
SANTA ROSA CORRECTIONAL INSTITUTION



March 7-9, 2023

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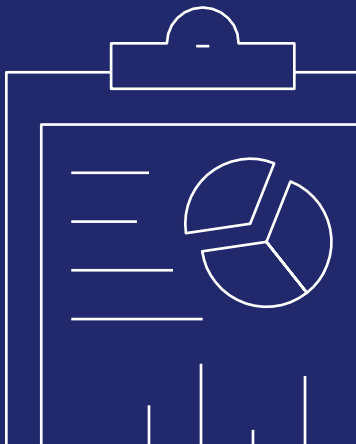
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BACKGROUND AND SCOPE

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.
- 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

Santa Rosa Correctional Institutional (SARCI) 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, 2, and 3. SARCI consists of a Main Unit and Annex.¹

Institutional Potential and Actual Workload

Main Unit Capacity	1614	Current Main Unit Census	1119
Satellite Unit(s) Capacity	N/A	Current Satellite(s) Census	N/A
Total Capacity	1614	Total Current Census	1119

Inmates Assigned to Medical and Mental Health Grades

Medical Grade (M-Grade)	1	2	3	4	5	Impaired
	722	343	28	0	1	4
Mental Health Grade (S-Grade)	Mental Health Outpatient			Mental Health Inpatient		
	1	2	3	4	5	Impaired
	713	101	278	0	0	85

Inmates Assigned to Special Housing Status

Confinement/ Close Management	DC	AC	PM	CM3	CM2	CM1
	N/A	N/A	N/A	359	435	87

¹ Demographic and staffing information were obtained from the Pre-survey Questionnaire.

Medical Unit Staffing

Position	Number of Positions	Number of Vacancies
Physician	1	1
Clinical Associate	3	0
Registered Nurse	12	3
Licensed Practical Nurse	29	19
DON/Nurse Manager	1	0
Dentist	1	0
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	1	0
Psychological Services Director	1	0
Psychologists	1	1
Mental Health Professional	7	0
Aftercare Coordinator	1	0
Activity Technician	N/A	N/A
Mental Health RN	1	0
Mental Health LPN	0	0

SANTA ROSA CORRECTIONAL INSTITUTIONAL SURVEY SUMMARY

The CMA conducted a thorough review of the medical, mental health, and dental systems at SARCI on March 7-9, 2023. 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 Santa Rosa 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			
Physical Health Survey Findings	8	Mental Health Survey Findings	4

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	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	15	2	0	88%
5	Abnormal labs are reviewed and addressed in a timely manner	14	14	0	3	100%
6	There is evidence that patients with cardiovascular disease are prescribed low-dose aspirin if indicated	5	5	0	12	100%
7	Medications appropriate for the diagnosis are prescribed	17	16	1	0	94%
8	Patients are referred to a specialist for more in-depth treatment as indicated	3	3	0	14	100%

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	16	16	0	0	100%
2 There is evidence of an appropriate physical examination	16	16	0	0	100%
3 At each visit there is an evaluation of the control of the disease and the status of the patient	16	16	0	0	100%
4 Annual laboratory work is completed as required	14	14	0	2	100%
5 Abnormal labs are reviewed and addressed in a timely manner	16	16	0	0	100%
6 A dilated fundoscopic examination is completed yearly for diabetic inmates	11	11	0	5	100%
7 Inmates with HgbA1c over 8% are seen at least every 90 days	6	6	0	10	100%
8 Inmates with vascular disease or risk factors for vascular disease are prescribed aspirin	7	7	0	9	100%
9 Inmates with diabetes who are hypertensive or show evidence of (micro)albuminuria are placed on ACE/ARB therapy	8	8	0	8	100%
10 Medications appropriate for the diagnosis are prescribed	16	16	0	0	100%
11 Patients are receiving insulin as prescribed	7	7	0	9	100%
12 Patients are referred to a specialist for more in-depth treatment as indicated	3	3	0	13	100%

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	15	15	0	0	100%
2 There is evidence of an appropriate physical examination	15	15	0	0	100%
3 At each visit there is an evaluation of the control of the disease and the status of the patient	14	14	0	1	100%
4 Annual laboratory work is completed as required	14	14	0	1	100%
5 Abnormal labs are reviewed and addressed in a timely manner	13	13	0	2	100%
6 Medications appropriate for the diagnosis are prescribed	11	11	0	4	100%
7 There is evidence of hepatitis A and/or B vaccination for inmates with hepatitis C and no evidence of past infection	13	11	2	2	85%
8 Abdominal ultrasounds are completed at the required intervals	13	13	0	2	100%
9 Inmates with chronic hepatitis will have liver function tests at the required intervals	13	13	0	2	100%
10 Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	15	N/A
11 Inmates are evaluated and staged appropriately to determine treatment needs	1	1	0	14	100%
12 Hepatitis C treatment is started within the appropriate time frame	1	1	0	14	100%
13 Laboratory testing for inmates undergoing hepatitis treatment is completed at the required intervals	0	0	0	15	N/A
14 Inmates undergoing hepatitis C treatment receive medications as prescribed	1	1	0	14	100%
15 Labs are completed at 12 weeks following the completion of treatment to assess treatment failure	0	0	0	15	N/A

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	13	11	2	0	85%
2	Appropriate patient education is provided	13	13	0	0	100%
3	The inmate is seen at intervals required for their M-grade or at intervals specified by the clinician	13	12	1	0	92%
4	There is evidence that labs are available prior to the clinic visit and are reviewed by the clinician	11	11	0	2	100%

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)	10	10	0	0	100%
2	There is evidence of an appropriate physical examination.	10	10	0	0	100%
3	Laboratory work (CD4, HIV viral load, and CMP) is completed at the required intervals	10	10	0	0	100%
4	Virologic failure is addressed with resistance testing, review of medication adherence and the appropriate change in medication regimens	2	2	0	8	100%
5	A CBC is collected annually	10	10	0	0	100%
6	Abnormal labs are reviewed and addressed in a timely manner	0	0	0	10	N/A
7	Medications appropriate for the diagnosis are prescribed	10	10	0	0	100%
8	The inmate receives HIV medication(s) as prescribed	10	10	0	0	100%
9	At each visit there is an evaluation of the control of the disease and the status of the patient	10	10	0	0	100%
10	There is evidence of hepatitis B vaccination for inmates with no evidence of past infection	10	10	0	0	100%
11	Pregnant patients are provided counseling and education regarding benefits and risks of anti-retroviral therapy. Care is coordinated between the clinician and the treating obstetrician	0	0	0	10	N/A
12	Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	10	N/A

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	9	9	0	0	100%
2 There is evidence of an appropriate physical examination	9	9	0	0	100%
3 Medications appropriate for the diagnosis are prescribed	8	8	0	1	100%
4 At each visit there is an evaluation of the control of the disease and the status of the patient	8	8	0	1	100%
5 Abnormal labs are reviewed and addressed in a timely manner	3	3	0	6	100%
6 Patients are referred to a specialist for more in-depth treatment as indicated	7	7	0	2	100%

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	15	15	0	0	100%
2 There is evidence of an appropriate physical examination	15	15	0	0	100%
3 Annual laboratory work is completed as required	15	15	0	0	100%
4 Abnormal labs are reviewed and addressed in a timely manner	15	15	0	0	100%
5 At each visit there is an evaluation of the control of the disease and the status of the patient	15	15	0	0	100%
6 Medications appropriate for the diagnosis are prescribed	15	15	0	0	100%
7 Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	15	N/A

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	7	7	0	9	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

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	4	4	0	0	100%
2	There is evidence a chest X-ray (CXR) was completed	4	4	0	0	100%
3	There is evidence of initial and ongoing education	4	4	0	0	100%
4	There is evidence of monthly nursing follow-up	4	4	0	0	100%
5	Laboratory testing results are available prior to the clinic visit and any abnormalities reviewed in a timely manner	4	4	0	0	100%
6	AST and ALT testing are repeated as ordered by the clinician	4	4	0	0	100%
7	CMP testing is completed monthly for inmates with HIV, chronic hepatitis or are pregnant	0	0	0	4	N/A
8	Inmates with adverse reaction to LTBI therapy are referred to the clinician and medications are discontinued	1	1	0	3	100%
9	The appropriate medication regimen is prescribed	4	4	0	0	100%
10	The inmate receives TB medications as prescribed	1	1	0	3	100%
11	The Inmate is seen by the clinician at the completion of therapy	1	1	0	3	100%
12	Documentation of the CIC visit includes an appropriate physical examination	4	4	0	0	100%
13	Patients are referred to a specialist for more in-depth treatment as indicated	0	0	0	4	N/A

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	10	10	0	8	100%
2	The emergency assessment is appropriate for the presenting complaint/condition and completed in its entirety	17	17	0	1	100%
3	Vital signs including weight are documented	18	16	2	0	89%
4	There is evidence of appropriate and applicable patient education	16	16	0	2	100%
5	Findings requiring clinician notification are made in accordance with protocols	15	15	0	3	100%
6	Follow-up visits are completed timely	14	13	1	4	93%
7	Clinician's orders from the follow-up visit are completed as required	13	13	0	5	100%
8	Appropriate documentation is completed for patient's requiring transport to a local emergency room	3	3	0	15	100%
9	Inmates returning from an outside hospital are evaluated by the clinician within one business day	4	4	0	14	100%

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	14	14	0	0	100%
2	All orders are received and implemented	14	14	0	0	100%
3	The inmate is evaluated within one hour of being placed on observation status	14	14	0	0	100%
4	Patient evaluations are documented at least once every eight hours	14	14	0	0	100%
5	Weekend and holiday clinician phone rounds are completed and documented as required	7	7	0	7	100%
6	The inmate is discharged within 23 hours or admitted to the infirmary for continued care	13	13	0	1	100%
7	A discharge note containing all of the required information is completed as required	12	12	0	2	100%

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	5	5	0	0	100%
2 All orders are received and implemented	5	5	0	0	100%
3 A thorough nursing assessment is completed within two hours of admission	5	4	1	0	80%
4 A Morse Fall Scale is completed at the required intervals	5	5	0	0	100%
5 Nursing assessments are completed at the required intervals	5	5	0	0	100%
6 Clinician rounds are completed and documented as required	5	5	0	0	100%
7 Weekend and holiday clinician phone rounds are completed and documented as required	2	2	0	3	100%
8 A discharge note containing all of the required information is completed as required	4	2	2	1	50%
9 A discharge summary is completed by the clinician within 72 hours of discharge	4	4	0	1	100%

Inpatient Infirmary Care Discussion:

Screen 8: In the affected records, the discharge note did not contain patient education or discharge instructions.

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	16	16	0	0	100%
2	The inmate is assessed in the appropriate time frame	16	16	0	0	100%
3	The nursing assessment is completed in its entirety	16	16	0	0	100%
4	Complete vital signs including weight are documented	16	16	0	0	100%
5	There is evidence of applicable patient education	16	16	0	0	100%
6	Referrals to a higher level of care are made in accordance with protocols	11	11	0	5	100%
7	Follow-up visits are completed in a timely manner	9	9	0	7	100%
8	Clinician orders from the follow-up visit are completed as required	5	5	0	11	100%

Other Medical Records Review

Confinement Medical Review

SCREEN QUESTION		COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	The Special Housing Health Appraisal is complete and accurate	13	13	0	1	100%
2	All medications are continued as prescribed while in the inmate is held in special housing	8	7	1	6	88%
3	The inmate is seen in chronic illness clinic as regularly scheduled	5	5	0	9	100%
4	All emergencies are responded to within the required time frame	1	1	0	13	100%
5	The response to the emergency is appropriate	1	1	0	13	100%
6	All sick call appointments are triaged and responded to within the required time frame	9	9	0	5	100%
7	New or pending consultations progress as clinically required	2	2	0	12	100%
8	All mental health and/or physical health inmate requests are responded to within the required time frame	9	9	0	5	100%

Consultations

		COMPLIANCE SCORE				
SCREEN QUESTION		Total Applicable Records	YES	NO	N/A	Compliance Percentage
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	14	0	0	100%
3	The consultation is completed in a timely manner as dictated by the clinical needs of the inmate	13	13	0	1	100%
4	The consultation report is reviewed by the clinician in a timely manner	13	13	0	1	100%
5	The consultant's treatment recommendations are incorporated into the treatment plan	13	13	0	1	100%
6	All appointments for medical follow-up and/or diagnostic testing are completed as per the consultant's recommendations	13	13	0	1	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	1	1	0	13	100%
9	There is evidence that the ATP is implemented	1	1	0	13	100%

Medical Inmate Requests

		COMPLIANCE SCORE				
SCREEN QUESTION		Total Applicable Records	YES	NO	N/A	Compliance Percentage
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	18	17	1	0	94%

Medication And Vaccination Administration

SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
	Total Applicable Records	YES	NO	N/A	
1 The inmate receives medications as prescribed	10	9	1	2	90%
2 The Medication Administration Record (MAR) contains accurate allergy information	12	12	0	0	100%
3 Allergy information is complete and accurate for inmates on keep-on-person (KOP) medications	3	3	0	9	100%
4 If the inmate missed medication doses (3 consecutive or 5 doses within one month), there is evidence of counseling for medication non-compliance	2	1	1	10	50%
5 There is evidence of pneumococcal vaccination or refusal	11	8	3	1	73%
6 There is evidence of influenza vaccination or refusal	12	10	2	0	83%
7 There is evidence of COVID-19 vaccination or refusal	8	8	0	4	100%

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	17	1	0	94%
3 The inmate's medications reflect continuity of care	9	9	0	9	100%
4 The medical record reflects continuity of care for inmate's pending consultations	0	0	0	18	N/A
5 For patients with a chronic illness, appointments to the specific clinic(s) took place as scheduled	5	5	0	13	100%
6 Special passes/therapeutic diets are reviewed and continued	4	4	0	14	100%
7 A clinician reviews the health record and DC4-760A within seven (7) days of arrival	18	18	0	0	100%

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	13	13	0	1	100%
2	All components of the screening are completed and documented as required	14	2	12	0	14%
3	All diagnostic tests are completed prior to the periodic screening encounter	14	12	2	0	86%
4	Referral to a clinician occurs if indicated	2	2	0	12	100%
5	All applicable health education is provided	14	14	0	0	100%

Periodic Screenings Discussion:

Screen 2: In all 12 records, vital signs and/or weight was not compared to the previous screenings. Additionally, in one of the records, the tuberculin skin test was not current.

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	11	11	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	11	N/A
3	There is documentation that the alleged victim was provided education on STIs	3	1	2	8	33%
4	Prophylactic treatment and follow-up care for STIs are given as indicated	1	0	1	10	0%
5	Pregnancy testing is scheduled at the appropriate intervals for inmates capable of becoming pregnant	0	0	0	11	N/A
6	Repeat STI testing is completed as required	3	2	1	8	67%
7	A mental health referral is submitted following the completion of the medical screening	11	10	1	0	91%
8	The inmate is evaluated by mental health by the next working day	11	5	6	0	45%
9	The inmate receives additional mental health care if he/she asked for continued services or the services are clinically indicated	3	3	0	8	100%

PREA Discussion:

Screen 8: In the deficient records, the mental health evaluation was not completed within the required time frame.

Dental Review

Dental Care

SCREEN QUESTION		COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	The dental record contains a Dental Health Questionnaire, which is complete, current, and signed by the dentist	9	8	1	0	89%
2	Allergies are documented and correspond to the information in the current Dental Health Questionnaire	9	9	0	0	100%
3	There is evidence of a regional head and neck examination completed at required intervals	9	9	0	0	100%
4	Dental appointments are completed in a timely manner	9	9	0	0	100%
5	Appropriate radiographs are taken and are of sufficient quality to aid in diagnosis and treatment	9	8	1	0	89%
6	There is evidence of accurate diagnosis based on a complete dental examination	8	7	1	1	88%
7	The treatment plan is appropriate for the diagnosis	8	7	1	1	88%
8	There is evidence of a periodontal screening and recording (PSR) and results are documented in the medical record	8	7	1	1	88%
9	Dental findings are accurately documented	8	8	0	1	100%
10	Sick call appointments are completed timely	2	2	0	7	100%
11	Follow-up appointments for sick call or other routine care are completed timely	2	2	0	7	100%
12	Consultations or specialty services are completed timely	1	1	0	8	100%
13	Consultant's treatment recommendations are incorporated into the treatment plan	1	1	0	8	100%
14	There is evidence of informed consent or refusal for extractions and/or endodontic care	7	7	0	2	100%
15	The use of dental materials including anesthetic agent are accurately documented	8	8	0	1	100%
16	Applicable patient education for dental services is provided	9	9	0	0	100%

Dental Systems

SCREEN QUESTION		COMPLIANCE SCORE			
		YES	NO	N/A	Compliance Percentage
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%

Mental Health Survey Findings

Self-Injury and Suicide Prevention

Self-Injury and Suicide Prevention

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	A thorough clinical assessment is completed prior to placement on Self-harm Observation Status (SHOS)	3	3	0	0	100%
2	The nursing evaluation is completed within 2 hours of admission	3	3	0	0	100%
3	Guidelines for SHOS management are observed	0	0	0	3	N/A
4	The inmate is observed at the frequency ordered by the clinician	3	3	0	0	100%
5	Nursing evaluations are completed once per shift	3	3	0	0	100%
6	There is evidence of daily rounds by the attending clinician	3	3	0	0	100%
7	There is evidence of daily counseling provided by mental health staff	3	3	0	0	100%
8	There is evidence of a face-to-face evaluation by the clinician prior to discharge	3	3	0	0	100%
9	There is evidence of adequate post-discharge follow-up by mental health staff	3	3	0	0	100%
10	The Individualized Services Plan (ISP) is revised within 14 days of discharge	3	3	0	0	100%

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	9	9	0	0	100%
2 The emergency is responded to within one hour	9	8	1	0	89%
3 Documentation indicates that the clinician considered the inmate's history of mental health treatment and past suicide attempts	9	9	0	0	100%
4 Documentation indicates the clinician fully assessed suicide risk	9	9	0	0	100%
5 A thorough mental status examination is completed	9	9	0	0	100%
6 Appropriate interventions are made	9	9	0	0	100%
7 The disposition is clinically appropriate	9	9	0	0	100%
8 There is appropriate follow-up as indicated in response to the emergency	3	3	0	6	100%

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	17	17	0	0	100%
2	The request is responded to within the appropriate time frame	17	17	0	0	100%
3	The response to the request is direct, addresses the stated need, and is clinically appropriate	17	12	5	0	71%
4	The follow-up to the request occurs as intended	11	7	4	6	64%
5	Consent for treatment is obtained prior to conducting an interview	12	10	2	5	83%

Mental Health Inmate Requests Discussion:

Screen 3: In three records, responses were only partially answered by staff and did not address the stated need of the inmates. In the remaining two records, inmates reported they were experiencing suicidal ideations. Instead of being immediately evaluated, staff indicated they would be placed on the mental health call-out. One of the inmates later engaged in self-injurious behavior requiring outside hospitalization.

Screen 4: In three records, the inmate was not seen timely. The delays ranged from two weeks to over one month after the request was made. In the remaining record, the inmate was not seen until he was admitted to Self-harm Observation Status (SHOS) following a self-harm attempt requiring medical intervention and outside hospitalization.

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	3	3	0	7	100%
2	Psychotropic medications continue as ordered while inmates are held in special housing	3	3	0	7	100%
3	A mental status examination (MSE) is completed in the required time frame	8	8	0	2	100%
4	Follow-up MSEs are completed in the required time frame	5	5	0	5	100%
5	MSEs are sufficient to identify problems in adjustment	9	9	0	1	100%
6	Mental health staff responds to identified problems in adjustment	4	4	0	6	100%
7	Outpatient mental health treatment continues as indicated while the inmate is held in special housing	9	9	0	1	100%

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	13	12	1	0	92%
2	The post use-of-force physical examination is completed in its entirety	13	13	0	0	100%
3	There is evidence physical health staff completed a referral to mental health staff	13	12	1	0	92%
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	12	10	2	1	83%
5	Recent changes in the inmate's condition are addressed	7	7	0	6	100%
6	There is evidence of appropriate follow-up care for identified mental health problems	10	10	0	3	100%
7	A physician's order is documented if force is used to provide medical treatment	0	0	0	13	N/A

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	12	2	0	86%
2	The inmate is interviewed by mental health staff within 14 days of arrival	13	13	0	1	100%
3	Documentation includes an assessment of mental status, the status of mental health problems, and an individualized service plan (ISP) update	11	11	0	3	100%
4	A sex offender screening is completed within 60 days of arrival at the permanent institution if applicable.	0	0	0	14	N/A
5	Consent is obtained prior to initiating sex offender treatment	0	0	0	14	N/A
6	A clinically appropriate conclusion is reached following the sex offender screening	0	0	0	14	N/A
7	A refusal form is completed if the inmate refuses recommended sex offender treatment	0	0	0	14	N/A
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	13	1	0	93%
10	The BPSA is approved by the treatment team within 30 days of initiation of mental health services	1	1	0	13	100%
11	If mental health services are initiated at this institution, the initial ISP is completed within 30 days	0	0	0	14	N/A
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	13	13	0	1	100%
18	Identified problems are recorded on the problem list	14	14	0	0	100%
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	7	7	0	7	100%
23	Case management is provided at least every 60 days for inmates without psychotic disorders	14	14	0	0	100%
24	The Behavioral Risk Assessment (BRA) is completed within the required time frame for inmates in close management (CM) status	14	14	0	0	100%
25	The BRA is accurate and signed by all members of the treatment team	14	14	0	0	100%
26	The ISP is updated within 14 days of CM placement	11	11	0	3	100%
27	Inmates in CM are receiving 1 hour of group or individual counseling each week	14	13	1	0	93%
28	Mental health staff complete the CM referral assessment within five working days	0	0	0	14	N/A
29	Progress notes are of sufficient detail to follow the course of treatment	14	13	1	0	93%
30	The frequency of clinical contacts is sufficient	14	14	0	0	100%

Outpatient Psychotropic Medication Practices

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	A psychiatric evaluation is completed prior to initially prescribing psychotropic medication	0	0	0	18	N/A
2	If the medical history indicates the need for a current medical health appraisal, one is conducted within two weeks of prescribing psychotropic medication	0	0	0	18	N/A
3	Appropriate initial laboratory tests are ordered.	4	4	0	14	100%
4	Abnormal lab results required for mental health medications are followed up with appropriate treatment and/or referral in a timely manner	3	3	0	15	100%
5	Appropriate follow-up laboratory studies are ordered and conducted as required.	8	8	0	10	100%
6	The medication(s) ordered are appropriate for the symptoms and diagnosis	18	15	3	0	83%
7	Drug Except Requests (DER) are clinically appropriate	1	1	0	17	100%
8	The inmate receives medication(s) as prescribed	18	17	1	0	94%
9	The nurse meets with the inmate if he/she refused psychotropic medication for two consecutive days and referred to the clinician if needed.	7	5	2	11	71%
10	The inmate signs DC4-711A "Refusal of Health Care Services" after three consecutive OR five medication refusals in one month.	4	2	2	14	50%

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
11	Informed consent forms are signed for each class of medication prescribed	18	18	0	0	100%
12	Follow-up sessions are conducted at the appropriate intervals	18	17	1	0	94%
13	Documentation of psychiatric encounters is complete and accurate	18	18	0	0	100%
14	Abnormal Involuntary Movement Scale (AIMS) are completed at the required intervals	8	8	0	10	100%
15	The rationale for the emergency treatment order (ETO) is documented and clinically appropriate.	0	0	0	18	N/A
16	The use of the ETO is accompanied by a physician's order specifying the medication as an ETO.	0	0	0	18	N/A
17	For each administration of the medication, an additional ETO is written.	0	0	0	18	N/A
18	The ETO is administered in the least restrictive manner	0	0	0	18	N/A
19	An emergency referral to a mental health treatment facility MHTF is initiated if involuntary treatment continues beyond 48 hours	0	0	0	18	N/A
20	An emergency referral to a mental health treatment facility MHTF is initiated if involuntary treatment continues beyond 48 hours	0	0	0	18	N/A

Aftercare Planning

	SCREEN QUESTION	COMPLIANCE SCORE				Compliance Percentage
		Total Applicable Records	YES	NO	N/A	
1	Aftercare plans are addressed for inmates within 180 days of End of Sentence (EOS)	12	11	1	0	92%
2	The appropriate consent form is signed by the inmate within 30 days after initiation of the continuity of care plan	9	9	0	3	100%
3	Appropriate patient care summaries are completed within 30 days of EOS	2	2	0	10	100%
4	Staff assist inmates in applying for Social Security benefits 30-45 days prior to EOS	0	0	0	12	N/A

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%

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%

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%

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%

Psychiatric Restraint

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

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%

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%

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%

Interview Summaries

INMATE INTERVIEWS

Twelve inmates agreed to participate in interviews; eleven of these were assigned to close management housing. Inmates seem knowledgeable regarding how to access services but reported flaws with the system. Nine inmates reported difficulty obtaining a sick-call form stating that you had to “beg an officer” or “buy one from an inmate.” Additionally, several inmates reported giving the completed slip to an officer instead of medical staff which may infringe on privacy. Inmates were generally complimentary of mental health services and felt they were helpful. A few complained of long wait times to get onto the dental health prevention plan. However, they reported that once they began services, they were satisfied with the care provided.

Most inmates reported being seen timely for clinic appointments, but half stated they had a medical issue that was not being addressed. Most felt that medications were fairly consistent with the exception of over-the-counter (OTC) medications which they said were difficult to obtain in the restricted housing unit. Seventy-five percent of the inmates interviewed reported difficulty declaring a physical or mental health emergency and felt that it was not responded to appropriately. For example, they indicated they were ignored or told that it’s not a “real” emergency by an officer without being evaluated by medical staff. Several of the inmates expressed fear that they would be retaliated against by security staff for requesting services.

MEDICAL STAFF INTERVIEWS

Three members of the nursing team, as well as clinical and administrative staff participated in interviews with CMA staff and clinical surveyors. All interviewees appeared knowledgeable about procedures related to accessing health services in their areas. The workload between the three seemed to appropriately cover access to care issues and provide adequate coverage of medical needs of the inmates. Nurses were complimentary of the health services administrator and the DON. It was stated that there are good working relationships between medical and mental health staff as well as medical and security staff.

MENTAL HEALTH STAFF INTERVIEWS

Interviews were conducted with three members of the mental health staff. All interviewees indicated they were familiar with policy and procedures for prevention of self-harm and that their training was sufficient. They stated that they participate in multi-disciplinary services team (MDST) meetings. They reported that groups are provided but oftentimes inmates in close management do not participate because their cells are searched when they come out. The mental health clerk was described as “helpful and awesome.”

SECURITY STAFF INTERVIEWS

Three correctional officers were interviewed. Security staff appeared knowledgeable about policies pertaining to the sick call process and the accessing of emergency and routine medical care. They correctly verbalized procedures that pertain to inmates being placed in special housing and did not report any areas of concern.

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	0
Miscellaneous Clinic	0
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	0
Medical Inmate Request	0
Medication and Vaccine Administration	2
Intra-System Transfers	0
Periodic Screening	1
PREA Medical Review	4

Dental Review	
Assessment Area	Total Number Finding
Dental Care	0
Dental System	0
Institutional Tour	
Assessment Area	Total Number Finding
Institutional Tour	0
Total Findings	
Total	8

Mental Health Findings Summary

Self-Injury and Suicide Prevention Review	
Assessment Area	Total Number Finding
Self-Injury and Suicide Prevention	0
Psychiatric Restraints	N/A
Access to Mental Health Services Review	
Assessment Area	Total Number Finding
Use of Force	0
Psychological Emergencies	0
Mental Health Inmate Request	2
Special Housing	0
Mental Health Services Review	
Assessment Area	Total Number Finding
Inpatient Mental Health Services	N/A
Inpatient Psychotropic Medications	N/A
Outpatient Mental Health Services	0
Outpatient Psychotropic Medications	2
Aftercare Planning	0
Total Findings	
Total	4

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 SARCI, the CMA makes the following recommendations:

- Review documentation requirements and policies pertaining to periodic screenings.
- Ensure that inmates are offered counseling and education for missed medication to encourage medication compliance.
- Ensure that inmates in close management have access to care by providing sick call and inmate request forms for them and establishing a process for distribution and pick up of those requests by medical staff.