



**NORTH KERN STATE PRISON
MEDICAL INSPECTION RESULTS
BUREAU OF AUDITS AND INVESTIGATIONS**

**OFFICE OF THE
INSPECTOR GENERAL**

**DAVID R. SHAW
INSPECTOR GENERAL**

STATE OF CALIFORNIA

March 2010



March 3, 2010

J. Clark Kelso, Receiver
California Prison Health Care Receivership Corporation
501 J Street, Suite 100
Sacramento, California 95814

Dear Mr. Kelso:

Enclosed is the Office of the Inspector General's final report on its inspection of medical care delivery at North Kern State Prison. The purpose of our inspection was to evaluate and monitor the progress of medical care delivery to inmates at the institution.

The report finds that based on our weighted scoring system encompassing 17 components, North Kern State Prison received 72.2 percent of the total weighted points possible. The report contains a detailed breakdown of the institution's score in each of the 17 relevant categories, including the results of all 136 questions. A copy of the report can also be found on our website at www.oig.ca.gov.

Thank you for the courtesy and cooperation extended to my staff during the inspection. Please call Nancy Faszer, Deputy Inspector General, In-Charge, at (916) 830-3600 if you have any questions.

Sincerely,

A handwritten signature in blue ink, appearing to read "David R. Shaw", is written over a light blue horizontal line.

David R. Shaw
Inspector General

Enclosure

cc: Theresa Kimura-Yip, Deputy Director, Policy and Program Compliance Branch
Ashraf Youssef, M.D., Health Care Manager, North Kern State Prison
Steve Trevino, Warden (A), North Kern State Prison
Matthew Cate, Secretary, California Department of Corrections and Rehabilitation

Contents

- Executive Summary 1**
- Introduction 3**
 - Background 3**
 - About the Institution 4**
 - Objectives, Scope, and Methodology 4**
- Medical Inspection Results 7**
- California Prison Health Care Receivership
Corporation's Response 28**

Executive Summary

An April 2001 class action lawsuit filed by inmates represented by the Prison Law Office alleged that the state provided constitutionally inadequate medical care at California state prisons in violation of inmates' constitutional rights. And, in October 2005, the U.S. Northern District Court of California declared that California's delivery system for prison medical care was "broken beyond repair" and still not meeting constitutional standards. As a result, the federal court imposed a receivership to raise the delivery of medical care to constitutional standards. To evaluate and monitor the progress of medical care delivery to inmates, the receiver requested, and the Office of the Inspector General (OIG) agreed, to establish an objective, clinically appropriate, and metric-oriented medical program to annually inspect the delivery of medical care at each state prison.

| |
|---|
| <p>Overall Score</p> <p>72.2%</p> |
|---|

In November 2009, we inspected North Kern State Prison (NKSP). Our medical inspection encompassed 17 components of medical delivery and comprised 136 questions. The questions are weighted based on their importance to the delivery of medical care to inmates. NKSP received 72.2 percent of the total weighted points possible.

The following summary table lists the components we inspected in order of importance (highest to lowest), with the institution's score and the definitions of each inspection component. The detailed medical inspection results, with the questions for each component, begin on page 7 of this report. While we are committed to helping each institution achieve a higher level of medical care, it is not our intent to determine the percentage score needed by an institution to meet constitutional standards—that is a legal matter for the federal court to determine.

Executive Summary Table

| Component | Weighted Score | Definition |
|---------------------------|----------------|---|
| <i>Chronic Care</i> | 58.9% | Examines how well the prison provided care and medication to inmates with specific chronic care conditions, which are those that affect (or have the potential to affect) an inmate's functioning and long-term prognosis for more than six months. Our inspection tests the following chronic care conditions: asthma, Coumadin therapy, diabetes, HIV (Human Immunodeficiency Virus), and hypertension. |
| <i>Clinical Services</i> | 64.0% | Evaluates the inmate's access to primary health care services and focuses on inmates who recently received services from any of the prison's facility or administrative segregation unit clinics. This component evaluates sick call processes (doctor or nurse line), medication management, and nursing. |
| <i>Health Screening</i> | 71.9% | Focuses on the prison's process for screening new inmates upon arrival to the institution for health care conditions that require treatment and monitoring, as well as ensuring inmates' continuity of care. |
| <i>Specialty Services</i> | 60.7% | Focuses on the prison's process for approving, denying, and scheduling services that are outside the specialties of the prison's medical staff. Common examples of these services include physical therapy, oncology services, podiatry consultations, and neurology services. |
| <i>Urgent Services</i> | 79.8% | Addresses the care provided by the institution to inmates before and after they were sent to a community hospital. |
| <i>Emergency Services</i> | 81.0% | Examines how well the prison responded to medical emergencies. Specifically, we focused on "man down" or "woman down" situations. Further, questions determine the adequacy of medical and staff response to a "man down" or "woman down" emergency drill. |

| Component | Weighted Score | Definition |
|---|-----------------------|--|
| <i>Prenatal Care/Childbirth/Post-delivery</i> | N/A | Focuses on the prenatal and post-delivery medical care provided to pregnant inmates. Not applicable at men's institutions. |
| <i>Diagnostic Services</i> | 67.9% | Addresses the timeliness of radiology (x-ray) and laboratory services and whether the prison followed up on clinically significant results. |
| <i>Access to Health Care Information</i> | 72.5% | Addresses the prison's effectiveness in filing, storing, and retrieving medical records and medical-related information. |
| <i>Outpatient Housing Unit</i> | N/A | Determines whether the prison followed department policies and procedures when placing inmates in the outpatient housing unit. This component also evaluates whether the placement provided the inmate with adequate care and whether the physician's plan addressed the placement diagnosis. |
| <i>Internal Reviews</i> | 85.0% | Focuses on the frequency of meetings held by the prison's Quality Management Committee (QMC) and Emergency Medical Response Review Committee (EMRRC) and whether key staff attended the meetings, the number of medical appeals filed, and the prison's death review process. |
| <i>Inmate Transfers</i> | 95.8% | Focuses on inmates pending transfer to determine whether the sending institution documented medication and medical conditions to assist the receiving institution in providing continuity of care. |
| <i>Clinic Operations</i> | 90.0% | Addresses the general operational aspects of the prison's facility clinics. Generally, the questions in this component relate to the overall cleanliness of the clinics, privacy afforded to inmates during nonemergency visits, use of priority ducats (slip of paper the inmate carries for scheduled medical appointments), and availability of health care request forms. |
| <i>Preventive Services</i> | 55.0% | Focuses on inmate cancer screening, tuberculosis evaluation, and influenza immunizations. |
| <i>Pharmacy Services</i> | 93.1% | Addresses whether the prison's pharmacy complies with various operational policies, such as conducting periodic inventory counts, maintaining the currency of medications in its crash carts and after-hours medication supplies, and having valid permits. In addition, this component also addresses whether the pharmacy has an effective process for screening medication orders for potential adverse reactions/interactions. |
| <i>Other Services</i> | 50.0% | Examines additional areas that are not captured in the other components. The areas evaluated in this component include the prison's provision of therapeutic diets, its handling of inmates who display poor hygiene, and the availability of the current version of the department's Inmate Medical Services Policies and Procedures. |
| <i>Inmate Hunger Strikes</i> | N/A | North Kern State Prison did not have any inmates on a hunger strike for at least three days over the past year. Because our sample criteria was not met, we did not test this program. |
| <i>Chemical Agent Contraindications</i> | 100.0% | Addresses the prison's process of handling inmates who may be predisposed to an adverse outcome from calculated uses of force (cell extractions) involving Oleoresin Capsicum (OC), which is commonly referred to as "pepper spray." For example, this might occur if the inmate has asthma. |
| <i>Staffing Levels and Training</i> | 95.0% | Examines the prison's medical staffing levels and training provided. |
| <i>Nursing Policy</i> | 71.4% | Determines whether the prison maintains written policies and procedures for the safe and effective provision of quality nursing care. The questions in this component also determine whether nursing staff review their duty statements and whether supervisors periodically review the work of nurses to ensure they properly follow established nursing protocols. |
| Overall Score | 72.2% | |

Introduction

Under the authority of California Penal Code section 6126, which assigns the Office of the Inspector General (OIG) responsibility for oversight of the California Department of Corrections and Rehabilitation, and at the request of the federal receiver, the OIG developed a comprehensive inspection program to evaluate the delivery of medical care at each of the California Department of Corrections and Rehabilitation's 33 adult prisons.

In November 2009, we inspected North Kern State Prison (NKSP). Our medical inspection encompassed 17 components of medical delivery and comprised 136 questions. To help readers understand the medical risk associated with certain components of medical delivery—which pose a greater risk to an inmate-patient—we developed a weighting system and assigned points to each question. Consequently, we assigned more total points to more critical components, such as chronic care, clinical services, and health screening. We assigned fewer total points to less critical components, such as inmate hunger strikes, staffing levels and training, and chemical agent contraindications. (For a detailed description of the weighting system, see Objectives, Scope, and Methodology on the next page.)

Background

In April 2001, inmates represented by the Prison Law Office filed a class action lawsuit, known as *Plata v. Schwarzenegger*. The lawsuit alleged that the state provided constitutionally inadequate medical care at California state prisons in violation of inmates' constitutional rights. In June 2002, the parties entered into a Stipulation for Injunctive Relief, and the state agreed to implement over several years comprehensive new medical care policies and procedures at all institutions.

Nevertheless, the U.S. Northern District Court of California declared in October 2005 that California's delivery system for prison medical care was "broken beyond repair" and still not meeting constitutional standards. Thus, the federal court imposed a receivership to raise the delivery of medical care to constitutional standards. In essence, the court ordered the receiver to manage the state's delivery of medical care and restructure day-to-day operations to develop and sustain a system that provides constitutionally adequate medical care to inmates. The court stated that it would remove the receiver and return control to the state once the system is stable and provides for constitutionally adequate medical care.

To evaluate and monitor the progress of medical care delivery to inmates, the receiver requested that the OIG establish an objective, clinically appropriate, and metric-oriented medical inspection program. Toward that end, the Inspector General agreed to inspect annually each state prison until the state's delivery of medical care to inmates meets constitutional standards. We are committed to helping each institution achieve a higher level of medical care, but it is up to the federal court to determine the percentage score necessary for an institution to meet constitutional standards.

About the Institution

The primary mission of North Kern State Prison (NKSP) is to function as a reception center for the processing of incoming inmates from some southern and northern California counties. NKSP has a general population medium custody facility and a minimum support facility. The general population portion of the institution focuses on providing educational opportunities to aid inmates with seeking employment upon their release from prison. As of February 3, 2010, the California Department of Corrections and Rehabilitation reported that NKSP had custody over 5,462 male inmates, of which 4,700 are reception center inmates. NKSP operates five medical clinics where staff handle non-urgent requests for medical services. NKSP also treats inmates needing urgent or emergency care in its triage and treatment area (TTA). According to information provided by the institution, NKSP's vacancy rate among licensed medical managers, primary care providers, supervisors, and rank and file nurses was 14.3 percent.

Ashraf Youssef, M.D., serves as the prison's health care manager and chief medical officer, and is responsible for NKSP's entire health care program.

Objectives, Scope, and Methodology

In designing the medical inspection program, we reviewed the California Department of Corrections and Rehabilitation's policies and procedures, relevant court orders, guidelines developed by the department's Quality Medical Assurance Team, and guidance developed by the American Correctional Association. We also reviewed professional literature on correctional medical care, consulted with clinical experts, and met with stakeholders from the court, the receiver's office, the department, and the Prison Law Office to discuss the nature and scope of the inspection program. Based on input from these stakeholders, we developed a medical inspection program that evaluates medical care delivery. Within each of 20 components, we created "yes" or "no" questions designed to gauge performance.

To make the inspection results meaningful to both a medical expert and a lay reader, we worked with clinical experts to create a weighting system that factors the relative importance of each component compared to other components. Further, the program considers the relative importance of each question within a component to the other questions in that component. This weighting ensures that more critical components—such as those that pose the greatest medical risk to the inmate-patient—are given more weight compared to those considered less serious. For example, we assign a high number of possible points to the chronic care component because we consider this the most serious of all the components. Conversely, we assign very few points to the nursing policy component because we consider this the least serious inspection component.

Each inspection question is weighted and scored. The score is derived from the percentage of "yes" answers for each question from all items sampled. We then multiply the percentage of "yes" answers within a given question by the question's weight to arrive at a score. The following example shows how this scoring system works.

Example Question: Institution X

| | Answers | | | | Weighting Points | | | N/A | Unk |
|-----------------------------------|---------|----|----------|-------|------------------|----------|---------|-----|-----|
| | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| Is the clinical history adequate? | 40 | 10 | 50 | 80% | 20 | 16 | 80.0% | 0 | 0 |

If the institution receives 40 “yes” answers and 10 “no” answers, the percentage of “yes” answers to this question equals 80 percent. We calculate the number of points the institution would receive by multiplying the “yes” percent of 80 by the number of possible points for this question, which is 20, to arrive at 16 points.

To arrive at the total score, we add the points received for each question and then for each program component. Finally, we calculate the institution’s overall score by dividing the sum of the points received by the sum of the points possible. We do not include in the institution’s overall score the weight for questions that are not applicable or, in some cases, where a lack of documentation would result in numerous “no” answers for one deviation from policy (unknown). For instance, an institution may not be able to provide documentation that its Emergency Medical Response Review Committee met for a particular month. Therefore, when we evaluate whether meeting minutes document monthly meetings for a particular month, the institution would receive a “no” answer for that question. However, when we evaluate whether the meeting minutes document the warden’s attendance at the meeting, the answer would be “unknown” so that the institution’s score is not penalized twice for the same reason, not documenting the meeting.

To evaluate the institution’s delivery of medical care, we obtained various electronic data files maintained by the institution for inmate medical scheduling and tracking, pharmacy, and census data. We used these electronic data files only to identify random samples of inmates receiving or requiring specific medical services. We then reviewed the medical file for each inmate in our sample. We did not rely on the medical care information contained in these electronic data files.

Our medical inspection at NKSP encompassed 17 of the 20 components of medical delivery. Three of the components were not applicable during the period inspected. In total, we reviewed 160 inmate medical files, which are referred to as unit health records. In addition, we reviewed staffing level reports, medical appeals summaries, nursing policies and procedures, summaries of medical drills and emergencies, minutes from Quality Management Committee and Emergency Medical Response Review Committee hearings, and assorted manual logs or tracking worksheets related to medical care delivery. We also conducted a live medical emergency drill and evaluated the adequacy of the responding staff’s actions. Finally, we interviewed medical and custody staff members about the delivery of medical care to inmates, and we observed day-to-day medical delivery at the institution.

We do not test the care provided in the licensed hospitals or correctional treatment centers because they are subject to inspections and oversight by other regulatory agencies.

Consistent with our agreement with the receiver, our report only addresses the conditions found related to the medical care criteria. We do not discuss the causes of noncompliance, nor do we make specific recommendations in this report. However, if we learn of an inmate-patient who needs immediate care, we notify the health care manager and request a status report. Moreover, if we learn of significant

departures from community standards, we may report such departures to the institution’s health care manager or the receiver’s office. Because these matters involve confidential medical information protected by state and federal privacy laws, specific details related to these cases are not included in our report.

For ease of reference, following is a table of abbreviations used in the remainder of this report.

| Abbreviations used in this report | |
|--|--|
| AED | Automatic External Defibrillator |
| BLS | Basic Life Support |
| CMO | Chief Medical Officer |
| CTC | Correctional Treatment Center |
| CTQ | Confined to Quarters |
| ERRC | Emergency Response Review Committee |
| FTF | Face-to-Face |
| GACH | General Acute Care Hospital |
| HCM | Health Care Manager |
| INH | Isoniazid (antituberculous medication) |
| LVN | Licensed Vocational Nurse |
| MOD | Medical Officer of the Day |
| OB | Obstetrician |
| OC | Oleoresin Capsicum (pepper spray) |
| OHU | Outpatient Housing Unit |
| OIG | Office of the Inspector General |
| PCP | Primary Care Provider |
| QMC | Quality Management Committee |
| RN | Registered Nurse |
| SOAPE | Subjective, Objective, Assessment, Plan, Education |
| SRN | Supervising Registered Nurse |
| TB | Tuberculosis |
| TTA | Triage and Treatment Area |
| UHR | Unit Health Record |
| UM | Utilization Management |



MEDICAL INSPECTION RESULTS

11/16/2009 – 11/19/2009

Overall Score:
72.2%

| Component | Page | Answers | | | | Weighting Points | | | Questions Not Answered | |
|--|------|------------|------------|-------------|--------------|------------------|-----------------|--------------|------------------------|-----------|
| | | Yes | No | Yes + No | Yes % | Points Possible | Points Received | Score % | Not Applicable | Unknown |
| <i>Chronic Care</i> | 8 | 129 | 87 | 216 | 59.7% | 133 | 78.3 | 58.9% | 3 | 6 |
| <i>Clinical Services</i> | 9 | 185 | 86 | 271 | 68.3% | 95 | 60.8 | 64.0% | 49 | 7 |
| <i>Health Screening</i> | 11 | 177 | 46 | 223 | 79.4% | 69 | 49.6 | 71.9% | 92 | 5 |
| <i>Specialty Services</i> | 13 | 60 | 28 | 88 | 68.2% | 71 | 43.1 | 60.7% | 56 | 0 |
| <i>Urgent Services</i> | 14 | 111 | 32 | 143 | 77.6% | 52 | 41.5 | 79.8% | 55 | 2 |
| <i>Emergency Services</i> | 15 | 26 | 5 | 31 | 83.9% | 58 | 47.0 | 81.0% | 2 | 1 |
| <i>Diagnostic Services</i> | 17 | 39 | 14 | 53 | 73.6% | 52 | 35.3 | 67.9% | 7 | 0 |
| <i>Access to Health Care Information</i> | 18 | 5 | 3 | 8 | 62.5% | 51 | 37.0 | 72.5% | 0 | 0 |
| <i>Internal Reviews</i> | 19 | 32 | 2 | 34 | 94.1% | 40 | 34.0 | 85.0% | 0 | 0 |
| <i>Inmate Transfers</i> | 20 | 20 | 1 | 21 | 95.2% | 38 | 36.4 | 95.8% | 4 | 0 |
| <i>Clinic Operations</i> | 21 | 23 | 4 | 27 | 85.2% | 33 | 29.7 | 90.0% | 0 | 0 |
| <i>Preventive Services</i> | 22 | 12 | 14 | 26 | 46.2% | 30 | 16.5 | 55.0% | 0 | 0 |
| <i>Pharmacy Services</i> | 23 | 8 | 1 | 9 | 88.9% | 29 | 27.0 | 93.1% | 0 | 0 |
| <i>Other Services</i> | 24 | 5 | 2 | 7 | 71.4% | 11 | 5.5 | 50.0% | 1 | 0 |
| <i>Chemical Agent Contraindications</i> | 25 | 15 | 0 | 15 | 100.0% | 17 | 17.0 | 100.0% | 5 | 0 |
| <i>Staffing Levels and Training</i> | 26 | 7 | 1 | 8 | 87.5% | 16 | 15.2 | 95.0% | 1 | 0 |
| <i>Nursing Policy</i> | 27 | 10 | 5 | 15 | 66.7% | 14 | 10.0 | 71.4% | 0 | 0 |
| Totals | | 864 | 331 | 1195 | 72.3% | 809 | 583.9 | 72.2% | 275 | 21 |

| Reference Number | Chronic Care | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|------------|-----------|------------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 03.076 | Was the inmate's most recent chronic care visit within the time frame required by the degree of control of the inmate's condition based on his or her prior visit? | 15 | 10 | 25 | 60.0% | 10 | 6.0 | 60.0% | 0 | 0 |
| 03.077 | Were key elements on Forms 7419 (Chronic Care Follow-Up Visit) and 7392 (Primary Care Flow Sheet) filled out completely for the inmate's two most recent visits? | 8 | 17 | 25 | 32.0% | 10 | 3.2 | 32.0% | 0 | 0 |
| 03.082 | Did the institution document that it provided the inmate with health care education? | 17 | 8 | 25 | 68.0% | 12 | 8.2 | 68.0% | 0 | 0 |
| 03.175 | Did the inmate receive his or her prescribed chronic care medications during the most recent three-month period or did the institution follow departmental policy if the inmate refused to pick up or show up for his or her medications? | 6 | 19 | 25 | 24.0% | 18 | 4.3 | 24.0% | 0 | 0 |
| 03.235 | Is the clinical history adequate? | 14 | 10 | 24 | 58.3% | 18 | 10.5 | 58.3% | 1 | 0 |
| 03.236 | Is the focused clinical examination adequate? | 15 | 7 | 22 | 68.2% | 19 | 13.0 | 68.2% | 1 | 2 |
| 03.237 | Is the assessment adequate? | 15 | 7 | 22 | 68.2% | 19 | 13.0 | 68.2% | 1 | 2 |
| 03.238 | Is the plan adequate and consistent with the degree of control based on the chronic care program intervention and follow up requirements? | 15 | 8 | 23 | 65.2% | 19 | 12.4 | 65.2% | 0 | 2 |
| 03.262 | Is the inmate's Problem List complete and filed accurately in the inmate's unit health record (UHR)? | 24 | 1 | 25 | 96.0% | 8 | 7.7 | 96.0% | 0 | 0 |
| Components Subtotals: | | 129 | 87 | 216 | 59.7% | 133 | 78.3 | 58.9% | 3 | 6 |

| Reference Number | Clinical Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------|---|---------|----|----------|--------|------------------|----------|---------|-----|-----|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 01.024 | RN FTF Documentation: Did the inmate's request for health care get reviewed the same day it was received? | 12 | 13 | 25 | 48.0% | 4 | 1.9 | 48.0% | 0 | 0 |
| 01.025 | RN FTF Documentation: Did the RN complete the face-to-face (FTF) triage within one (1) business day after the Form 7362 was reviewed? | 11 | 14 | 25 | 44.0% | 6 | 2.6 | 44.0% | 0 | 0 |
| 01.246 | Did documentation indicate that the RN reviewed all of the inmate's complaints listed on Form 7362 (Health Care Services Request Form)? | 20 | 5 | 25 | 80.0% | 5 | 4.0 | 80.0% | 0 | 0 |
| 01.157 | RN FTF Documentation: Did the RN's subjective note address the nature and history of the inmates primary complaint? | 10 | 15 | 25 | 40.0% | 7 | 2.8 | 40.0% | 0 | 0 |
| 01.159 | RN FTF Documentation: Did the RN's objective note include vital signs and a focused physical examination, and did it adequately address the problems noted in the subjective note? | 21 | 4 | 25 | 84.0% | 6 | 5.0 | 84.0% | 0 | 0 |
| 01.244 | RN FTF Documentation: Did the RN's objective note include allergies, weight, current medication, and where appropriate, medication compliance? | 20 | 5 | 25 | 80.0% | 3 | 2.4 | 80.0% | 0 | 0 |
| 01.158 | RN FTF Documentation: Did the RN's assessment provide conclusions based on subjective and objective data, were the conclusions formulated as patient problems, and did it contain applicable nursing diagnoses? | 18 | 7 | 25 | 72.0% | 6 | 4.3 | 72.0% | 0 | 0 |
| 01.162 | RN FTF Documentation: Did the RN's plan include an adequate strategy to address the problems identified during the FTF triage? | 23 | 2 | 25 | 92.0% | 7 | 6.4 | 92.0% | 0 | 0 |
| 01.163 | RN FTF Documentation: Did the RN's education/instruction adequately address the problems identified during the FTF triage? | 24 | 1 | 25 | 96.0% | 5 | 4.8 | 96.0% | 0 | 0 |
| 01.027 | If the RN determined a referral to a primary care physician (PCP) was necessary, was the inmate seen within the timelines specified by the RN during the FTF triage? | 4 | 6 | 10 | 40.0% | 8 | 3.2 | 40.0% | 15 | 0 |
| 01.247 | Sick Call Follow-up: If the provider ordered a follow-up sick call appointment, did it take place within the time frame specified? | 1 | 0 | 1 | 100.0% | 7 | 7.0 | 100.0% | 24 | 0 |

| Reference Number | Clinical Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|------------|-----------|------------|--------------|------------------|-------------|--------------|-----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 01.124 | Sick Call Medication: Did the institution administer or deliver prescription medications (new orders) to the inmate within specified time frames? | 15 | 8 | 23 | 65.2% | 6 | 3.9 | 65.2% | 2 | 0 |
| 15.234 | Are clinic response bags audited daily and do they contain essential items? | 1 | 1 | 2 | 50.0% | 5 | 2.5 | 50.0% | 0 | 0 |
| 21.278 | For inmates seen in the TTA, was there adequate prior management of pre-existing medical conditions related to the reason for the TTA visit? | 5 | 5 | 10 | 50.0% | 20 | 10.0 | 50.0% | 8 | 7 |
| Components Subtotals: | | 185 | 86 | 271 | 68.3% | 95 | 60.8 | 64.0% | 49 | 7 |

| Reference Number | Health Screening | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------|--|---------|----|----------|--------|------------------|----------|---------|-----|-----|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 02.016 | Did the institution complete the initial health screening on the same day the inmate arrived at the institution? | 20 | 0 | 20 | 100.0% | 9 | 9.0 | 100.0% | 0 | 0 |
| 02.017 | If yes was answered to any of the questions on the initial health screening form(s), did the RN provide an assessment and disposition on the date of arrival? | 10 | 0 | 10 | 100.0% | 8 | 8.0 | 100.0% | 10 | 0 |
| 02.018 | If, during the assessment, the RN referred the inmate to a clinician, was the inmate seen within the time frame? | 4 | 0 | 4 | 100.0% | 8 | 8.0 | 100.0% | 16 | 0 |
| 02.021 | Reception center: Did the inmate receive a complete history and physical by a Nurse Practitioner, Physician Assistant, or a Physician and Surgeon within 14 calendar days of arrival? | 20 | 0 | 20 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 02.211 | Reception center history and physical: Is the "History of Present Illness" section of Form 7206 (History and Physical Examination) complete and appropriate to the chief complaint(s), if any? | 3 | 4 | 7 | 42.9% | 2 | 0.9 | 42.9% | 9 | 4 |
| 02.212 | Reception center history and physical: Are the "Past History" and "Past Medical History" sections of Form 7206 (History and Physical Examination) complete? | 16 | 4 | 20 | 80.0% | 2 | 1.6 | 80.0% | 0 | 0 |
| 02.215 | Reception center history and physical: Is the "Review Systems" section of Form 7206 (History and Physical Examination) complete? | 16 | 4 | 20 | 80.0% | 2 | 1.6 | 80.0% | 0 | 0 |
| 02.213 | Reception center history and physical: Is the "Family and Social History" section of Form 7206 (History and Physical Examination) complete? | 13 | 7 | 20 | 65.0% | 2 | 1.3 | 65.0% | 0 | 0 |
| 02.216 | Reception center history and physical: Is the "Physical Examination" section of Form 7206 (History and Physical Examination) complete and appropriate to the history and review of systems? | 18 | 2 | 20 | 90.0% | 2 | 1.8 | 90.0% | 0 | 0 |
| 02.217 | Reception center history and physical: Is the "Diagnosis/Impression" section of Form 7206 (History and Physical Examination) appropriate to the history and physical examination? | 13 | 6 | 19 | 68.4% | 2 | 1.4 | 68.4% | 1 | 0 |

| Reference Number | Health Screening | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|------------|-----------|------------|--------------|------------------|-------------|--------------|-----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 02.218 | Reception center history and physical: Is the "Plan of Action" section of Form 7206 (History and Physical Examination) appropriate to the "Diagnosis/Impression" section of the form? | 7 | 2 | 9 | 77.8% | 2 | 1.6 | 77.8% | 10 | 1 |
| 02.219 | Reception center history and physical: Has required intake testing been ordered? | 17 | 3 | 20 | 85.0% | 4 | 3.4 | 85.0% | 0 | 0 |
| 02.020 | Did the LVN/RN adequately document the tuberculin test or a review of signs and symptoms if the inmate had a previous positive tuberculin test? | 20 | 0 | 20 | 100.0% | 6 | 6.0 | 100.0% | 0 | 0 |
| 02.015 | Was a review of symptoms completed if the inmate's tuberculin test was positive, and were the results reviewed by the infection control nurse? | 0 | 5 | 5 | 0.0% | 7 | 0.0 | 0.0% | 15 | 0 |
| 02.022 | Reception center: If the primary care provider (PCP) indicated the inmate required a special diet, did the PCP refer the inmate to a registered dietician? | 0 | 0 | 0 | 0.0% | 0 | 0.0 | 0.0% | 20 | 0 |
| 02.128 | If the inmate had an existing medication order upon arrival at the institution, did the inmate receive the medications by the next calendar day, or did a physician explain why the medications were not to be continued? | 0 | 9 | 9 | 0.0% | 8 | 0.0 | 0.0% | 11 | 0 |
| Components Subtotals: | | 177 | 46 | 223 | 79.4% | 69 | 49.6 | 71.9% | 92 | 5 |

| Reference Number | Specialty Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|--|-----------|-----------|-----------|--------------|------------------|-------------|--------------|-----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 07.037 | Did the institution approve or deny the PCP's request for specialty services within the specified time frames? | 17 | 5 | 22 | 77.3% | 8 | 6.2 | 77.3% | 0 | 0 |
| 07.038 | Did the PCP see the inmate between the date the PCP ordered the service and the date the inmate received it, in accordance with specified time frames? | 1 | 5 | 6 | 16.7% | 8 | 1.3 | 16.7% | 16 | 0 |
| 07.035 | Did the inmate receive the specialty service within specified time frames? | 11 | 6 | 17 | 64.7% | 9 | 5.8 | 64.7% | 5 | 0 |
| 07.090 | Physical therapy services: Did the physical therapist assess the inmate and document the treatment plan and treatment provided to the inmate? | 2 | 0 | 2 | 100.0% | 8 | 8.0 | 100.0% | 20 | 0 |
| 07.043 | Did the PCP review the consultant's report and see the inmate for a follow-up appointment after the specialty services consultation within specified time frames? | 4 | 9 | 13 | 30.8% | 9 | 2.8 | 30.8% | 9 | 0 |
| 07.260 | Was the institution's denial of the PCP's request for specialty services consistent with the "medical necessity" requirement? | 5 | 0 | 5 | 100.0% | 9 | 9.0 | 100.0% | 0 | 0 |
| 07.259 | Was there adequate documentation of the reason for the denial of specialty services? | 4 | 1 | 5 | 80.0% | 5 | 4.0 | 80.0% | 0 | 0 |
| 07.270 | Did the specialty provider provide timely findings and recommendations or did an RN document that he or she called the specialty provider to ascertain the findings and recommendations? | 16 | 0 | 16 | 100.0% | 6 | 6.0 | 100.0% | 6 | 0 |
| 07.261 | Is the institution scheduling high-priority (urgent) specialty services within 14 days? | 0 | 2 | 2 | 0.0% | 9 | 0.0 | 0.0% | 0 | 0 |
| Components Subtotals: | | 60 | 28 | 88 | 68.2% | 71 | 43.1 | 60.7% | 56 | 0 |

| Reference Number | Urgent Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|------------|-----------|------------|--------------|------------------|-------------|--------------|-----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 21.248 | Upon the inmate's discharge from the community hospital, did the triage and treatment area (TTA) registered nurse document that he or she reviewed the inmate's discharge plan and completed a face-to-face assessment of the inmate? | 25 | 0 | 25 | 100.0% | 7 | 7.0 | 100.0% | 0 | 0 |
| 21.250 | Upon the inmate's discharge from the community hospital, did the inmate's Primary Care Provider (PCP) provide orders for appropriate housing for the inmate? | 21 | 3 | 24 | 87.5% | 7 | 6.1 | 87.5% | 1 | 0 |
| 21.251 | Upon the inmate's discharge from the community hospital, did the Registered Nurse intervene if the inmate was housed in an area that was inappropriate for nursing care based on the primary care provider's (PCP) housing orders? | 0 | 0 | 0 | 0.0% | 0 | 0.0 | 0.0% | 25 | 0 |
| 21.249 | Upon the inmate's discharge from the community hospital, did the inmate receive a follow-up appointment with his or her primary care provider (PCP) within five calendar days of discharge? | 15 | 9 | 24 | 62.5% | 7 | 4.4 | 62.5% | 1 | 0 |
| 21.281 | Upon the inmate's discharge from a community hospital, did the institution administer or deliver all prescribed medications to the inmate within specified time frames? | 7 | 11 | 18 | 38.9% | 6 | 2.3 | 38.9% | 7 | 0 |
| 21.275 | Was the documentation of the clinical care provided in the TTA adequate? | 19 | 6 | 25 | 76.0% | 10 | 7.6 | 76.0% | 0 | 0 |
| 21.276 | While the patient was in the TTA, was the clinical care rendered by the attending provider adequate and timely? | 20 | 3 | 23 | 87.0% | 7 | 6.1 | 87.0% | 0 | 2 |
| 21.279 | For patients managed by telephone consultation alone, was the provider's decision not to come to the TTA appropriate? | 4 | 0 | 4 | 100.0% | 8 | 8.0 | 100.0% | 21 | 0 |
| Components Subtotals: | | 111 | 32 | 143 | 77.6% | 52 | 41.5 | 79.8% | 55 | 2 |

| Reference Number | Emergency Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------|--|---------|----|----------|--------|------------------|----------|---------|-----|-----|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 08.183 | Was the medical emergency responder notified of the medical emergency without delay? | 3 | 0 | 3 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 08.241 | Did the first responder provide adequate basic life support (BLS) prior to medical staff arriving? | 2 | 0 | 2 | 100.0% | 6 | 6.0 | 100.0% | 1 | 0 |
| 08.184 | Did the medical emergency responder arrive at the location of the medical emergency within five (5) minutes of initial notification? | 3 | 0 | 3 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 08.185 | Did the medical emergency responder use proper equipment to address the emergency and was adequate medical care provided within the scope of his or her license? | 2 | 1 | 3 | 66.7% | 7 | 4.7 | 66.7% | 0 | 0 |
| 08.242 | Did licensed health care staff call 911 without unnecessary delay after a life-threatening condition was identified by a licensed health care provider or peace officer? | 2 | 1 | 3 | 66.7% | 6 | 4.0 | 66.7% | 0 | 0 |
| 08.187 | Did the institution provide adequate preparation for the ambulance's arrival, access to the inmate, and departure? | 1 | 1 | 2 | 50.0% | 4 | 2.0 | 50.0% | 0 | 1 |
| 08.186 | Were both the first responder (if peace officer or licensed health care staff) and the medical emergency responder basic life support (BLS) certified at the time of the incident? | 2 | 0 | 2 | 100.0% | 4 | 4.0 | 100.0% | 1 | 0 |
| 08.222 | Were the findings of the institution's Emergency Response Review Committee (ERRC) supported by the documentation and completed within 30 days? | 1 | 2 | 3 | 33.3% | 7 | 2.3 | 33.3% | 0 | 0 |
| 15.240 | Emergency Medical Response Drill: Did the responding officer activate the emergency response system by providing the pertinent information to the relevant parties, immediately and without delay? | 1 | 0 | 1 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 15.255 | Emergency Medical Response Drill: Did the responding officer carry and use the proper equipment (protective shield or micro-mask, gloves) required by the department? | 1 | 0 | 1 | 100.0% | 1 | 1.0 | 100.0% | 0 | 0 |

| Reference Number | Emergency Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|--|-----------|----------|-----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 15.256 | Emergency Medical Response Drill: Did the responding officer properly perform an assessment on the patient for responsiveness? | 1 | 0 | 1 | 100.0% | 1 | 1.0 | 100.0% | 0 | 0 |
| 15.257 | Emergency Medical Response Drill: Did the responding officer properly perform CPR? | 1 | 0 | 1 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 15.258 | Emergency Medical Response Drill: Did the responding officer begin CPR without unnecessary delay? | 1 | 0 | 1 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 15.282 | Emergency Medical Response Drill: Did medical staff arrive on scene in five minutes or less? | 1 | 0 | 1 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 15.283 | Emergency Medical Response Drill: Did the emergency medical responders arrive with proper equipment (ER bag, bag-valve-mask, AED)? | 1 | 0 | 1 | 100.0% | 1 | 1.0 | 100.0% | 0 | 0 |
| 15.284 | Emergency Medical Response Drill: Did the responding officer provide accurate information to responding medical staff? | 1 | 0 | 1 | 100.0% | 1 | 1.0 | 100.0% | 0 | 0 |
| 15.285 | Emergency Medical Response Drill: Did emergency medical responders continue basic life support? | 1 | 0 | 1 | 100.0% | 1 | 1.0 | 100.0% | 0 | 0 |
| 15.287 | Emergency Medical Response Drill: Was 911 called without unnecessary delay? | 1 | 0 | 1 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| Components Subtotals: | | 26 | 5 | 31 | 83.9% | 58 | 47.0 | 81.0% | 2 | 1 |

| Reference Number | Diagnostic Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|-----------|-----------|-----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 06.049 | Radiology order: Was the radiology service provided within the time frame specified in the physician's order? | 4 | 0 | 4 | 100.0% | 7 | 7.0 | 100.0% | 0 | 0 |
| 06.245 | Radiology order: Was the diagnostic report received by the institution within 14 days? | 2 | 2 | 4 | 50.0% | 8 | 4.0 | 50.0% | 0 | 0 |
| 06.200 | Radiology order: Did the primary care provider (PCP) review the diagnostic report and initiate written notice to the inmate within two (2) business days of the date the institution received the diagnostic reports? | 0 | 4 | 4 | 0.0% | 7 | 0.0 | 0.0% | 0 | 0 |
| 06.188 | All laboratory orders: Was the specimen collected within the applicable time frames of the physician's order? | 10 | 0 | 10 | 100.0% | 6 | 6.0 | 100.0% | 0 | 0 |
| 06.191 | All diagnostic services: Did the PCP document the clinically significant diagnostic test results on Form 7230 (Interdisciplinary Progress Notes)? | 8 | 3 | 11 | 72.7% | 7 | 5.1 | 72.7% | 3 | 0 |
| 06.263 | All diagnostic services: Did the PCP adequately manage clinically significant test results? | 9 | 1 | 10 | 90.0% | 10 | 9.0 | 90.0% | 4 | 0 |
| 06.202 | All laboratory orders: Did the PCP review the diagnostic reports and initiate written notice to the inmate within two (2) business days of the date the institution received the diagnostic reports? | 6 | 4 | 10 | 60.0% | 7 | 4.2 | 60.0% | 0 | 0 |
| Components Subtotals: | | 39 | 14 | 53 | 73.6% | 52 | 35.3 | 67.9% | 7 | 0 |

| Reference Number | Access to Health Care Information | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|----------|----------|----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 19.150 | Is the medical records office current with its loose filing? | 0 | 1 | 1 | 0.0% | 9 | 0.0 | 0.0% | 0 | 0 |
| 19.169 | Did medical records staff make unit health records (UHR) available to clinic staff for the inmates ducated for medical appointments the next day? | 2 | 0 | 2 | 100.0% | 15 | 15.0 | 100.0% | 0 | 0 |
| 19.243 | Was the institution able to account for the OIG's requested UHR files? | 1 | 0 | 1 | 100.0% | 12 | 12.0 | 100.0% | 0 | 0 |
| 19.266 | Does the institution properly file inmates' medical information? | 1 | 0 | 1 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 19.271 | While reviewing unit health records (UHR) as part of the OIG's inspection, were the OIGs RN and MD inspectors able to locate all relevant documentation of health care provided to inmates? | 1 | 0 | 1 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 19.272 | Does the institution promptly file blood pressure logs in unit health records (UHR)? | 0 | 2 | 2 | 0.0% | 5 | 0.0 | 0.0% | 0 | 0 |
| Components Subtotals: | | 5 | 3 | 8 | 62.5% | 51 | 37.0 | 72.5% | 0 | 0 |

| Reference Number | Internal Reviews | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|--|-----------|----------|-----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 17.221 | Did the institution complete a medical emergency response drill for each watch and include participation from each medical facility during the most recent full quarter? | 0 | 1 | 1 | 0.0% | 5 | 0.0 | 0.0% | 0 | 0 |
| 17.174 | Did the institution promptly process inmate medical appeals during the most recent 12 months? | 1 | 0 | 1 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 17.136 | For each death sampled, did the institution complete the death review process? | 4 | 1 | 5 | 80.0% | 5 | 4.0 | 80.0% | 0 | 0 |
| 17.132 | Do the Emergency Response Review Committee (ERRC) meeting minutes document monthly meetings for the last six (6) months? | 6 | 0 | 6 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 17.138 | Do the Emergency Response Review Committee (ERRC) meeting minutes document the warden's (or his or her designee's) attendance? | 6 | 0 | 6 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 17.118 | Do the Quality Management Committee (QMC) meeting minutes document monthly meetings for the last six (6) months? | 6 | 0 | 6 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 17.119 | Did the Quality Management Committee (QMC) report its findings to the HCM/CMO each of the last six (6) meetings? | 6 | 0 | 6 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 17.135 | Did the last three Quality Management Committee (QMC) meeting minutes reflect findings and strategies for improvement? | 3 | 0 | 3 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| Components Subtotals: | | 32 | 2 | 34 | 94.1% | 40 | 34.0 | 85.0% | 0 | 0 |

| Reference Number | Inmate Transfers | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|--|-----------|----------|-----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 05.108 | Did Receiving and Release have the inmate's UHR and transfer envelope? | 5 | 0 | 5 | 100.0% | 7 | 7.0 | 100.0% | 0 | 0 |
| 05.109 | If the inmate was scheduled for any upcoming specialty services, were the services noted on Form 7371 (Health Care Transfer Information)? | 1 | 0 | 1 | 100.0% | 8 | 8.0 | 100.0% | 4 | 0 |
| 05.110 | Do all appropriate forms in the transfer envelope identify all medications ordered by the physician, and are the medications in the transfer envelope? | 4 | 1 | 5 | 80.0% | 8 | 6.4 | 80.0% | 0 | 0 |
| 05.171 | Did an RN accurately complete all applicable sections of Form 7371 (Health Care Transfer Information) based on the inmate's UHR? | 5 | 0 | 5 | 100.0% | 7 | 7.0 | 100.0% | 0 | 0 |
| 05.172 | Did the Health Records Department maintain a copy of the inmate's Form 7371 (Health Care Transfer Information) and Form 7231A (Outpatient Medication Administration Record) when the inmate transferred? | 5 | 0 | 5 | 100.0% | 8 | 8.0 | 100.0% | 0 | 0 |
| Components Subtotals: | | 20 | 1 | 21 | 95.2% | 38 | 36.4 | 95.8% | 4 | 0 |

| Reference Number | Clinic Operations | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|--|-----------|----------|-----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 14.023 | Does the institution make the Form 7362 (Health Care Services Request Form) available to inmates? | 5 | 0 | 5 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 14.164 | Are areas available to ensure privacy during RN face-to-face assessments and doctors' examinations for non-emergencies? | 2 | 1 | 3 | 66.7% | 3 | 2.0 | 66.7% | 0 | 0 |
| 14.166 | Was the medication stored in a sealed container if food was present in the clinic refrigerator? | 2 | 0 | 2 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 14.131 | Do medication nurses understand that medication is to be administered by the same licensed staff member who prepares it and on the same day? | 2 | 0 | 2 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 14.106 | Does clinical staff wash their hands (either with soap or hand sanitizer) or change gloves between patients? | 3 | 1 | 4 | 75.0% | 4 | 3.0 | 75.0% | 0 | 0 |
| 14.033 | Does the institution have an adequate process to ensure inmates who are moved to a new cell still receive their medical ducats? | 2 | 0 | 2 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 14.032 | Does medical staff understand the institution's priority ducat process? | 2 | 0 | 2 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 14.160 | Does the institution have a process to identify, review, and address urgent appointments if a doctor's line is canceled? | 2 | 0 | 2 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 14.029 | Does medical staff in the facility clinic know which inmates are on modified program or confined to quarters (CTQ) and does staff have an adequate process to ensure those inmates receive their medication? | 2 | 0 | 2 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 14.165 | Are the clinic floors, waiting room chairs, and equipment cleaned with a disinfectant daily? | 1 | 2 | 3 | 33.3% | 2 | 0.7 | 33.3% | 0 | 0 |
| Components Subtotals: | | 23 | 4 | 27 | 85.2% | 33 | 29.7 | 90.0% | 0 | 0 |

| Reference Number | Preventive Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|-----------|-----------|-----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 10.228 | Inmates prescribed INH: Did the institution properly administer the medication to the inmate? | 2 | 3 | 5 | 40.0% | 6 | 2.4 | 40.0% | 0 | 0 |
| 10.232 | Inmates prescribed INH: Did the institution monitor the inmate monthly for the most recent three months he or she was on the medication? | 0 | 5 | 5 | 0.0% | 6 | 0.0 | 0.0% | 0 | 0 |
| 10.229 | Inmates with TB code 34: Was the inmate evaluated for signs and symptoms of TB within the previous 12 months? | 4 | 1 | 5 | 80.0% | 7 | 5.6 | 80.0% | 0 | 0 |
| 10.086 | All inmates age 66 or older: Did the inmate receive an influenza vaccination within the previous 12 months or was the inmate's refusal documented? | 1 | 0 | 1 | 100.0% | 6 | 6.0 | 100.0% | 0 | 0 |
| 10.085 | Male inmates age 51 or older: Did the inmate receive a fecal occult blood test (FOBT) within the previous 12 months or was the inmate's refusal documented? | 5 | 5 | 10 | 50.0% | 5 | 2.5 | 50.0% | 0 | 0 |
| Components Subtotals: | | 12 | 14 | 26 | 46.2% | 30 | 16.5 | 55.0% | 0 | 0 |

| Reference Number | Pharmacy Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|--|----------|----------|----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 13.139 | Does the institution conspicuously post a valid permit in its pharmacies? | 1 | 0 | 1 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 13.141 | Does the institution properly maintain its emergency crash cart medications? | 1 | 0 | 1 | 100.0% | 2 | 2.0 | 100.0% | 0 | 0 |
| 13.252 | Does the institution properly maintain medications in its after-hours medication supply(ies)? | 0 | 1 | 1 | 0.0% | 2 | 0.0 | 0.0% | 0 | 0 |
| 13.253 | Does the institution conduct monthly inspections of its emergency cart and after-hours medication supply(ies)? | 2 | 0 | 2 | 100.0% | 1 | 1.0 | 100.0% | 0 | 0 |
| 13.142 | Is the Pharmacist in Charge's license current? | 1 | 0 | 1 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 13.144 | Does the institution have information to ensure that medications are prescribed by licensed health-care providers lawfully authorized to do so? | 1 | 0 | 1 | 100.0% | 6 | 6.0 | 100.0% | 0 | 0 |
| 13.145 | Does the pharmacist in charge have an effective process for screening new medication orders for potential adverse reactions? | 1 | 0 | 1 | 100.0% | 7 | 7.0 | 100.0% | 0 | 0 |
| 13.148 | Does the pharmacist in charge monitor the quantity of medications on hand, and does the pharmacy conduct an annual inventory to ensure that the quantity of medications in the system matches the quantity of medications on hand? | 1 | 0 | 1 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| Components Subtotals: | | 8 | 1 | 9 | 88.9% | 29 | 27.0 | 93.1% | 0 | 0 |

| Reference Number | Other Services | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|----------|----------|----------|--------------|------------------|------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 15.059 | Did the institution properly provide therapeutic diets to inmates? | 0 | 1 | 1 | 0.0% | 4 | 0.0 | 0.0% | 0 | 0 |
| 15.134 | Did the institution properly respond to all active cases of TB discovered in the last six months? | 0 | 0 | 0 | 0.0% | 0 | 0.0 | 0.0% | 1 | 0 |
| 15.265 | Is the most current version of the CDCR Health Services Policies and Procedures available in the institution's law library? | 1 | 1 | 2 | 50.0% | 3 | 1.5 | 50.0% | 0 | 0 |
| 20.092 | Hygiene Intervention: Did custody staff understand the department's policies and procedures for identifying and evaluating inmates displaying inappropriate hygiene management? | 4 | 0 | 4 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| Components Subtotals: | | 5 | 2 | 7 | 71.4% | 11 | 5.5 | 50.0% | 1 | 0 |

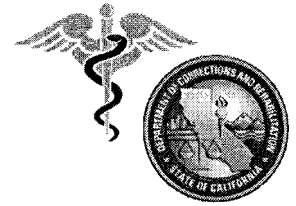
| Reference Number | Chemical Agent Contraindications | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|-----------|----------|-----------|---------------|------------------|-------------|---------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 12.062 | Did the institution document that it consulted with an RN or primary care provider (PCP) before a calculated use of OC? | 5 | 0 | 5 | 100.0% | 9 | 9.0 | 100.0% | 5 | 0 |
| 12.064 | Did the institution record how it decontaminated the inmate and did it follow the decontamination policy? | 10 | 0 | 10 | 100.0% | 8 | 8.0 | 100.0% | 0 | 0 |
| Components Subtotals: | | 15 | 0 | 15 | 100.0% | 17 | 17.0 | 100.0% | 5 | 0 |

| Reference Number | Staffing Levels and Training | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|--|----------|----------|----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 18.002 | Information purposes only: Calculate the institution's average vacancy percentages, the number of health care staff starting within six (6) months of the OIG visit, and the number of health care staff hired from the registry. <i>The institution provided vacancy statistics within four licensed medical staffing groups: (1) management; (2) primary care providers; (3) supervision; and (4) rank and file nursing.</i> <i>Total number of filled positions: 93.0</i> <i>Total number of vacancies: 15.5</i> <i>Total number of positions: 108.5</i> <i>Vacancy percentage: 14.29%</i> <i>Number of staff hired within last six months: 6</i> <i>Total number of registry staff: 0</i> | 0 | 0 | 0 | 0.0% | 0 | 0.0 | 0.0% | 1 | 0 |
| 18.004 | Did the institution have a registered nurse (RN) available on site 24 hours a day, seven days a week, for emergency care? | 1 | 0 | 1 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 18.005 | Did the institution have a physician on site, a physician on call, or an MOD available 24 hours a day, seven days a week, for the last 30 days? | 1 | 0 | 1 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 18.006 | Does the institution's orientation program for all newly hired nursing staff include a module for sick call protocols that require face-to-face triage? | 1 | 0 | 1 | 100.0% | 4 | 4.0 | 100.0% | 0 | 0 |
| 18.001 | Are licensed health care staff current with their certifications and did they attend required training? | 4 | 1 | 5 | 80.0% | 4 | 3.2 | 80.0% | 0 | 0 |
| Components Subtotals: | | 7 | 1 | 8 | 87.5% | 16 | 15.2 | 95.0% | 1 | 0 |

| Reference Number | Nursing Policy | Answers | | | | Weighting Points | | | N/A | Unk |
|------------------------------|---|-----------|----------|-----------|--------------|------------------|-------------|--------------|----------|----------|
| | | Yes | No | Yes + No | Yes % | Possible | Received | Score % | | |
| 16.231 | Does the institution ensure that nursing staff review their duty statements? | 5 | 0 | 5 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 16.154 | Does the institution have written nursing policies and procedures that adhere to the department's guidelines? | 5 | 0 | 5 | 100.0% | 5 | 5.0 | 100.0% | 0 | 0 |
| 16.254 | Does the institution's supervising registered nurse (SRN) conduct periodic reviews of nursing staff? | 0 | 5 | 5 | 0.0% | 4 | 0.0 | 0.0% | 0 | 0 |
| Components Subtotals: | | 10 | 5 | 15 | 66.7% | 14 | 10.0 | 71.4% | 0 | 0 |

California Prison Health Care Receivership Corporation's Response

PRISON HEALTH CARE SERVICES



February 9, 2010

David R. Shaw, Inspector General
Office of the Inspector General
P.O. Box 348780
Sacramento, CA 95834-8780

Dear Mr. Shaw,

The purpose of this letter is to inform you that the Office of the Receiver has reviewed the draft report of the Office of the Inspector General's (OIG) Medical Inspection Results (MIR) for the November 2009 inspection of North Kern State Prison (NKSP). At this time, we would like to address the following conditions raised as a result of the MIR.

Chronic Care

Accept Findings

NKSP has been working arduously for the past year on the development of primary care teams that will enhance the process of the delivery of care to patient-inmates with chronic care conditions. One of the main factors that impede the timely visit is the high volume of patient-inmates that transfer from yard to yard. The Primary Care Teams continue to seek communication between each yard in an effort to avoid delay of service to these particular patient-inmates. The implementation of the Guardian pharmacy conversion program continues to present challenges that NKSP recognizes and has presented a hardship for timely delivery of medication. Currently, various Quality Improvement Teams have been formed and meet on a regular basis to review and analyze audit findings to ensure action plans are developed and implemented.

Clinic Services

Accept Findings

NKSP has put together a quality assurance team who is currently working together to ensure access to primary health care is timely and meets the requirements of the Inmate Medical Services Policies and Procedures (IMSP&P). Existing procedures are being modified to address any shortfalls in the overall delivery of clinical services. The Primary Care Team and the medication management process are also vital in this process. As NKSP works to improve the process, efforts will also be placed in training and auditing with regards to appropriate written documentation and appropriate timely follow-up on medical appointments.

Health Screening

Accept Findings

NKSP's Primary Care Team model has been implemented in the reception center and on all the yards to ensure continuity of care as it relates to medication and health care services. Through NKSP's collaboration with various clinics and the assistance of the Nursing staff and the Public Health Nurse, the proper documentation will be completed and signed. NKSP will organize a team to identify root causes and obstacles that may hinder and delay the health screening process and uncover the means to improve it.

Specialty Services

Accept Findings

With the implementation of the Inter-Qual program and the active management of the referral processes, NKSP has been able to eliminate significant backlogs in a majority of their specialty referral services. NKSP continues to strive to improve follow up appointments and will evaluate and analyze the barrier of meeting the time frames such as high priority 14 day consultations.

Urgent Services

Accept Findings

In order to ensure continuity of care upon a patient-inmates discharge from the hospital, the nursing supervisor will monitor and evaluate the nursing staff's assessment skills. The goal is for the RNs to be able to recognize and intervene if necessary when advocating for a patient-inmate who based upon their current condition may require a higher level of care, or a change in their assigned housing unit. Continued audits shall be conducted to ensure that all patient-inmates returning from a community hospital are receiving prescribed medication in the specified time frame ordered.

Emergency Services

Accept Findings

With the implementation of the new Emergency Medical Response Policy (EMRP), NKSP is committed to continuously implement and evaluate the emergency services process. The process has improved how emergency care is delivered to patient-inmates. A process has been developed to ensure documents required by policy are completed by all staff and done so in a timely manner. Custody staff and nursing staff will continue to collaborate when the ambulance arrival is delayed and impedes the timely departure for emergency services. The Emergency Medical Response Committee meets on a monthly basis to review and discuss any issues that might arise. As a result, NKSP will address these issues accordingly, by reviewing policies and procedures and providing additional training to staff.

Diagnostic Services

Accept Findings

NKSP is a reception center and the average intake of patient-inmates processed through Diagnostics Services is approximately five hundred patient-inmates weekly. NKSP has refined the reception center process, and procedures have been put in place to keep compliance in line with policy. A joint effort will be coordinated to ensure patient-inmates receive lab results within the proper time frame.

Access to Health Care Information

Accept Findings

NKSP is currently working on a proposal to modify the setting of the filing shelves and implement a plan to have staff available to facilitate the access of the Unit Health Record on all three shifts. Concurrent with these efforts, continuous training will be offered to staff in the clinics to process documents in a timely manner.

Internal Reviews

Accept Findings

NKSP is working internally on documentation of recording drills which will include the SRN II monitoring of tracking logs from all clinical and non clinical staff. The Emergency Medical Response Committee meets on a monthly basis and will review and discuss any issues that may arise related to emergency drills.

Clinic Operations

Accept Findings

A Local Operational Procedure (LOP) has been signed into policy. This LOP delineates the responsibility and procedure for daily cleaning activities in each clinic. Training has been provided relative to the LOP and the cleaning program has been implemented in each clinic.

Preventive Services

Accept Findings

NKSP recognizes that preventative service is an area that will need considerable attention in the upcoming months. NKSP is in the process of reviewing the procedures in place to analyze areas of deficiencies and to improve the system already in place to make preventative care more widely available to the entire patient-inmate population.

Pharmacy Services

Accept Findings

The IMSP&P, Vol. 9, Chapter 6 (After-hours Medication Supply) requires the after hours medication supply be checked monthly for any outdated medications. The pharmacy has implemented a policy at NKSP to include a pharmacy staff who is assigned monthly to refill, maintain medication supply, and check for expired medications. The Pharmacist In Charge shall monitor to ensure compliance.

Other Services

Accept Findings

NKSP currently provides patient-inmates with therapeutic diets according to the IMSP&P. Systems are being put in place to ensure these diets are issued and received properly. Reports will be generated to document quality assurance. All reports will remain on file in the Food and Nutrition Services Department.

Additionally, the most recent version of the IMSP&P is available in the institution's law library. A process has also been put in place to ensure any updates to the policy are incorporated in the law library policy binder as they are distributed to the institution.

Nursing Policy

Accept Findings

The Nurse Instructor will conduct monthly training classes to all nursing staff to ensure they are knowledgeable of current LOP(s). Also, the SRN II's will add a section to the current audit tool to identify staff that are being reviewed. The DON will monitor for compliance.

David R. Shaw, Inspector General

February 9, 2010

Page 4

In addition to the items identified above, the OIG draft report contains other findings with a low reported rate of compliance. A number of findings are being addressed by statewide initiatives or other resources designed to achieve a constitutional level of health care. For those items that are not addressed by a statewide initiative, California Prison Health Care Services (CPHCS) staff will work with the institution to develop a Corrective Action Plan (CAP). Once a CAP is submitted and approved, CPHCS staff will monitor and follow-up on any corrective action identified.

Thank you for preparing the report. Your efforts have advanced our mutual objective of ensuring transparency and accountability in the CPHCS operations. Should you have any questions or concerns, please contact Theresa Kimura-Yip, Deputy Director, Program Compliance Branch at (916) 327-1205.

Sincerely,



BRENDA EPPERLY-ELLIS, Director
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