NEW MEXICO WIC Peer Counseling

PC Program Policy #8:
Client and PC Records

Peer Counselor personal information, payment invoices and counseling forms containing client-identifying information and are all protected under HIPAA guidelines.

Client Records contain:

The PC creates a client folder for each client which contains the following:

- Initial Prenatal Contact Form (if applicable)
- Initial Breastfeeding Contact Form (if applicable)
- SOAP Notes - for all client contacts (even attempted contacts) other than contacts made using the Initial Prenatal and Breastfeeding Contact forms.
- PCs are required to complete a Client List Spreadsheet to keep client information organized and to ensure timely follow-up and scheduling. This should be placed in the Active Client Folder, it does not need to be placed in a specific FY folder.
- Any personal notes, documents, or client contact sheet which is optional

All counseling must be summarized on the counseling forms on the client record in Google Workspace, and NOT on paper records.

A PC folder contains:

The LPCC creates and maintains each individual PC's folder in Google Workspace which contains the following. Below is how google workspace alphabetizes it and the way all PC folders should be organized; also within each folder, all information is organized in fiscal years:

- **Active (Open) Client folder -** active client cases will be separated into Fiscal Year and/or Clinic subfolders (if serving multiple clinics)
  - All clients will be identified by Client last name, First initial, FID number
  - Counseling forms- prenatal intake form, postpartum intake form, initial client spreadsheet and SOAP note.
  - Prenatal Client folder - active prenatal clients broken down into Fiscal Year and/or Clinic (if serving multiple clinics)
  - Breastfeeding Client folder - active breastfeeding clients broken down into Fiscal Year and/or Clinic (if serving multiple clinics)

- **Employee Packet folder** which contains:
  - PC Agreement with DOH WIC *(complete annually)*
  - PC Addendum with fiscal agent *(complete annually)*
  - W9 (*fiscal agent form - only re-submit when there are any changes to a PC's information*)
  - Direct Deposit Form *(fiscal agent form only re-submitted if there's a change in banking)*

- **Inactive (Closed) Client folder -** closed client cases will be separated into Fiscal Year and/or Clinic subfolders (if serving multiple clinics)
    - Folder Label: Last Name, First Initial, Date of Closed Case (DCC) and (Family Identification) FID
    - Follow the steps below when the client no longer is eligible or no longer needs PC services:
        1. Fill out a close case summary link provided by your LPCC
        2. Notify your LPCC and TL/Nutritionist about closed client case
        3. Work with the LPCC regarding transferring, if applicable

- **PC Evaluations,** which contains**:**
    - PC End of Year evaluations
    - Client Survey
    - PC Support Plan, as needed

- **PC Invoice folder,** which contains:
    - PC monthly invoices- see Policy 7 Time Reporting and Documentation
    - PC hourly time tracker- report monthly

- **Referral folder**
    - Referral form
        - The LPCC will create a referral form for each PC, and link that form to the PC spreadsheet.
    - Referral spreadsheet
        - *Please make 3 colors: one for closed cases, one for active/open cases, one for newly referred not yet working on. Please provide a key with colors.*
        - If the PC is covering out of region, a region clinic tab will be created.

- **Supply Inventory form** (folder)**:** PC's Supply Inventory form and linked spreadsheet

- **TL Monthly Chart Review folder,** which contains:
    - Master Chart Review form
    - Completed Chart Review forms labeled by month (Organized by Fiscal Year-Start with 1.July)
    - If multiple clinics, only complete chart reviews on PC's home clinic.

- **Training Certificates folder,** which contains certificates of continuing education or the following:
    - BFTF breastfeeding conference
    - HUG Your Baby
    - TRAIN Certificates
    - Other approved training certificates

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