



CORRECTIONAL MEDICAL AUTHORITY

PHYSICAL & MENTAL HEALTH SURVEY

of

AVON PARK CORRECTIONAL INSTITUTION

in

Avon Park, Florida

on

November 8 - 9, 2010

CMA Physical Health Team Leader:

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CMA Mental Health Team Leader:

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DEMOGRAPHICS

The institution provided the following information in the Pre-survey Questionnaire.

INSTITUTIONAL INFORMATION			
Population	Type	Custody Level	Medical Level
1477	Male	Close	2

Institutional Potential/Actual Workload

Main Unit Capacity	1100	Current Main Unit Census	967
Satellite Units Capacity	512	Current Satellite Units Census	510
Total Capacity	1612	Total Current Census	1477

Inmates Assigned to Medical/Mental Health Grades

<i>Medical Grade</i>	1	2	3	4	<i>Impaired</i>	
		1086	401	0	0	0
<i>Mental Health Grade (S-Grade)</i>	<u><i>Mental Health Outpatient</i></u>			<u><i>MH Inpatient</i></u>		
	1	2	3	4	5	<i>Impaired</i>
	11455	33	0	NA	NA	0

Inmates Assigned to Special Housing Status

<i>Confinement/Close Management</i>	<i>DC</i>	<i>AC</i>	<i>PM</i>	<i>CM3</i>	<i>CM2</i>	<i>CM1</i>
	31	18	5	NA	NA	NA

OVERVIEW

Institutional Description

Avon Park Correctional Institution houses male inmates of minimum, medium, and close custody levels and is designated as a medical grade 2, psychological grade 2 facility. Health care services are also provided for Avon Park Work Camp.

The overall scope of health services provided at Avon Park includes comprehensive medical, dental, mental health, and pharmaceutical services. Specific services include: health education, preventive care, chronic illness clinics, emergency care, mental health outpatient, and observation/infirmarary care as required.

The Correctional Medical Authority (CMA) conducted a thorough review of the medical, dental and mental health systems at Avon Park November 8 - 9, 2010. 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.

Exit Conference and Final Report

At the conclusion of the survey, the survey team conducted an exit conference with institutional personnel to discuss preliminary survey results. The findings and final conclusions presented in this report are a result of further analysis of the information collected during the survey. The suggested corrective action(s) included in this report should not be construed as the only action required to demonstrate correction, but should be viewed as a guide for developing a corrective action plan. Where recommended corrective actions suggest in-service training, a copy of the curriculum and signed attendance roster should be included in the corrective action plan files. Additionally, evidence of appropriate monthly monitoring should be included in the files for each finding. Unless otherwise specified, this monitoring should be conducted by an institutional clinician/peer and must be documented by a monthly compilation of the following:

- 1) The inmate names and DC numbers corresponding to the medical records reviewed;
- 2) The criteria/finding being reviewed;
- 3) An indication of whether the criteria/finding was met for each record reviewed;
- 4) The percentage of records reviewed each month complying with the criteria;
- 5) Back-up documentation consisting of copies of the relevant sections reviewed from the sampled records.

PHYSICAL HEALTH FINDINGS

ADMINISTRATIVE PROCESSES REVIEW

No significant findings were reported regarding administrative processes, infection control, and quality management. It was noted that two people required to be at QM meetings did not attend at least 75% of the time, but this appeared to be due to staff turnover.

INSTITUTIONAL TOUR

The tour of the facilities revealed no major issues; the surveyor noted that the kitchen, grounds, and dorms were clean and in order. It was noted that pill line schedules were not posted in all inmate common areas.

EPISODIC CARE REVIEW

There were no findings in the review of episodic care records.

DENTAL REVIEW

There were no significant findings in the clinical review of dental records. It was noted that due to turnover in dental staff some restorative work and treatment plans were not completed in a timely manner, but a new dentist is starting soon and the issue will likely be resolved.

CLINICAL SYSTEM REVIEW

There were no significant findings in Endocrine, Gastrointestinal, Miscellaneous, Neurology, or Tuberculosis clinics. Findings in Cardiovascular and Respiratory clinics will be discussed in the chart below.

OTHER RECORD REVIEW

There were no significant findings in the consultations, intra system transfers, medication administration, or in periodic screening/preventive care reviews. Findings in health record/OBIS reviews will be discussed in the chart below under "General Record Review".

Chronic Illness Record Review	
Finding(s)	Suggested Corrective Action(s)
PH-1: In 8 of 12 Cardiovascular records reviewed, the baseline TSH (thyroid stimulating hormone) was not in the current volume of the chart	<p>Provide in-service training to staff regarding the issue(s) identified in the Finding(s) column.</p> <p>Create a monitoring tool and conduct monthly monitoring of no less than ten records (or all records when there are less than 10 applicable) in each area to evaluate the effectiveness of corrections.</p>
PH-2: Discrepancies were found in 6 of 9 Respiratory records reviewed, including:	
a. In 4 of 9 charts the use of a	

Chronic Illness Record Review	
Finding(s)	Suggested Corrective Action(s)
<p>rescue inhaler was not documented.</p> <p>b. In 3 of 9 charts there was no evidence of pneumococcal vaccine being offered or refused.</p>	<p>Continue monitoring until closure is affirmed through the CMA corrective action plan assessment.</p>

General Record Review	
Finding(s)	Suggested Corrective Action(s)
<p>PH-3: Discrepancies were found in 15 of 87 records reviewed, including:</p> <p>a. 7 charts were missing the primary diagnosis on the problem lists <i>(see discussion)</i>.</p> <p>b. 8 charts were missing dates on the problem lists.</p>	<p>Provide in-service training to staff regarding the issue(s) identified in the Finding(s) column.</p> <p>Create a monitoring tool and conduct monthly monitoring of no less than ten records (or all records when there are less than 10 applicable) in each area to evaluate the effectiveness of corrections.</p> <p>Continue monitoring until closure is affirmed through the CMA corrective action plan assessment.</p>

PH-3a discussion: These 7 records were found in clinic reviews; specifically, 3 were found in Cardiovascular, 1 in Gastrointestinal, and 1 in Miscellaneous.

CONCLUSION

Medical records at Avon Park were very well organized; data entry efforts were timely and accurate, and administrative documents were appropriately maintained. Review of the food service areas revealed no negative findings. Staff appeared to be knowledgeable about procedures. All areas on the compound were clean and neat. Interviews with inmates, nursing staff, and security staff were consistently positive.

The institutional staff provided good clinical management and monitoring of inmates. It was also evident that security staff works very well with medical staff to ensure inmates receive the care they need. Overall the clinic staff, including medical and administrative, demonstrated their dedication to providing the required health care to the inmate population.

MENTAL HEALTH FINDINGS

OVERVIEW

Avon Park Correctional Institution provides outpatient mental health services only. The following are the mental health grades used by the department to classify inmate mental health needs that are provided at Avon Park:

- S1 - Inmate requires routine care (sick call or emergency).
- S2 - Inmate requires ongoing services of outpatient psychology (intermittent or continuous).

CONCLUSION

The Avon Park Correctional Institution mental health department currently has two full-time mental health staff members, a Senior Behavioral Health Clinician and a Behavioral Health Specialist. Both staff members provide case management, confinement reviews, individual counseling, and group counseling. The staff responds quickly and appropriately to inmate requests and psychological emergencies. Individualized Service Plans were comprehensive, well written, and completed in a timely manner. The quality of progress notes and summaries was excellent and documentation of mental health encounters was complete and informative. All inmates interviewed indicated they would not hesitate to ask for help if they had a mental health problem. Surveyors commented on the dedication and professionalism of the staff and their commitment to maintaining a community standard of care in a correctional setting. The lack of findings in this report is an indication of the overall quality of services provided to inmates at Avon Park CI.

No corrective action plan is required by the CMA for mental health.

SURVEY PROCESS

The goals of CMA surveys are to:

- Determine if the physical, dental and mental health care provided to inmates in all state and privately operated correctional institutions is consistent with state and federal law and is consistent with standards of care generally accepted in the professional health care community at large;
- Promote ongoing improvement in the correctional system of health services; and,
- Assist the Department of Corrections 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 if inmates:

- Have adequate access to medical and dental health screening and evaluation and to ongoing preventative and primary health care.
- Receive adequate and appropriate mental health screening, evaluation and classification.
- Receive complete and timely orientation on how to access physical, dental and mental health services.
- Have adequate access to medical and dental treatment that results in the remission of symptoms or in improved functioning.
- 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.
- Receive and benefit from safe and effective medication, laboratory, radiology, and dental practices and have access to timely and appropriate referral and consultation services.
- Are recipients of safe and effective psychotropic medication practices.
- Remain free from the inappropriate use of restrictive control procedures.
- Receive assessments and treatments sufficiently documented to provide a clear picture of the care provided.
- Are provided adequate care and treatment by a sufficient number of qualified staff.

To meet these objectives, the CMA contracts with a variety of licensed community and public health care practitioners, such as physicians, psychiatrists, dentists, nurses, psychologists and social workers. The survey process includes a review of the physical, dental and mental health systems; specifically, the existence and application of written policies and procedures, staff credentials, staff training, confinement practices, and a myriad of additional administrative issues. Individual case reviews are also conducted. The cases selected for review are representative of inmates who are receiving mental and/or physical health services (or who are eligible to receive such services).

Conclusions drawn by members of the survey team are based on several methods of evidence collection:

- Physical evidence – direct observation by members of the survey team (tours and observation of evaluation/treatment encounters)

- Testimonial evidence – obtained through staff and inmate interviews (and substantiated through investigation)
- Documentary evidence – obtained through reviews of medical/dental records, treatment plans, schedules, logs, administrative reports, physician orders, service medication administration reports, meeting minutes, training records, etc)
- Analytical evidence – developed by comparative and deductive analysis from several pieces of evidence gathered by the surveyor

Administrative (system) reviews generally measure whether the institution has policies in place to guide and direct responsible institutional personnel in the performance of their duties and if those policies are being followed. Clinical reviews of selected inmate medical, dental and mental health records measure if the care provided to inmates meets the statutorily mandated standard. Encounters of an episodic nature, such as sick call, an emergency, an infirmary admission, restraints or a suicide episode, as well as encounters related to a long-term chronic illness or on-going mental health treatment are also reviewed. Efforts are also made to confirm that administrative documentation, i.e., logs, consultation requests, medication administration reports, etc. coincides with clinical documentation.

Findings identified as a result of the survey may arise from a single event or from a trend of similar events. They may also involve past or present events that either had or may have the potential of compromising inmate health care. All findings identified in the body of the report under the physical or mental health sections require corrective action by institutional staff. Findings identified in the department section require corrective action by central office, security or program area staff.