Date	August 7, 2012

Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B9:	Client Exit from Program
	<p>Program termination may be initiated by the client/guardian, the Agency, or as a mutual agreement from both parties.</p> <p>Reasons for exiting may include:</p> <ol style="list-style-type: none"> 1. Individual choice. 2. Client moves out of the Wetaskiwin area. 3. Client/guardian wishes to explore alternate service options. 4. The individual has reached service outcome and support is no longer required. 5. A physician or other like professional has deemed the individual unfit, due to physical or emotional reasons, to participate in the program. 6. The individual has displayed assaultive, self-abusive, or destructive behaviour that would constitute danger to him/herself, others, or the Agency. 7. The individual has shown a lack of participation through poor attendance, attitude, or involvement. <p>Agency Initiated:</p> <ol style="list-style-type: none"> 1. If possible, a meeting with members of the Individual Support Planning team will be held. 2. Reason(s) for exit will be explained. 3. Service options will be discussed. 4. A written report will be provided to all parties present, to the Community Resource Manager, and will be filed in the Official File within ten working days of the meeting. 5. A letter of termination, including the date of termination, will be forwarded to the client/guardian, with a copy to the Chairperson of the Board of Directors of Horizons Centre.
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B9:	Client Exit from Program (continued)
	<p>6. The client/guardian will be informed in writing of their right to appeal, and the appeal process.</p> <p>7. Following the termination of service, the Client Files will be closed (See Client Services Policy: File Closure (B10))</p> <p>Client/Guardian Initiated</p> <p>1. The client/guardian will be encouraged to meet with the Individual Support Planning team to discuss the termination of services.</p> <p>2. A written report summarizing services and reason(s) for exit will be provided to all involved parties including the Community Resource Manager. Date of termination will be specified.</p> <p>3. Copies of all reports will be appropriately filed in the Official File.</p> <p>4. Following the termination of service, the Client's Files will be closed (See Client Services Policy: File Closure (B10))</p>
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B10:	File Closure
Policy:	The Agency uses a formal process for client file closure.
Guiding Principle:	Client information/files are treated as confidential even after the service is terminated.
Cross Reference	<ul style="list-style-type: none"> • F.O.I.P.
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B10:	File Closure
	<ol style="list-style-type: none"> 1. The Program Director will initiate the service termination form, which will then be filed. 2. A release of information will be completed (as applicable) for transfer etc. 3. The Program Director will initiate a file review ensuring: <ol style="list-style-type: none"> a. all required documentation is current and present in the file b. all rough notes/observations are removed from the file 4. Official and Working Files will be combined into the Official File. 5. The service termination form will be moved to the top of page one in the file. 6. The file will then be stored in the "inactive" section of the secure file storage area. 7. The file will be sent to P.D.D. 8. Files will be closed within one month after termination of service.
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Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Policy B11:	Client Information and File Retention
Policy:	<p>The Agency will retain client files following the file closure date. Client files become the permanent property of the Persons with Developmental Disabilities.</p>
Guiding Principle:	<p>Clear guidelines for retention and destruction of client information protect the rights of the clients and the Agency.</p>
Cross Reference	<ul style="list-style-type: none"> • F.O.I.P. • P.D.D. Contract
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Revised Date	Pending

Horizons Centre	<p style="text-align: right;">Section B: Case Management Client Services</p>
Procedure B11:	Client Information and File Retention
	<p>General</p> <ol style="list-style-type: none"> 1. Destruction of any client file requires the approval of Persons with Developmental Disabilities. 2. In the event of the dissolution of the Agency, all client files will become the permanent property of the Persons with Developmental Disabilities. <p>Client Files</p> <ol style="list-style-type: none"> 1. Following the file closure date, files are permanently stored in an offsite location of Persons with Developmental Disabilities. 2. The Persons with Developmental Disabilities must authorize the shredding of a file. 3. A basic client profile will be retained as part of the Agency's permanent record. 4. A roster of any files destroyed will be maintained. <p>Client Information</p> <ol style="list-style-type: none"> 1. All case notes, observations, and transitory documents will be destroyed upon summary of the information. 2. Photos, audio, audio/visual recordings will be erased/destroyed as agreed upon with the client/guardian.
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