

**ON-SITE CORRECTIVE ACTION PLAN
ASSESSMENT**

of

SUMTER CORRECTIONAL INSTITUTION

for the

Physical and Mental Health Survey
Conducted December 6-8, 2016

CMA STAFF

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CAP Assessment of Sumter Correctional Institution

I. Overview

On January 9-11, 2018, the Correctional Medical Authority (CMA) conducted an on-site physical and mental health survey of Sumter Correctional Institution (SUMCI). The survey report was distributed on February 9, 2018. In March 2018, SUMCI submitted and the CMA approved, the institutional corrective action plan (CAP) which outlined the efforts to be undertaken to address the findings of the January 2018 survey. These efforts included in-service training, physical plant improvements, and the monitoring of applicable medical records for a period of no less than ninety days.

On July 24, 2018, 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 on-site CAP assessment on August 27, 2018 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 14 of the 29 physical health findings were corrected. Fifteen physical health findings will remain open.

Finding	CAP Evaluation Outcome
<p><u>CHRONIC ILLNESS CLINIC REVIEW</u></p> <p>A comprehensive review of 16 records revealed the following deficiencies:</p> <p>PH-1: In 6 records, baseline information was incomplete or missing.</p> <p>PH-2: In 7 records, there was no evidence that inmates were seen at the required intervals.</p>	<p>PH-1 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. PH-1 will remain open.</p> <p>PH-2 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring indicated an acceptable level of compliance had not been met. PH-2 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>CARDIOVASCULAR CLINIC</u></p> <p>PH-3: In 2 of 7 applicable records (18 reviewed), there was no evidence that abnormal labs were addressed in a timely manner.</p>	<p>PH-3 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-3.</p>

Finding	CAP Evaluation Outcome
<p><u>ENDOCRINE CLINIC</u></p> <p>PH-4: In 5 of 13 applicable records (16 reviewed), there was no evidence of an annual fundoscopic examination.</p>	<p>PH-4 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. PH-4 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>GASTROINTESTINAL CLINIC</u></p> <p>A comprehensive review of 15 records revealed the following deficiencies:</p> <p>PH-5: In 4 records, there was no documentation as to the status of the patient.</p> <p>PH-6: In 1 of 1 applicable record, there was no evidence of annual hepatocellular cancer screening for an inmate with cirrhosis.</p> <p>PH-7: In 4 of 14 applicable records, there was no evidence of hepatitis A and/or B vaccination or refusal.</p>	<p>PH-5 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-5.</p> <p>PH-6 & PH-7 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring indicated an acceptable level of compliance had not been met. PH-6 & PH-7 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>MISCELLANEOUS CLINIC</u></p> <p>PH-8: In 4 of 9 records reviewed, there was no evidence of an appropriate examination for the diagnosis.</p>	<p>PH-8 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-8.</p>

Finding	CAP Evaluation Outcome
<p><u>NEUROLOGY CLINIC</u></p> <p>A comprehensive review of 8 records revealed the following deficiencies:</p> <p>PH-9: In 4 of 5 applicable records, there was no evidence that seizures were classified as primary generalized (tonic-clonic, grand mal), primary or simple absence (petit mal), simple partial, or complex partial seizures.</p> <p>PH-10: In 2 of 4 applicable records, there was no evidence that abnormal labs were addressed in a timely manner.</p>	<p>PH-9 & PH-10 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-9 & PH-10.</p>

Finding	CAP Evaluation Outcome
<p><u>ONCOLOGY CLINIC</u></p> <p>A comprehensive review of 7 records revealed the following deficiencies:</p> <p>PH-11: In 2 records, there was no documentation as to the status of the patient.</p> <p>PH-12: In 1 of 4 applicable records, there was no evidence of a referral to a specialist when indicated.</p>	<p>PH-11 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. PH-11 will remain open.</p> <p>PH-12 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring was inadequate and a compliance level could not be determined.</p>

Finding	CAP Evaluation Outcome
<p><u>TUBERCULOSIS CLINIC</u></p> <p>A comprehensive review of 5 records revealed the following deficiencies:</p> <p>PH-13: In 1 record, the diagnosis was not recorded on the problem list.</p> <p>PH-14: In 1 of 1 applicable record, there was no evidence of a clinic visit at the completion of therapy.</p>	<p>PH-13 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. PH-13 will remain open.</p> <p>PH-14 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-14.</p>

Finding	CAP Evaluation Outcome
<p><u>EMERGENCY CARE</u></p> <p>A comprehensive review of 18 records revealed the following deficiencies:</p> <p>PH-15: In 2 of 8 applicable records, there was no evidence that a referral was made to a higher level of care when indicated.</p> <p>PH-16: In 1 of 1 applicable record, there was no evidence of staff follow-up upon return of an inmate who had been transferred to the local hospital.</p>	<p>PH-15 & PH-16 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. PH-15 & PH-16 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>SICK CALL</u></p> <p>PH-17: In 4 of 9 applicable records (18 reviewed), there was no evidence that the follow-up visit was completed timely.</p>	<p>PH-17 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. PH-17 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>INFIRMARY CARE</u></p> <p>A comprehensive review of 17 records revealed the following deficiencies:</p> <p>PH-18: In 8 records, there was no evidence that all orders were received and implemented accordingly.</p> <p>PH-19: In 9 of 15 applicable records, the nursing discharge note was missing or incomplete.</p> <p>PH-20: In 3 of 7 applicable records, there was no evidence of a patient evaluation by nursing staff at least every 8 hours.</p>	<p>PH-18, PH-19, & PH-20 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-18, PH-19, & PH-20.</p>

Finding	CAP Evaluation Outcome
<p><u>CONSULTATIONS</u></p> <p>PH-21: In 9 of 16 records reviewed, there was no evidence the diagnosis was recorded on the problem list.</p>	<p>PH-21 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring indicated an acceptable level of compliance had not been met. PH-21 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>INTRA-SYSTEM TRANSFERS</u></p> <p>PH-22: In 9 of 17 records reviewed, there was no evidence the clinician reviewed the health record within 7 days of arrival.</p>	<p>PH-22 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring indicated an acceptable level of compliance had not been met. PH-22 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>MEDICAL INMATE REQUESTS</u></p> <p>PH-23: In 6 of 18 records reviewed, there was no evidence of an incidental note regarding the inmate request.</p>	<p>PH-23 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-23.</p>

Finding	CAP Evaluation Outcome
<p><u>DENTAL SYSTEMS</u></p> <p>PH-24: There was no evidence that all necessary equipment was in working order.</p> <p>PH-25: There was no evidence dental assistants were working within the guidelines established by the Florida Board of Dentistry.</p>	<p>PH-24 OPEN</p> <p>Adequate documentation of correction was not provided to close PH-24.</p> <p>PH-25 CLOSED</p> <p>Adequate documentation of correction was provided to close PH-25.</p>

Finding	CAP Evaluation Outcome
<p><u>DENTAL CLINIC</u></p> <p>PH-26: In 1 of 3 applicable records (18 reviewed), there was no evidence that consultation or specialty services were performed in a timely manner</p>	<p>PH-26 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close PH-26.</p>

Finding	CAP Evaluation Outcome
<p><u>INSTITUTIONAL TOUR</u></p> <p>A tour of the facility revealed the following deficiencies:</p> <p>PH-27: There was no evidence that adequate measures were taken to ensure inmate privacy and confidentiality during exams and/or treatment.</p> <p>PH-28: The medical isolation room was not in working order.</p> <p>PH-29: Over-the-counter medications were not logged correctly in all dorms.</p>	<p>PH-27 & PH-28 CLOSED</p> <p>Adequate documentation of correction was provided to close PH-27 & PH-28.</p> <p>PH-29 OPEN</p> <p>Adequate documentation of correction was not provided to close PH-29.</p>

III. Mental Health Assessment Summary

The CAP closure files revealed evidence to determine that 7 of 30 mental health findings were corrected. Twenty-three mental health findings will remain open.

Finding	CAP Evaluation Outcome
<p><u>SELF-HARM OBSERVATION STATUS</u></p> <p>A comprehensive review of 4 records revealed the following deficiencies:</p> <p>MH-1: In 3 records, an emergency evaluation was not completed by mental health or nursing staff prior to an SHOS admission.</p> <p>MH-2: In 1 record, SHOS orders were not cosigned by the next working day or were incomplete.</p> <p>MH-3: In 3 records, the “Infirmary/Hospital Admission Nursing Evaluation” (DC4-732) was not completed within 2 hours of an SHOS admission.</p>	<p>MH-1 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. MH-1 will remain open.</p> <p>MH-2 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close MH-2.</p> <p>MH-3 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records</p>

Finding	CAP Evaluation Outcome
<p>MH-4: In 1 of 2 applicable records, the guidelines for SHOS management were not observed.</p> <p>MH-5: In 3 records, documentation did not indicate the inmate was observed at the frequency ordered by the clinician (see discussion).</p> <p>MH-6: In 4 records, the “Inpatient Mental Health Daily Nursing Evaluation” (DC4-673B) was not completed once per shift.</p> <p>MH-7: In 1 record, there was no evidence of daily rounds by the clinician.</p> <p>MH-8: In 2 records, there was no evidence of daily counseling by mental health staff.</p> <p>MH-9: In 1 record, the there was no evidence the decision to discharge the inmate was clinically appropriate.</p> <p>MH-10: In 3 records, mental health staff did not provide post-discharge follow-up within 7 days.</p>	<p>indicated an acceptable level of compliance had not been met. MH-3 will remain open.</p> <p>MH-4 OPEN</p> <p>Adequate evidence of in-service training was provided, however there were no applicable episodes available for review. MH-4 will remain open.</p> <p>MH-5 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close MH-5.</p> <p>MH-6, MH-7, & MH-8 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. MH-6, MH-7, & MH-8 will remain open.</p> <p>MH-9 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close MH-9.</p> <p>MH-10 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. MH-10 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>USE OF FORCE</u></p> <p>A comprehensive review of 1 record revealed the following deficiencies:</p> <p>MH-11: In 1 record, a written referral to mental health by physical health staff was not present.</p> <p>MH-12: In 1 record, the inmate was not seen by mental health staff the next working day to determine if a higher level of care was needed.</p>	<p>MH-11 & MH-12 OPEN</p> <p>Adequate evidence of in-service training was provided, however there were no applicable episodes available for review. MH-11 & MH-12 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>INMATE REQUESTS</u></p> <p>A comprehensive review of 6 inmate requests revealed the following deficiencies:</p> <p>MH-13: In 2 of 4 applicable records, the referral or interview did not occur as intended.</p> <p>MH-14: In 1 of 2 applicable records, a consent for treatment (DC4-663) was not signed prior to the interview.</p>	<p>MH-13 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. MH-13 will remain open.</p> <p>MH-14 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring was inadequate and the level of compliance could not be determined. MH-14 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>PSYCHOLOGICAL EMERGENCIES</u></p> <p>A comprehensive review of 7 records revealed the following deficiencies:</p> <p>MH-15: In 2 records, the disposition was not clinically appropriate.</p> <p>MH-16: In 1 of 2 applicable records, follow-up after a psychological emergency did not occur as indicated.</p>	<p>MH-15 & MH-16 OPEN</p> <p>Adequate evidence of in-service training was provided, however a review of randomly selected records indicated an acceptable level of compliance had not been met. MH-15 & MH-16 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>SPECIAL HOUSING</u></p> <p>A comprehensive review of 6 records revealed the following deficiencies:</p> <p>MH-17: In 3 records, the “Special Housing Health Appraisal” (DC4-769) was incomplete or missing.</p> <p>MH-18: In 1 of 1 applicable record, the mental status exam (MSE) was not sufficient to identify problems with adjustment.</p> <p>MH-19: In 1 of 1 applicable record, outpatient mental health treatment did not continue in special housing.</p>	<p>MH-17 CLOSED</p> <p>Adequate evidence of in-service training and documentation of correction were provided to close MH-17.</p> <p>MH-18 & MH-19 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring was inadequate and the level of compliance could not be determined. MH-18 & MH-19 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>OUTPATIENT SERVICES</u></p> <p>A comprehensive review of 9 outpatient mental health records revealed the following deficiencies:</p> <p>MH-20: In 3 records, the S-grade in OBIS does not match the S-grade in the record.</p>	<p>MH-20, MH-21, MH-22, MH-23, MH-24, MH-25, MH-26, & MH-27 OPEN</p> <p>Adequate evidence of in-service training was provided, however institutional monitoring was inadequate and the level of compliance could not be determined.</p>

Finding	CAP Evaluation Outcome
<p>MH-21: In 3 records, the inmate was not seen by mental health within 14 days of arrival.</p> <p>MH-22: In 3 records, problem descriptions on the Individualized Service Plan (ISP) did not include baseline data on frequency, intensity, and functional limitation.</p> <p>MH-23: In 3 records, treatment goals were not objective and measurable.</p> <p>MH-24: In 5 records, the ISP was not signed by all relevant parties.</p> <p>MH-25: In 5 of 6 applicable records, the ISP was not reviewed and revised within 180 days.</p> <p>MH-26: In 4 records, the inmate did not receive services as listed on the ISP.</p> <p>MH-27: In 3 records, the frequency of clinical contacts was not sufficient.</p>	<p>MH-20, MH-21, MH-22, MH-23, MH-24, MH-25, MH-26, & MH-27 will remain open.</p>

Finding	CAP Evaluation Outcome
<p><u>MENTAL HEALTH SYSTEMS</u></p> <p>MH-28: There was no documentation that the MDST meets on a regularly scheduled basis.</p> <p>MH-29: There was no documentation that one hour of accrued clinical supervision is provided to each psychological specialist weekly.</p> <p>MH-30: There was no restraint or self-harm prevention equipment for the inmate population.</p>	<p>MH-28, MH-29, & MH-30 CLOSED</p> <p>Adequate documentation of correction was provided to close MH-28, MH-29, & MH-30.</p>

IV. Conclusion

The following physical health findings will close: PH-2, PH-5, PH-8, PH-9, PH-10, PH-14, PH18, PH-19, PH-20, PH-23, PH-25, PH-26, PH-27, PH-28, & PH-29. All other physical health portions will remain open.

The following mental health findings will close: MH-2, MH-5, MH-9, MH-17, MH-28, MH-29, & MH-30. All other mental health portions will remain open.

Until such time as appropriate corrective actions are undertaken by 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 on-site visit.