

# WAKULLA CORRECTIONAL INSTITUTION – MAIN UNIT



**September 17-19, 2024**

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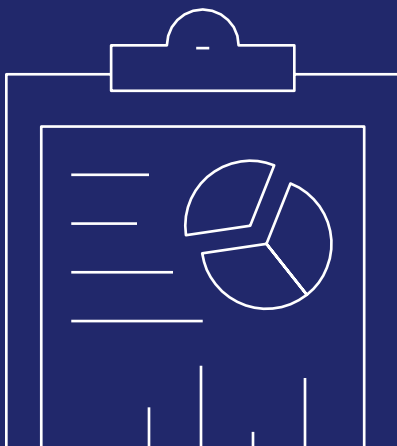
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## BACKGROUND AND SCOPE

The Correctional Medical Authority (CMA) is required, per § 945.6031(2) F.S., to conduct triennial surveys of the physical and mental health care systems at each correctional institution and report survey findings to the Secretary of Corrections. The process is designed to assess whether inmates in Florida Department of Corrections (FDC) institutions can access medical, dental, and mental health care and to evaluate the clinical adequacy of the resulting care.

The goals of institutional surveys are:

- 1) to determine if the physical, dental, and mental health care provided to inmates in all state public and privately operated correctional institutions is consistent with state and federal law, conforms to standards developed by the CMA, is consistent with the standards of care generally accepted in the professional health care community at large.
- 2) to promote ongoing improvement in the correctional system of health services; and,
- 3) to assist the Department in identifying mechanisms to provide cost effective health care to inmates.

To achieve these goals, specific criteria designed to evaluate inmate care and treatment in terms of effectiveness and fulfillment of statutory responsibility are measured. They include determining whether:

- Inmates have adequate access to medical and dental health screening and evaluation and to ongoing preventative and primary health care.
- Inmates receive adequate and appropriate mental health screening, evaluation, and classification.
- Inmates receive complete and timely orientation on how to access physical, dental, and mental health services.
- Inmates have adequate access to medical and dental treatment that results in the remission of symptoms or in improved functioning.
- Inmates receive adequate mental health treatment that results in or is consistent with the remission of symptoms, improved functioning relative to their current environment and reintegration into the general prison population as appropriate.
- Inmates receive and benefit from safe and effective medication, laboratory, radiology, and dental practices.
- Inmates have access to timely and appropriate referral and consultation services.
- Psychotropic medication practices are safe and effective.
- Inmates are free from the inappropriate use of restrictive control procedures.
- Sufficient documentation exists to provide a clear picture of the inmate's care and treatment.
- There are enough qualified staff to provide adequate treatment.

## METHODOLOGY

During a multi-day site visit, the CMA employs a standardized monitoring process to evaluate the quality of physical and mental health services provided at this institution, identify significant deficiencies in care and treatment, and assess institutional compliance with FDC's policies and procedures.

This process consists of:

- Information gathering prior to monitoring visit (Pre-survey Questionnaire)
- On-site review of clinical records and administrative documentation
- Institutional tour
- Inmate and staff interviews

The CMA contracts with a variety of licensed community and public health care practitioners including physicians, psychiatrists, dentists, nurses, psychologists, and other licensed mental health professionals to conduct these surveys. CMA surveyors utilize uniform survey tools, based on FDC's Office of Health Services (OHS) policies and community health care standards, to evaluate specific areas of physical and mental health care service delivery. These tools assess compliance with commonly accepted policies and practices of medical record documentation.

The CMA employs a record selection methodology using the Raosoft Calculation method. This method ensures a 15 percent margin of error and an 80 percent confidence level. Records are selected in accordance with the size of the clinic or assessment area being evaluated.

Compliance scores are calculated by dividing the sum of all yes responses by the sum of all yes and no responses (***rating achieved/possible rating***) and are expressed as a percentage. Institutional tours and systems evaluations are scored as compliant or non-compliant. Individual screens with a compliance percentage below 80%, as well as tour and systems requirements deemed non-compliant will require completion of the CMA's corrective action process (CAP) and are highlighted in red.

## INSTITUTIONAL DEMOGRAPHICS AND STAFFING

Wakulla Correctional Institution – Main Unit (WAKCI-Main) houses male inmates of minimum, medium and close custody levels. The facility grades are medical (M) grades 1, 2, 3, 4, and 5 and psychology (S) grades 1 and 2. Wakulla Correctional Institution consists of a Main Unit and Annex; the Work Camp was closed at the time of the survey.<sup>1</sup>

### Institutional Potential and Actual Workload

<b>Main Unit Capacity</b>	1590	<b>Current Main Unit Census</b>	1537
<b>Annex Unit(s) Capacity</b>	756	<b>Annex Satellite(s) Census</b>	588
<b>Total Capacity</b>	2346	<b>Total Current Census</b>	2125

### Inmates Assigned to Medical and Mental Health Grades

Medical Grade (M-Grade)	1	2	3	4	5	Impaired	
	842	596	90	1	5	52	
Mental Health Grade (S-Grade)	Mental Health Outpatient			Mental Health Inpatient			Impaired
	1	2	3	4	5	6	Impaired
	1496	36	2	0	0	0	2

### Inmates Assigned to Special Housing Status

Confinement/ Close Management	DC	AC	PM	CM3	CM2	CM1
	12	27	N/A	N/A	N/A	N/A

<sup>1</sup> Demographic and staffing information were obtained from the Pre-survey Questionnaire.

## Medical Unit Staffing

Position	Number of Positions	Number of Vacancies
Physician	1	0
Clinical Associate	2	0
Registered Nurse	7	1
Licensed Practical Nurse	8	1
DON/Nurse Manager	1	0
Dentist	1	1
Dental Assistant	2	0
Dental Hygienist	1	0

## Mental Health Unit Staffing

Position	Number of Positions	Number of Vacancies
Psychiatrist	0	0
Psychiatric APRN/PA	0	0
Psychological Services Director	1	0
Psychologist	0	0
Mental Health Professional	1	0
Aftercare Coordinator	0	0
Activity Technician	0	0
Mental Health RN	0	0
Mental Health LPN	0	0

## WAKULLA CORRECTIONAL INSTITUTION – MAIN UNIT SURVEY SUMMARY

The CMA conducted a thorough review of the medical, mental health, and dental systems at WAKCI-Main on September 17-19, 2024. Record reviews evaluating the provision and documentation of care were also conducted. Additionally, a review of administrative processes and a tour of the physical plant were conducted.

Detailed below are results from the institutional survey of Wakulla Correctional. The results are presented by assessment area and for each screen of the monitoring tool. Compliance percentages are provided for each screen.

Survey Findings Summary			
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# Physical Health Survey Findings

## Chronic Illness Clinics

### Cardiovascular Chronic Illness Clinic

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	The diagnosis is appropriate for inclusion in the cardiovascular clinic	18	18	0	0	100%
2	There is evidence of an appropriate physical examination	18	18	0	0	100%
3	At each visit there is an evaluation of the control of the disease and the status of the patient	18	18	0	0	100%
4	Annual laboratory work is completed as required	18	18	0	0	100%
5	Abnormal labs are reviewed and addressed in a timely manner	18	18	0	0	100%
6	There is evidence that patients with cardiovascular disease are prescribed low-dose aspirin if indicated	8	8	0	10	100%
7	Medications appropriate for the diagnosis are prescribed	18	18	0	0	100%
8	Patients are referred to a specialist for more in-depth treatment as indicated	1	1	0	17	100%
<b>Overall Compliance Score 100%</b>						

### Endocrine Clinic Chronic Illness Clinic

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The diagnosis is appropriate for inclusion in the endocrine clinic	17	17	0	0	100%
2 There is evidence of an appropriate physical examination	17	17	0	0	100%
3 At each visit there is an evaluation of the control of the disease and the status of the patient	17	17	0	0	100%
4 Annual laboratory work is completed as required	17	17	0	0	100%
5 Abnormal labs are reviewed and addressed in a timely manner	17	17	0	0	100%
6 A dilated fundoscopic examination is completed yearly for diabetic inmates	14	13	1	3	93%
7 Inmates with HgbA1c over 8% are seen at least every 90 days	10	10	0	7	100%
8 Inmates with vascular disease or risk factors for vascular disease are prescribed aspirin when indicated	9	9	0	8	100%
9 Inmates with diabetes who are hypertensive or show evidence of (micro)albuminuria are placed on ACE/ARB therapy	12	12	0	5	100%
10 Medications appropriate for the diagnosis are prescribed	17	17	0	0	100%
11 Patients are receiving insulin as prescribed	8	8	0	9	100%
12 Patients are referred to a specialist for more in-depth treatment as indicated	7	7	0	10	N/A
<b>Overall Compliance Score 99%</b>					

**Gastrointestinal Chronic Illness Clinic**

SCREEN QUESTION		COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	The diagnosis is appropriate for inclusion in the gastrointestinal clinic	17	17	0	0	100%
2	There is evidence of an appropriate physical examination	17	17	0	0	100%
3	At each visit there is an evaluation of the control of the disease and the status of the patient	17	17	0	0	100%
4	Annual laboratory work is completed as required	17	17	0	0	100%
5	Abnormal labs are reviewed and addressed in a timely manner	17	17	0	0	100%
6	Medications appropriate for the diagnosis are prescribed	7	7	0	10	100%
7	There is evidence of hepatitis A and/or B vaccination for inmates with hepatitis C and no evidence of past infection	16	16	0	1	100%
8	Abdominal ultrasounds are completed at the required intervals	15	15	0	2	100%
9	Inmates with chronic hepatitis will have liver function tests at the required intervals	15	15	0	2	100%
10	Patients are referred to a specialist for more in-depth treatment as indicated	1	1	0	16	100%
11	Inmates are evaluated and staged appropriately to determine treatment needs	0	0	0	17	N/A
12	Hepatitis C treatment is started within the appropriate time frame	0	0	0	17	N/A
13	Laboratory testing for inmates undergoing hepatitis treatment is completed at the required intervals	0	0	0	17	N/A
14	Inmates undergoing hepatitis C treatment receive medications as prescribed	0	0	0	17	N/A
15	Labs are completed at 12 weeks following the completion of treatment to assess treatment failure	0	0	0	17	N/A
<b>Overall Compliance Score 100%</b>						

**General Chronic Illness Clinic**

SCREEN QUESTION		COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Record	YES	NO	N/A	
1	The inmate is enrolled in all clinics appropriate for their diagnosis	14	14	0	0	100%
2	Appropriate patient education is provided	14	14	0	0	100%
3	The inmate is seen at intervals required for their M-grade or at intervals specified by the clinician	14	13	1	0	93%
4	There is evidence that labs are available prior to the clinic visit and are reviewed by the clinician	14	14	0	0	100%
<b>Overall Compliance Score 98%</b>						

**Immunity Chronic Illness Clinic**

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 There is a diagnosis of Human Immunodeficiency Virus (HIV)	14	14	0	0	100%
2 There is evidence of an appropriate physical examination.	14	0	14	0	0%
3 Did the on-site medical provider review the DOH documentation?	14	14	0	0	100%
4 Were appropriate laboratory and imaging requirements completed as recommended by the DOH medical provider?	14	14	0	0	100%
5 Virologic failure is addressed with resistance testing, review of medication adherence and the appropriate change in medication regimens	0	0	0	14	N/A
6 Is the inmate receiving HIV medications as prescribed?	14	13	1	0	93%
7 There is evidence of hepatitis B vaccination for inmates with no evidence of past infection	14	12	2	0	86%
8 Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	14	N/A
<b>Overall Compliance Score 80%</b>					

**Immunity Chronic Illness Clinic Discussion:**

Screen 2: In all 14 records, the mouth was not addressed during the physical examination. Additionally, vital signs were incomplete.

**Miscellaneous Chronic Illness Clinic**

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The diagnosis is appropriate for inclusion in the miscellaneous clinic	14	14	0	0	100%
2 There is evidence of an appropriate physical examination	14	14	0	0	100%
3 Medications appropriate for the diagnosis are prescribed	13	13	0	1	100%
4 At each visit there is an evaluation of the control of the disease and the status of the patient	14	14	0	0	100%
5 Abnormal labs are reviewed and addressed in a timely manner	0	0	0	14	N/A
6 Patients are referred to a specialist for more in-depth treatment as indicated	11	8	3	3	73%
<b>Overall Compliance Score 95%</b>					

**Miscellaneous Chronic Illness Clinic Discussion:**

Screen 6: In the first record, a patient with a history of glaucoma was referred to the ophthalmologist in January 2024, but had not been seen by the date of the survey. In the second record, the patient was seen by optometry on 1/11/24. The optometrist requested that the inmate be referred to the ophthalmologist and be returned to the optometry clinic in one month. Although, the inmate was seen by an ophthalmologist in March 2024, he has not returned to optometry clinic since the January visit. In the last record, the patient has not been seen by optometry since 1/6/23.

**Neurology Chronic Illness Clinic**

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The diagnosis is appropriate for inclusion in the neurology clinic	12	12	0	0	100%
2 There is evidence of an appropriate physical examination	12	12	0	0	100%
3 Annual laboratory work is completed as required	12	12	0	0	100%
4 Abnormal labs are reviewed and addressed in a timely manner	0	0	0	12	N/A
5 At each visit there is an evaluation of the control of the disease and the status of the patient	12	12	0	0	100%
6 Medications appropriate for the diagnosis are prescribed	12	12	0	0	100%
7 Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	12	N/A
<b>Overall Compliance Score 100%</b>					

### Oncology Chronic Illness Clinic

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The diagnosis is appropriate for inclusion in the oncology clinic	9	9	0	0	100%
2 There is evidence of an appropriate physical examination	9	9	0	0	100%
3 Appropriate labs, diagnostics and marker studies are performed as clinically appropriate	8	7	1	1	88%
4 Annual laboratory work is completed as required	9	9	0	0	100%
5 Abnormal labs are reviewed and addressed in a timely manner	7	7	0	2	100%
6 At each visit there is an evaluation of the control of the disease and the status of the patient	9	9	0	0	100%
7 Medications appropriate for the diagnosis are prescribed	7	7	0	2	100%
8 Oncological treatments are received as prescribed	0	0	0	9	N/A
9 Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	9	N/A
<b>Overall Compliance Score 98%</b>					

**Respiratory Chronic Illness Clinic**

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The diagnosis is appropriate for inclusion in the respiratory clinic	16	16	0	0	100%
2 Inmates with moderate to severe reactive airway disease are started on anti-inflammatory medication	2	2	0	14	100%
3 Medications appropriate for the diagnosis are prescribed	16	16	0	0	100%
4 A peak flow reading is recorded at each visit	16	16	0	0	100%
5 There is evidence of an appropriate physical examination	16	16	0	0	100%
6 At each visit there is an evaluation of the control of the disease and the status of the patient	16	16	0	0	100%
7 Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	16	N/A
<b>Overall Compliance Score 100%</b>					

### Tuberculosis Chronic Illness Clinic

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The inmate has a diagnosis of tuberculosis or latent tuberculosis infection	13	13	0	0	100%
2 There is evidence a chest X-ray (CXR) was completed	13	13	0	0	100%
3 There is evidence of initial and ongoing education	13	13	0	0	100%
4 There is evidence of monthly nursing follow-up	13	13	0	0	100%
5 Laboratory testing results are available prior to the clinic visit and any abnormalities reviewed in a timely manner	12	11	0	1	92%
6 AST and ALT testing are repeated as ordered by the clinician	12	11	0	1	92%
7 CMP testing is completed monthly for inmates with HIV, chronic hepatitis or are pregnant	0	0	0	13	N/A
8 Inmates with adverse reaction to LTBI therapy are referred to the clinician and medications are discontinued	0	0	0	13	N/A
9 The appropriate medication regimen is prescribed	13	13	0	0	100%
10 The inmate receives TB medications as prescribed	11	11	0	2	100%
11 The Inmate is seen by the clinician at the completion of therapy	2	2	0	11	100%
12 Documentation of the CIC visit includes an appropriate physical examination	12	12	0	1	100%
13 Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	13	N/A
<b>Overall Compliance Score 98%</b>					

## Episodic Care

### Emergency Services

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 Potentially life-threatening conditions are responded to immediately	11	11	0	6	100%
2 The emergency assessment is appropriate for the presenting complaint/condition and completed in its entirety	17	17	0	0	100%
3 Vital signs including weight are documented	17	16	1	0	94%
4 There is evidence of appropriate and applicable patient education	17	17	0	0	100%
5 Findings requiring clinician notification are made in accordance with protocols	14	14	0	3	100%
6 Follow-up visits are completed timely	11	10	1	6	91%
7 Clinician's orders from the follow-up visit are completed as required	11	11	0	6	100%
8 Appropriate documentation is completed for patient's requiring transport to a local emergency room	2	2	0	15	100%
9 Inmates returning from an outside hospital are evaluated by the clinician within one business day	3	3	0	14	100%
<b>Overall Compliance Score 98%</b>					

### Outpatient Infirmary Care

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 Clinician's orders specify whether the inmate is admitted into the infirmary or placed on observation status. Admission status is appropriate for the presenting complaint/condition	11	11	0	0	100%
2 All orders are received and implemented	11	11	0	0	100%
3 The inmate is evaluated within one hour of being placed on observation status	11	11	0	0	100%
4 Patient evaluations are documented at least once every eight hours	11	11	0	0	100%
5 Weekend and holiday clinician phone rounds are completed and documented as required	5	5	0	6	100%
6 The inmate is discharged within 23 hours or admitted to the infirmary for continued care	11	11	0	0	100%
7 A discharge note containing all of the required information is completed as required	11	11	0	0	100%
<b>Compliance Percentage 100%</b>					

## Inpatient Infirmary Care

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 Clinician's orders specify whether the inmate is admitted into the infirmary or placed in observation status. Admission status is appropriate for the presenting complaint/condition	15	15	0	0	100%
2 All orders are received and implemented	15	10	5	0	67%
3 A thorough nursing assessment is completed within two hours of admission	15	15	0	0	100%
4 A Morse Fall Scale is completed at the required intervals	15	14	1	0	93%
5 Nursing assessments are completed at the required intervals	15	15	0	0	100%
6 Clinician rounds are completed and documented as required	15	15	0	0	100%
7 Weekend and holiday clinician phone rounds are completed and documented as required	14	14	0	1	100%
8 A discharge note containing all of the required information is completed as required	12	12	0	3	100%
9 A discharge summary is completed by the clinician within 72 hours of discharge	12	12	0	3	100%
<b>Overall Compliance Score 96%</b>					

### Inpatient Infirmary Care Discussion:

Screen 2: In the first record, there was no evidence that care of the inmate's feeding tube was provided appropriately. Additionally, ostomy care was not documented. In the second record, the provider ordered evaluations to be documented every two hours; however, there was no evidence this was completed. In the third record, the inmate was not offered his insulin at the required intervals. In the fourth record, the IV was not flushed every eight hours as ordered. In the fifth record, required laboratory testing was not completed as ordered by the provider. Additionally, there was no evidence the inmate was provided with the ordered warm compresses.

**Sick Call Services**

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The sick call request is appropriately triaged based on the complaint or condition	18	18	0	0	100%
2 The inmate is assessed in the appropriate time frame	18	17	1	0	94%
3 The nursing assessment is completed in its entirety	18	18	0	0	100%
4 Complete vital signs including weight are documented	18	18	0	0	100%
5 There is evidence of applicable patient education	18	18	0	0	100%
6 Referrals to a higher level of care are made in accordance with protocols	9	9	0	9	100%
7 Follow-up visits are completed in a timely manner	9	9	0	9	100%
8 Clinician orders from the follow-up visit are completed as required	9	9	0	9	100%
<b>Overall Compliance Score 99%</b>					

## Other Medical Records Review

### Confinement Medical Review

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The Pre-Special Housing Health Evaluation is complete and accurate	13	13	0	0	100%
2 All medications are continued as prescribed while in the inmate is held in special housing	5	5	0	8	100%
3 The inmate is seen in chronic illness clinic as regularly scheduled	0	0	0	13	N/A
4 All emergencies are responded to within the required time frame	2	2	0	11	100%
5 The response to the emergency is appropriate	2	2	0	11	100%
6 All sick call appointments are triaged and responded to within the required time frame	12	12	0	1	100%
7 New or pending consultations progress as clinically required	12	12	0	1	100%
8 All mental health and/or physical health inmate requests are responded to within the required time frame	13	13	0	0	100%
<b>Overall Compliance Score 100%</b>					

## Consultations

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 Documentation of clinical information is sufficient to obtain the needed consultation	14	14	0	0	100%
2 The referral is sent to Utilization Management in a timely manner which is consistent with the clinical needs of the inmate	14	13	1	0	93%
3 The consultation is completed in a timely manner as dictated by the clinical needs of the inmate	14	10	4	0	71%
4 The consultation report is reviewed by the clinician in a timely manner	12	12	0	2	100%
5 The consultant's treatment recommendations are incorporated into the treatment plan	12	12	0	2	100%
6 All appointments for medical follow-up and/or diagnostic testing are completed as per the consultant's recommendations	11	11	0	3	100%
7 The diagnosis is recorded on the problem list	14	14	0	0	100%
8 The "alternative treatment plan" (ATP) is documented in the medical record	0	0	0	14	N/A
9 There is evidence that the ATP is implemented	0	0	0	14	N/A
<b>Overall Compliance Score 95%</b>					

### Consultations Discussion:

Screen 3: In the first record, a routine ENT consult was ordered on 1/22/24 but had not been completed by the date of the survey. In the second record, a routine cardiology consult took over four months to complete. In the third record, a routine cardiology consult was ordered on 5/14/24 but had not been completed by the date of the survey. In the fourth record, a routine orthopedic consult took over three months to be completed.

### Medical Inmate Requests

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 A copy of the inmate request form is present in the electronic health record	18	18	0	0	100%
2 The request is responded to within the appropriate time frame	18	18	0	0	100%
3 The response to the request is direct, addresses the stated need and is clinically appropriate	18	18	0	0	100%
4 The follow-up to the request occurs as intended	10	10	0	8	100%
<b>Overall Compliance Score 100%</b>					

### Medication And Vaccination Administration

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The inmate receives medications as prescribed	12	11	1	0	92%
2 Allergies are listed on the MAR or the medication page in the EMR	12	12	0	0	100%
3 If the inmate missed medication doses (3 consecutive or 5 doses within one month), there is evidence of counseling for medication non-compliance	1	1	0	11	100%
4 There is evidence of pneumococcal vaccination or refusal	12	12	0	0	100%
5 There is evidence of influenza vaccination or refusal	9	8	1	3	89%
<b>Overall Compliance Score 96%</b>					

### Intra-System Transfers

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The health record contains a completed Health Information Arrival Transfer Summary (DC4-760A)	18	18	0	0	100%
2 The DC4-760A or a progress note indicates that the inmate's vital signs are taken	18	18	0	0	100%
3 The inmate's medications reflect continuity of care	15	15	0	3	100%
4 The medical record reflects continuity of care for inmate's pending consultations	2	2	0	16	100%
5 For patients with a chronic illness, appointments to the specific clinic(s) took place as scheduled	13	13	0	5	100%
6 Special passes/therapeutic diets are reviewed and continued	7	7	0	11	100%
7 A clinician reviews the health record and DC4-760A within seven (7) days of arrival	18	18	0	0	100%
<b>Overall Compliance Score 100%</b>					

## Periodic Screenings

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The periodic screening encounter is completed within one month of the due date	17	13	4	0	76%
2 All components of the screening are completed and documented as required	17	16	1	0	94%
3 All diagnostic tests are completed prior to the periodic screening encounter	17	11	6	0	65%
4 Referral to a clinician occurs if indicated	4	2	2	13	50%
5 All applicable health education is provided	17	17	0	0	100%
<b>Overall Compliance Score 77%</b>					

### Periodic Screenings Discussion:

Screen 3: In two records, there was no evidence of the fasting plasma glucose and urinalysis. In one record, the urinalysis was not done. In the last three records, there was no evidence of the low-dose CT.

Screen 4: In one record, the patient reported a change in vision but there was no record of a provider follow-up. In the second record, the patient reported a change in hearing and requested a hearing test. There was no evidence of a provider follow-up or auditory testing.

**PREA**

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	The Alleged Sexual Battery Protocol is completed in its entirety	6	6	0	0	100%
2	If the perpetrator is known, orders will be obtained from the clinician to complete the appropriate sexually transmitted infection (STI) testing	0	0	0	6	N/A
3	There is documentation that the alleged victim was provided education on STIs	1	1	0	5	100%
4	Prophylactic treatment and follow-up care for STIs are given as indicated	0	0	0	6	N/A
5	Pregnancy testing is scheduled at the appropriate intervals for inmates capable of becoming pregnant	0	0	0	6	N/A
6	Repeat STI testing is completed as required	0	0	0	6	N/A
7	A mental health referral is submitted following the completion of the medical screening	6	6	0	0	100%
8	The inmate is evaluated by mental health by the next working day	6	6	0	0	100%
9	The inmate receives additional mental health care if he/she asked for continued services or the services are clinically indicated	0	0	0	6	N/A
<b>Overall Compliance Score 100%</b>						

# Dental Review

## Dental Care

		COMPLIANCE SCORE				
SCREEN QUESTION	Total Applicable Records	YES	NO	N/A	Compliance Percentage	
1 Allergies are documented in the EMR	18	18	0	0	100%	
2 There is evidence of a regional head and neck examination completed at required intervals	18	18	0	0	100%	
3 Dental appointments are completed in a timely manner	18	18	0	0	100%	
4 Appropriate radiographs are taken and are of sufficient quality to aid in diagnosis and treatment	14	12	2	4	86%	
5 There is evidence of accurate diagnosis based on a complete dental examination	16	16	0	2	100%	
6 The treatment plan is appropriate for the diagnosis	15	15	0	3	100%	
7 There is evidence of a periodontal screening and recording (PSR) and results are documented in the medical record	12	12	0	6	100%	
8 Dental findings are accurately documented	17	17	0	1	100%	
9 Sick call appointments are completed timely	13	13	0	5	100%	
10 Follow-up appointments for sick call or other routine care are completed timely	6	6	0	12	100%	
11 Consultations or specialty services are completed timely	0	0	0	18	N/A	
12 Consultant's treatment recommendations are incorporated into the treatment plan	0	0	0	18	N/A	
13 There is evidence of informed consent or refusal for extractions and/or endodontic care	15	15	0	3	100%	
14 The use of dental materials including anesthetic agent are accurately documented	17	17	0	1	100%	
15 Applicable patient education for dental services is provided	18	18	0	0	100%	

**Overall Compliance Score 99%**

## Dental Systems

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 The dental program is under the direction and supervision of a licensed dentist and staff are appropriately credentialed and working within their scope of practice	1	0	0	100%
2 Appropriate personal protective equipment is available to staff and worn during treatment	1	0	0	100%
3 The autoclave is tested appropriately and an autoclave log is maintained and up to date.	1	0	0	100%
4 Sharps containers are available and properly utilized	1	0	0	100%
5 Biohazardous waste is properly disposed	1	0	0	100%
6 X-ray fixer, scrap amalgam, amalgam capsules, and radiographs are properly disposed	1	0	0	100%
7 Dental instruments and equipment are properly sterilized	1	0	0	100%
8 Prosthetic devices are appropriately disinfected between patients	1	0	0	100%
9 A perpetual medications log is available, current, complete, and verified quarterly	1	0	0	100%
10 The senior dentist checks and documents the expiration dates of emergency kit drugs on a monthly basis	1	0	0	100%
11 Dental assistants work within the guidelines established by the Board of Dentistry	1	0	0	100%
12 Dental request logs are effectively maintained	1	0	0	100%
13 Necessary equipment is available, adequate and in working order	1	0	0	100%
14 The dental clinic is clean, orderly, adequately lit and contains sufficient space to ensure patient privacy	1	0	0	100%
<b>Overall Compliance Score 100%</b>				

## Mental Health Survey Findings

### Access To Mental Health Services

#### Psychological Emergency

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	There is documentation in the medical record indicating the inmate has declared a mental health emergency	7	7	0	0	100%
2	The emergency is responded to within one hour	7	7	0	0	100%
3	Documentation indicates that the clinician considered the inmate's history of mental health treatment and past suicide attempts	7	5	2	0	71%
4	Documentation indicates the clinician fully assessed suicide risk	6	4	2	1	67%
5	A thorough mental status examination is completed	6	5	1	1	83%
6	Appropriate interventions are made	7	5	2	0	71%
7	The disposition is clinically appropriate	7	5	2	0	71%
8	There is appropriate follow-up as indicated in response to the emergency	3	1	2	4	33%
<b>Compliance Percentage 75%</b>						

#### Psychological Emergency Discussion

Screens 3, 4, 7 & 8: All four findings were based on two psychological emergencies declared by one inmate. The inmate was involved in a crisis intervention episode with correctional officers. During the crisis intervention, the inmate made a suicidal statement and mental health staff assessed the emergency. Instead of completing the mental health emergency evaluation, staff documented a mental status exam, which did not include suicide or mental health history. No provider was contacted and the conclusion by staff was that the intervention failed. The inmate was returned to security. Approximately one hour later, he declared another psychological emergency after a use-of-force incident with security staff. At that time, he was evaluated by mental health staff and determined to be irrational, paranoid, and exhibiting obsessive thoughts with loose associations and tangential speech. He also reported auditory hallucinations and a continued desire to harm himself. The documentation stated he was banging his head and screaming uncontrollably. No provider was notified, and he was released back to security without further intervention. Additionally, there was no documented follow-up by mental health staff after this acute mental health crisis.

**Mental Health Inmate Requests**

SCREEN QUESTION		COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	A copy of the inmate request form is present in the electronic health record	14	14	0	0	100%
2	The request is responded to within the appropriate time frame	14	14	0	0	100%
3	The response to the request is direct, addresses the stated need, and is clinically appropriate	14	14	0	0	100%
4	The follow-up to the request occurs as intended	11	11	0	3	100%
5	Consent for treatment is obtained prior to conducting an interview	13	12	1	1	92%
<b>Compliance Percentage 98%</b>						

**Special Housing**

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	The pre-confinement examination is completed prior to placement in special housing	6	5	1	0	83%
2	Psychotropic medications continue as ordered while inmates are held in special housing	0	0	0	6	N/A
3	A mental status examination (MSE) is completed in the required time frame	6	6	0	0	100%
4	Follow-up MSEs are completed in the required time frame	3	3	0	3	100%
5	MSEs are sufficient to identify problems in adjustment	2	2	0	4	100%
6	Mental health staff responds to identified problems in adjustment	0	0	0	6	N/A
7	Outpatient mental health treatment continues as indicated while the inmate is held in special housing	2	2	0	4	100%
<b>Compliance Percentage 97%</b>						

**Use of Force**

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	A post use-of-force physical examination is present in the record	1	1	0	0	100%
2	The post use-of-force physical examination is completed in its entirety	1	1	0	0	100%
3	There is evidence physical health staff completed a referral to mental health staff	1	1	0	0	100%
4	Documentation indicates mental health staff interviewed the inmate by the next working day to assess whether a higher level of mental health care is needed	1	1	0	0	100%
5	Recent changes in the inmate's condition are addressed	1	1	0	0	100%
6	There is evidence of appropriate follow-up care for identified mental health problems	1	1	0	0	100%
7	A physician's order is documented if force is used to provide medical treatment	0	0	0	1	N/A
<b>Compliance Percentage 100%</b>						

## Outpatient Mental Health Services

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	A consent for treatment is signed prior to treatment and/or renewed annually	14	14	0	0	100%
2	The inmate is interviewed by mental health staff within 14 days of arrival	8	7	1	6	88%
3	Documentation includes an assessment of mental status, the status of mental health problems, and an individualized service plan (ISP) update	8	8	0	6	100%
4	A sex offender screening is completed within 60 days of arrival at the permanent institution if applicable.	3	3	0	11	100%
5	Consent is obtained prior to initiating sex offender treatment	2	2	0	12	100%
6	A clinically appropriate conclusion is reached following the sex offender screening	3	3	0	11	100%
7	A refusal form is completed if the inmate refuses recommended sex offender treatment	1	0	1	13	0%
8	A monthly progress note is completed for inmates undergoing sex offender treatment	0	0	0	14	N/A
9	The Bio-psychosocial (BPSA) is present in the record	14	14	0	0	100%
10	The BPSA is approved by the treatment team within 30 days of initiation of mental health services	14	14	0	0	100%
11	If mental health services are initiated at this institution, the initial ISP is completed within 30 days	2	1	1	12	50%
12	The ISP is individualized and addresses all required components	14	14	0	0	100%
13	ISP problem descriptions include baseline data on the frequency and intensity of symptoms and identify functional limitations	14	14	0	0	100%
14	ISP goals are time limited and written in objective, measurable behavioral terms	14	14	0	0	100%
15	The ISP specifies the type of interventions, frequency of interventions, and staff responsible for providing services	14	14	0	0	100%

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage	
	Total Applicable Records	YES	NO	N/A		
16	The ISP is signed by the inmate and all members of the treatment team	14	13	1	0	93%
17	The ISP is reviewed and revised at least every 180 days	14	14	0	0	100%
18	Identified problems are recorded on the problem list	14	13	1	0	93%
19	The diagnosis is clinically appropriate	14	14	0	0	100%
20	There is evidence the inmate received the mental health services described in the ISP	14	14	0	0	100%
21	Counseling is offered at least once every 60 days	14	14	0	0	100%
22	Case management is provided every 30 days to S3 inmates with psychotic disorders	0	0	0	14	N/A
23	Case management is provided at least every 60 days for inmates without psychotic disorders	14	14	0	0	100%
24	Progress notes are of sufficient detail to follow the course of treatment	14	14	0	0	100%
25	The frequency of clinical contacts is sufficient	14	14	0	0	100%
<b>Compliance Percentage 92%</b>						

***Outpatient Mental Health Services Discussion:***

Screen 7: In one record, sex offender treatment was recommended at the conclusion of the evaluation. However, there was no indication that this treatment was completed or refused by the inmate.

Screen 11: In this record, the psychological grade was increased to S-2 on 10/19/23 and the inmate was added to the mental health caseload. The Individualized Service Plan (ISP) was not created until 2/14/24.

## Institutional Systems Tour

### Medical Area

	SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
		YES	NO	N/A	
1	All triage, examination, and treatment rooms are adequately sized, clean, and organized	1	0	0	100%
2	Hand washing facilities are available	1	0	0	100%
3	Personal protective equipment for universal precautions is available	1	0	0	100%
4	Appropriate emergency medications, equipment and supplies are readily available	1	0	0	100%
5	Medical equipment (e.g. oxygen, IV bags, suture kits, exam light) is easily accessible and adequately maintained	1	0	0	100%
6	Adequate measures are taken to ensure inmate privacy and confidentiality during treatment and examinations	1	0	0	100%
7	Secured storage is utilized for all sharps/needles	1	0	0	100%
8	Eye wash stations are strategically placed throughout the medical unit	1	0	0	100%
9	Biohazardous storage bins for contaminated waste are labeled and placed throughout the medical unit	1	0	0	100%
10	There is a current and complete log for all medical refrigerators	1	0	0	100%

**Compliance Percentage 100%**

***Infirmary***

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 The infirmary is adequately sized, well lit, clean and organized	1	0	0	100%
2 Handwashing facilities are available	1	0	0	100%
3 Infirmary beds are within sight or sound of staff	1	0	0	100%
4 Restrooms are clean, operational and equipped for handicap use	1	0	0	100%
5 Medical isolation room(s) have negative air pressure relative to other parts of the facility	1	0	0	100%
<b>Compliance Percentage 100%</b>				

***Inmate Housing Areas***

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 Living areas, corridors, day rooms and general areas are clean and organized	1	0	0	100%
2 Sinks and toilets are clean and operational	1	0	0	100%
3 Hot and cold water are available for showering and handwashing	1	0	0	100%
4 Over-the-counter medications are available and logged	1	0	0	100%
5 Procedures to assess medical and dental sick call are posted in a conspicuous place	1	0	0	100%
6 First-aid kits are present in housing units	1	0	0	100%
<b>Compliance Percentage 100%</b>				

**Pharmacy**

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 All narcotics are securely stored and a count is conducted every shift	1	0	0	100%
2 Out-of-date controlled substances are segregated and labeled	1	0	0	100%
3 The institution has an established emergency purchasing system to supply out-of-stock or emergency medication	1	0	0	100%
4 The pharmacy area contains adequate space, security, temperature, and lighting for storage of inventories and work activities	1	0	0	100%
5 Expired, misbranded, damaged or adulterated products are removed and separated from active stock no less than quarterly	1	0	0	100%
6 A check of 10 randomly selected drug items in nursing areas reveals no expired medications	1	0	0	100%
7 There is a stock level perpetual inventory sheet for each pharmaceutical storage area and ordering and stock levels are indicated	1	0	0	100%
<b>Compliance Percentage 100%</b>				

**Psychiatric Restraint**

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 All equipment is available and in working order	0	0	1	N/A
2 There is appropriate restraint equipment for the population in all necessary sizes	0	0	1	N/A
3 All interviewed staff are able to provide instructions on the application of restraints	0	0	1	N/A
<b>Compliance Percentage 100%</b>				

**Self-Injury/Suicide Prevention**

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 The suicide/self-harm observation cells in the infirmary and observation cells in the special housing units are appropriately retrofitted and safe	1	0	0	100%
2 A sufficient number of suicide-resistant mattresses, blankets and privacy wraps are available for each certified cell	1	0	0	100%
<b>Compliance Percentage 100%</b>				

**Special Housing**

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 Confinement rounds are conducted weekly	1	0	0	100%
2 A tool is available in the special housing unit to cut down an inmate who has attempted to hang him/herself	1	0	0	100%
<b>Compliance Percentage 100%</b>				

**Mental Health Services**

SCREEN QUESTION	COMPLIANCE SCORE			Compliance Percentage
	YES	NO	N/A	
1 Adequate space is available for the mental health department	1	0	0	100%
2 The inpatient unit environment is safe and conducive to providing mental health care	1	0	0	100%
3 Outpatient group therapy is offered	1	0	0	100%
<b>Compliance Percentage 100%</b>				

## Interview Summaries

### ***INMATE INTERVIEWS***

Twelve inmates agreed to participate in interviews. Overall, inmates were complementary of medical services and indicated that sick call and emergency services were administered timely. Most interviewees endorsed consistency in the availability of prescribed and over-the-counter (OTC) medication. However, almost half reported they had a medical issue that was not being addressed. Inmates reported satisfaction with dental services and indicated that wait times for receiving services were appropriate.

All applicable inmates expressed satisfaction with mental health services and were particularly complementary of the mental health professionals (MHP). They indicated that counseling and case management services were helpful in dealing with psychological symptoms and prison adjustment.

### ***MEDICAL STAFF INTERVIEWS***

Seven members of the medical team participated in interviews. All were knowledgeable about policies and procedures directing the provision of health care at this institution. Several interviewees indicated there was room for improvement in response to medical and mental health emergencies. They suggested additional training for security and healthcare staff including advanced cardiac life support (ACLS) certification for nurses and self-harm prevention techniques for officers in collaboration with the mental health team.

### ***MENTAL HEALTH STAFF INTERVIEWS***

There are two mental health professionals that provide services to inmates at the main unit. The mental health team appeared knowledgeable about the inmates on the caseload, demonstrated good clinical knowledge and were familiar with policies and procedures related to the accessing of mental health care. Staff indicated that they all work well as a team to provide excellent patient care.

### ***SECURITY STAFF INTERVIEWS***

Three security officers participated in interviews. Security staff appeared knowledgeable about policies pertaining to the sick call process, and the accessing of emergency and routine medical, mental, and dental care. They correctly verbalized procedures that pertain to inmates being placed in confinement. However, some felt that additional nursing staff would be helpful to accommodate the needs of the special housing unit.

# Corrective Action and Recommendations

## Physical Health Survey Findings Summary

Chronic Illness Clinics Review	
Assessment Area	Total Number Finding
Cardiovascular Clinic	0
Endocrine Clinic	0
Gastrointestinal Clinic	0
General Chronic Illness Clinics	0
Immunity Clinic	1
Miscellaneous Clinic	1
Neurology Clinic	0
Oncology Clinic	0
Respiratory Clinic	0
Tuberculosis Clinic	0
Episodic Care Review	
Assessment Area	Total Number Finding
Emergency Care	0
Outpatient Infirmary Care	0
Inpatient Infirmary Care	1
Sick Call	0
Other Medical Records Review	
Assessment Area	Total Number Finding
Confinement Medical Review	0
Consultations	1
Medical Inmate Request	0
Medication and Vaccine Administration	0
Intra-System Transfers	0
Periodic Screening	3
PREA Medical Review	0
Female Preventative Health Screening	N/A

<b>Dental Review</b>	
<b>Assessment Area</b>	<b>Total Number Finding</b>
Dental Care	0
Dental System	0
<b>Institutional Tour</b>	
<b>Assessment Area</b>	<b>Total Number Finding</b>
Physical Health Systems	0
<b>Total Findings</b>	
<b>Total</b>	<b>7</b>

### Mental Health Findings Summary

<b>Self-Injury and Suicide Prevention Review</b>	
<b>Assessment Area</b>	<b>Total Number Finding</b>
Self-Injury and Suicide Prevention	N/A
Psychiatric Restraints	N/A
<b>Access to Mental Health Services Review</b>	
<b>Assessment Area</b>	<b>Total Number Finding</b>
Use of Force	0
Psychological Emergencies	5
Mental Health Inmate Request	0
Special Housing	0
<b>Mental Health Services Review</b>	
<b>Assessment Area</b>	<b>Total Number Finding</b>
Inpatient Mental Health Services	N/A
Inpatient Psychotropic Medications	N/A
Outpatient Mental Health Services	2
Outpatient Psychotropic Medications	N/A
Aftercare Planning	N/A

<b>Institutional Tour</b>	
<b>Assessment Area</b>	<b>Total Number Finding</b>
Mental Health Systems	0
<b>Total Findings</b>	
<b>Total</b>	<b>7</b>

All items that scored below 80% or were identified as non-compliant should be addressed through the corrective action process. Within 30 days of receiving the final copy of the CMA’s survey report, institutional staff must develop a corrective action plan (CAP) that addresses the deficiencies outlined in the report and in-service training should be conducted for all applicable findings. The CAP is then submitted to the Office of Health Services (OHS) for approval before it is reviewed and approved by CMA staff. Once approved, institutional staff implement the CAP and work towards correcting the findings.

Usually, four to five months after a CAP is implemented (but no less than three months) the CMA will evaluate the effectiveness of the corrective actions taken. Findings deemed corrected are closed and monitoring is no longer required. Conversely, findings not corrected remain open. Institutional staff will continue to monitor open findings until the next assessment is conducted, typically within three to four months. This process continues until all findings are closed.

## Recommendations

In addition to the needed corrective actions described above and based upon the comprehensive review of the physical, mental health, and administrative services at WAKCI-Main the CMA makes the following recommendations:

- Ensure laboratory and diagnostic testing is completed as required for periodic screening encounters.
- Explore possibility of outside providers to ensure timeliness of optometry appointments and help reduce the current scheduling backlog.
- Establish a system to ensure provider contact, clinician referral, and follow-up are completed for mental health emergencies when required.
- Provide additional training and oversight of procedures related to acute mental health crises.