

**OFF-SITE CORRECTIVE ACTION PLAN  
ASSESSMENT**

of

**SOUTH BAY CORRECTIONAL FACILITY**

for the

Physical and Mental Health Survey  
Conducted June 18-19, 2014

**CMA STAFF**

Jane Holmes-Cain, LCSW  
Lynne Babchuck, LCSW

CAP Assessment Distributed on December 19, 2014

## CAP Assessment of South Bay Correctional Facility

### I. Overview

On June 18-19, 2014, the Correctional Medical Authority (CMA) conducted an on-site physical and mental health survey of South Bay Correctional Facility (SBCF). The survey report was distributed on July 2, 2014. In August of 2014, SBCF submitted and the CMA approved, the institutional corrective action plan (CAP) which outlined the efforts to be undertaken to address the findings of the June 2014 survey. These efforts included in-service training and the monitoring of applicable medical records for a period of no less than ninety days. On November 7, 2014, CMA staff requested access to monitoring documents to assist in determining if an on-site or off-site assessment should be conducted. Based on the documents provided, CMA staff conducted an off-site CAP assessment on December 15, 2014 to evaluate the effectiveness of corrective actions taken by institutional staff. Items II and III below describe the outcome of the CMA's evaluation of the institution's efforts to address the survey findings.

### II. Physical Health Assessment Summary

The CAP closure files revealed sufficient evidence to determine that 10 of the 10 physical health findings were corrected. All physical health findings will close.

Finding	CAP Evaluation Outcome
<p><b><u>CARDIOVASCULAR CLINIC</u></b></p> <p><b>PH-1: In 9 of 18 records reviewed, the baseline information was incomplete or missing</b></p>	<p><b>PH-1 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-1.</p>

Finding	CAP Evaluation Outcome
<p><b><u>ENDOCRINE CLINIC</u></b></p> <p><b>PH-2: In 3 of 14 records reviewed, there was no evidence of influenza vaccine or refusal.</b></p>	<p><b>PH-2 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-2.</p>

Finding	CAP Evaluation Outcome
<p><b><u>GASTROINTESTINAL CLINIC</u></b></p> <p>A comprehensive review of 13 inmate records revealed the following deficiencies:</p> <p><b>PH-3: In 3 records, the baseline information was incomplete or missing.</b></p> <p><b>PH-4: In 6 records, there was no evidence of hepatitis A &amp; B vaccine given to inmates with hepatitis C infection and no prior history of A &amp; B infection.</b></p>	<p><b>PH-3 &amp; PH-4 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-3 &amp; PH-4.</p>

Finding	CAP Evaluation Outcome
<p><b><u>IMMUNITY CLINIC</u></b></p> <p><b>PH-5: In 3 of 13 records reviewed, the baseline information was incomplete or missing.</b></p>	<p><b>PH-5 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-5.</p>

Finding	CAP Evaluation Outcome
<p><b><u>ONCOLOGY CLINIC</u></b></p> <p>A comprehensive review of 6 inmate records revealed the following deficiencies:</p> <p><b>PH-6: In 2 records, the diagnosis was not included on the problem list and/or the chronic illness clinic flow sheet.</b></p> <p><b>PH-7: In 2 records, the baseline information was incomplete or missing.</b></p>	<p><b>PH-6 &amp; PH-7 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-6 &amp; PH-7.</p>

Finding	CAP Evaluation Outcome
<p><b><u>RESPIRATORY CLINIC</u></b></p> <p><b>PH-8: In 3 of 14 records reviewed, the baseline information was incomplete or missing.</b></p>	<p><b>PH-8 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-8.</p>

Finding	CAP Evaluation Outcome
<p><b><u>TUBERCULOSIS CLINIC</u></b></p> <p><b>PH-9: In 1 of 2 applicable records (6 reviewed), there was no evidence of discontinuation of medication in an inmate with an adverse reaction.</b></p>	<p><b>PH-9 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-9.</p>

Finding	CAP Evaluation Outcome
<p><b><u>INTRA-SYSTEMS TRANSFERS</u></b></p> <p><b>PH-10: In 3 of 13 records reviewed, the Health Information Transfer/Arrival Summary (DC4-760A) was incomplete.</b></p>	<p><b>PH-10 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-10.</p>

### III. Mental Health Assessment Summary

The CAP closure files revealed evidence to determine that 3 of 4 mental health findings were corrected. One mental health finding will remain open.

Finding	CAP Evaluation Outcome
<p><b><u>INMATE REQUESTS</u></b></p> <p><b>MH-1: In 3 of 12 records reviewed, an interview or referral indicated in the request response had not occurred.</b></p>	<p><b>MH-1 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close MH-1.</p>

Finding	CAP Evaluation Outcome
<p><b><u>OUTPATIENT MENTAL HEALTH SERVICES</u></b></p> <p><b>A comprehensive review of 15 outpatient records revealed the following deficiencies:</b></p> <p><b>MH-2: In 3 of 12 applicable records, a case manager was not assigned within three working days of arrival.</b></p> <p><b>MH-3: In 5 of 12 applicable records, current psychotropic medications prescribed at the sending institution were not continued prior to the inmate's appointment with the psychiatrist at SBCF.</b></p>	<p><b>MH-2 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close MH-2.</p> <p><b>MH-3 OPEN</b></p> <p>Adequate evidence of in-service training was provided; however after review of the documentation provided from the medical record, it was determined that an acceptable level of compliance had not been reached. MH-3 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><b><u>AFTERCARE PLANNING</u></b></p> <p><b>MH-4: In 1 of 2 applicable records (11 reviewed), assistance with Social Security benefits was not provided within 30 to 45 days of end of sentence (EOS).</b></p>	<p><b>MH-4 CLOSED</b></p> <p>Adequate evidence of in-service training and documentation of correction were provided to close MH-4.</p>

#### **IV. Conclusion**

All physical health findings will close. MH-3 will remain open and all other mental health findings will close. Until such time as appropriate corrective actions are undertaken by SBCF staff and the results of those corrections reviewed by the CMA, this CAP will remain open. As some of the necessary steps to correct findings require further institutional monitoring, closure may take as long as three months. Follow-up assessment by the CMA will most likely take place through an off-site visit, but the option remains open to conduct an on-site evaluation.