

ARIZONA DEPARTMENT OF CORRECTIONS
HEALTH SERVICES CONTRACT MONITORING BUREAU
MEMORANDUM

TO: Arthur Gross

THROUGH: Richard Pratt

FROM: Vanessa Headstream

DATE: March 2013

SUBJECT: ASPC-Lewis status update

March 5, 2013 –

- Reviewed charts @ ASPC Lewis L11 unit
 - o Medical Records –
 - Care plans are not utilized in patient treatment
 - #inmate seen 02/26/13 by a provider, dx of possible LLL pneumonia; chest xray ordered and completed 02/26/13, no results in chart. Xray report located in xray dept. filing
 - o Staffing –
 - A nurse is not posted in the unit, a PCT is onsite for patient monitoring and the nurse is posted at the Hub area if needed
 - o Medications –
 - Open bottle of Insulin in refrigerator dated 11/2012

- Reviewed ASPC Lewis Medical Hub –
 - o HNRs –
 - 94 HNRs found in a stack on the counter dated from 02/21/13 to current, no triage date/time stamp
 - 1 HNR found with a triage date/time stamp of 02/26/13, no medical visit documented or response to I/M
 - In a separate room the following was found:
 - 1 HNR for SDU dated 02/10/13, no triage date/time stamp noted
 - 42 HNRs for Rast dated 02/28/13 to current, no triage date/time stamp noted
 - 19 HNRs for Eagle Point dated 02/21/13 to current, no triage date/time stamp noted
 - 10 HNRs for Bachman dated 03/03/13 to current, 2 had triage dates of 03/05/13 with no response to I/M
 - Pharmacy HNRs were found as follows:
 - 43 dating from 02/20/13 triage stamped 03/05/13, no responses to I/M
 - 3 dating from 02/17/13 triage stamped 03/01/13, no responses to I/M
 - 35 dating from 02/28/13 no triage date/time stamp, no responses to I/M

- Door L1190B (hallway) was left open from 1100 am to 1112 am (I closed it) with a rolling cart of medications and stacks of med cards on the counter, no nurse present in the immediate area
- Overhead cabinets in a hallway room had individual patient supplies in them as follows:
 - #inmate – neoprene knee sleeve – ordered 01/03/13, no documentation in medical file that inmate has received a knee sleeve
 - #inmate – neoprene knee sleeve – ordered 01/03/13, documentation in medical file demonstrates inmate received a knee sleeve 01/29/13
 - #inmate – neoprene knee sleeve – ordered 01/03/13, no documentation in medical file that inmate has received a knee sleeve
 - #inmate – catheter supplies – undated large plastic bag with catheters, gloves, and cleaning supplies
 - #inmate – tennis shoes – IDDM inmate, no order or consult for shoes found in medical file
- Medical Records –
 - #inmate – IDDM was seen on NL for c/o lower quadrant pain with n/v on 02/28/13, referred to PL for further evaluation; no PL appointment has occurred; 4# weight loss since 12/2012 per medical file documentation
 - #inmate – positive PPD, started on INH tx 10/15/2012, transferred from ASPC-Globe on 02/25/13, medications not sent with inmate, HNR requesting meds dated 03/01/13 – not responded to by nursing
 - #inmate – ICS response for unresponsive inmate 03/04/13, no NAP/ERO utilized
 - #inmate – refusal of medical services found on counter; incomplete information on form, i.e. item (evaluation or treatment) refused not documented, consequences not documented, patient education not documented
 - #inmate – NL evaluation 03/04/13 for c/o “kidney pain”; no NAP/ERO utilized
 - #inmate – ICS response for assault, no NAP/ERO utilized, no SOAPE format utilized, C-spine precautions initiated after inmate transferred via medical van from housing unit to medical Hub

March 18, 2013 –

- Reviewed ASPC Lewis Medical Hub –
 - Medical Records –
 - #inmate – HNR dated 03/16/13 c/o not receiving prescribed medications; review of medical file indicates I/M was seen on 03/14/13 for (L) flank pain and blood in urine; hx of renal calculi; orders written by Dr. Merchant have not been noted
 - #inmate – HNR dated 03/17/13 c/o not receiving prescribed medications; review of medical file indicates I/M was seen on 03/05/13, orders were written by Dr. Merchant and filled by Pharmacorr 03/06/13 – will f/u Wednesday
 - #inmate – NL visits 03/07/13; no NAP utilized, no vs documented, no SOAPE format utilized
 - 03/17/13 – no NAP utilized, provider orders received, orders not noted by nursing
 - #inmate – ERO chest pain 03/07/13 incomplete documentation of patient, not signed or dated by nurse, not signed or dated by provider; I/M sent out 911. Return from hospital 03/09/13 with 1 week f/u recommended on d/c paperwork, provider f/u ordered 03/12/13, no Provider f/u documented in medical file; hospital documentation indicates I/M injury occurred to (L) elbow & (R) knee during transport, injury not noted on return from

hospital SOAPE note

- #inmate – unresponsive I/M, found face down on the floor; no c-spine precautions initiated, no NAP/ERO utilized, sent out 911. I/M left hospital AMA 03/17/13, no provider f/u documented
- #inmate – I/M sent out 03/09/13 with head injuries s/p “a fight”; no NAP/ERO utilized, no c-spine precautions initiated, return from hospital 03/09/13, no provider f/u documented; evaluated by nursing 03/10/13, provider contacted and orders received, orders not noted by nursing
- #inmate – hospital return SOAPE not noted by nursing, not signed by provider
- Consults/Reports -
 - 5 outside consult requests returned for more information were found on a cart at medical –
 - #inmate – original c/s 02/19/13, returned 03/07/13
 - #inmate – original c/s 02/06/13, returned 03/05/13
 - #inmate – original c/s 03/06/13, returned 03/07/13
 - #inmate – original c/s 03/05/13, returned 03/07/13
 - #inmate – original NFDR 02/11/13, returned 03/08/13
 - Multiple consult reports and lab/xray results were found with the c/s returns –
 - #inmate – xray report received 02/26/13 indicating “displaced oblique mid shaft fracture”, not signed by a provider, no f/u evaluation documented in medical file
 - #inmate – renal c/s received 02/19/13 indicating 4 wk f/u needed, new treatment plan recommended including change in medications, labs and facility monitoring; not signed by a provider
- Chronic care review –
 - 8 medical files reviewed, 3 non-compliant with f/u appt. (#inmate, #inmate, #inmate)
 - #inmate – problem list indicates HTN, medical file labeled with HTN sticker, no cc appt. history found in SOAPE notes

March 20, 2013 –

- Reviewed ASPC-Lewis Medical Hub –
 - MARs –
 - Eagle Point unit – 64 MARs were incomplete in documentation, i.e. missing dates of administration, no diagnosis information, nursing initials do not have corresponding signature, medication not given as ordered per MAR entry (#inmate Carbamazepine order 03/06/13, not administered until 03/19/13), no allergy information, no start/stop date shown (#inmate), notation made on MAR “chg’d to 2” instead of d/c old order and writing new dose order on MAR (#inmate)
 - Consults/Reports –
 - Barchey/Buckley – 41 charts pending provider review, i.e. lab results, xray results, consult reports, consult requests returned for more information (dated 03/05/13, 03/08/13, 03/07/13)
 - Stiner – 19 charts pending provider review, i.e. same as above information
 - Eagle Point/Sunrise – 20 charts pending provider review, i.e. same as above information
 - Medical Records –
 - 67 transfer/intake charts are on a cart for processing into the facility, transfer dates are from 02/2013 to current

- Unsecured transfer medications are on the bottom shelf of the cart not in any type of packaging
- Barchey unit has 11 pairs of I/M eyeglasses to be delivered in a cabinet (paperwork dated 03/08/13)
- Stiner unit has +/- 25 pairs of I/M eyeglasses to be delivered in a cabinet (paperwork dated 03/08/13)
- Morey unit has 7 pairs of I/M eyeglasses to be delivered in a cabinet (paperwork dated 03/08/13)
- #inmate – orders written by provider on 03/14/13 were not noted by nursing until 03/19/13
- #inmate – xray order written by provider on 02/15/13 still in the chart, not noted or sent to xray for processing
- #inmate – chart remains in provider review after hospital return, I/M sustained injury during transport, injury not addressed by nursing during return assessment
- #inmate – provider orders written 03/07/13 not noted by nursing
- Medication Room –
 - 62 DOT medication cards past their stop date were found on one rack of the currently used medication bins. The medication nurses were unsure of the process for pulling outdated meds, i.e. who is responsible, where to dispose of the meds, etc.
 - #inmate – follow up from Monday, March 18, 2013 – medication is KOP, unable to obtain records for KOP distribution – med nurses indicated security delivers KOP medications but did not know where to find the signed forms used by the I/M to acknowledge receipt of meds.
- Tools/Sharps Inventory –
 - Mandown bag log documentation indicates noncompliance with daily monitoring of usage/access into mandown bag contents

March 25, 2013 –

- Reviewed ASPC-Lewis Medical Hub –
 - MARs –
 - Stiner unit – 88 MARs reviewed (only a portion of the inmates on DOT medications) were incomplete in documentation, i.e. missing dates of administration, no diagnosis information, nursing initials do not have corresponding signature, medication not given as ordered per MAR entry (#inmate Prazosin order 02/07/13, administered 2 doses (03/01/13 & 03/02/13, then documented “N/A” through 03/24/13; #inmate Buspirone ordered 03/20/13, first dose documented 03/23/13; #inmate Fluoxetine order 02/12/13, administered 03/01/13 to 03/05/13, then documented “N/A” through 03/25/13), no allergy information, no start/stop date shown (#inmate, #inmate))
 - Medical Records –
 - Unsecured transfer medications are on the bottom shelf of the intake chart cart not in any type of packaging, transfer charts remain not completed by nursing
 - #inmate – orders written by provider on 03/22/13 were not noted by nursing until 03/25/13, no time of notation documented
 - #inmate – I/M seen by nursing for c/o R flank pain 03/21/13, no NAP/ERO utilized, BP 139/100, nurse documented “No acute distress. Palpation elicits pain”; I/M seen again 03/23/13 for extreme abd pain, no NAP/ERO utilized, BP 163/103; sent to hospital; no

date or complete I/M identification on return SOAPE note; chart in provider review after hospital return

- #inmate – SNO found in I/M #inmate medical file
- #inmate – c/o chest pain, NAP/ERO utilized, notations made by nurse in all margins of the form
- #inmate – ED referral found in chart, no SOAPE note for emergency transport 03/25/13
- #inmate – hx of IDDM -
 - 02/26/13 - s/p documented fall, NAP/ERO notes indicate significant injury, no provider notification documented; no 3 day NL f/u (per protocol) documented
 - 03/05/13 - NL notes document continued edema and pain, limited ROM; xray taken & results shown to provider, dx fibula fx; splint applied f/u ordered;
 - 03/21/13 – provider note dx: spiral fx of lateral malleous, scheduled for ortho surgery evaluation 03/28/13
 - 3/24/13 – @ 0200 ICS for unresponsive I/M– c/o dizziness; incomplete nursing assessment performed; no NAP/ERO utilized
 - @ 0230 ICS for unresponsive I/M– c/o head pain, dizziness; incomplete nursing assessment performed; no NAP/ERO utilized
 - @ 1100 to Medical for c/o LOC x 2; tenderness @ R occipital area documented, c/o abd pain, “lethargic manner”, blood glucose 202, urine + for blood; sent to TSL
 - 03/25/13 @ 0130 nursing note documents TSL report of (1)hepatic encephalopathy, (2)abd pain, and (3)L leg injury
- #inmate – no date or time documented on hospital return SOAPE note, provider notification made, no orders documented

- Medications –

- NFDRs submitted 03/21/13 for Bachman unit have no response documented (#inmate, #inmate, #inmate)

- HNRs –

- Barchey unit – 49 HNRs not responded to by nursing
 - 11 triage date 03/21/13
 - 14 triage date 03/22/13
 - 11 triage date 03/23/13
 - 8 triage date 03/24/13
 - 5 HNR date from 03/07/13 to 03/24/13, no triage date/time stamped
- Buckley unit – 15 HNRs not responded to by nursing
 - 1 triage date 03/07/13
 - 3 triage date 03/20/13
 - 1 triage date 03/22/13
 - 9 triage date 03/23/13
 - 1 triage date 03/24/13
- Rast unit - 1 HNR not responded to by nursing
 - 1 triage date 03/16/13
- Bachman unit – 41 HNRs not responded to by nursing
 - 8 triage date 03/22/13
 - 10 triage date 03/23/13
 - 23 HNR date from 03/17/13 to 03/24/13, no triage date/time stamped
- Stiner unit – 1 HNR not responded to by nursing

- 1 triage date 03/21/13

March 28, 2013 –

- Reviewed ASPC-Lewis medical hub –
 - o Medical records –
 - #inmate – seen for (R) upper arm wound, NAP utilized, not completed by nurse (no plan or education documented), no inmate identifying information noted on SOAPE note (name, ADC #, DOB), no signature by nurse evaluating the inmate
 - #inmate – ICS 03/27/13 @ 2320 c/o chest pain; no NAP/ERO utilized, I/M c/o numbness (R) arm & epigastric pain, pain 7/10; nursing documentation states “I/M left at unit for staff to bring up for ECG due to staffing issues on the unit”; 03/28/13 @ 0001 I/M arrived to medical hub, pain 9/10; ECGs (performed 3 times) abnormal with possible acute infarct, medications administered, provider notified and 911 contacted for transport, no time of transport noted on SOAPE
 - #inmate – SOAPE note, ECG report, and emergency transport paperwork dated 01/18/13 found in a red outguide on the counter; inmate was transferred to ASPC-Yuma on 01/22/13 then to Florence West (M55) on 02/21/13 per AIMS
 - #inmate – return from hospital note incomplete; no date or time noted at top of SOAPE; then “I/M returned from TSL @ 2045 hours” documented under “S”, “Returned to unit @ 2010 hours” documented under “P”
 - #inmate – return from hospital note documents medication orders from sending facility, no provider notification made by evaluating nurse
 - o Tools/Sharps Inventory –
 - o Mandown Bag lock log indicates noncompliance with daily checks -
 - Bag #1 missing check dates of 03/06/13, 03/18/13, 03/19/13, 03/21/13, 03/22/13, 03/23/13
 - Bag #2 missing check dates of 03/01/13, 03/02/13, 03/04/13, 03/06/13, 03/07/13, 03/08/13, 03/09/13, 03/10/13, 03/12/13, 03/13/13, 03/14/13, 03/15/13, 03/16/13, 03/17/13, 03/21/13, 03/22/13, 03/23/13, 03/24/13, 03/26/13, 03/27/13
 - o Tool count book #3 appeared compliant with daily inventory counts
 - MARs –
 - o #inmate – Nortriptyline 75mg not administered as ordered, missing doses on 03/01/13, 03/03/13; circled doses on 03/04-06/13 documented as “patient not in cell”; post it note dated 03/19/13 is attached to the MAR and states “What am I to do with this?”
 - o #inmate – Diphenhydramine 50mg, Carbamazepine 200mg and Risperidone 2mg are documented as refused on several dates, no refusals were found in the medical file matching the dates documented on the MAR; 03/23/13 & 03/24/13 are blank for all medications, no reason code given
 - HNRs –
 - o Eagle Point/Sunrise units – 6 HNRs not responded to by nursing
 - 2 dated 03/22/13, no triage date/time
 - 1 triage date 03/23/13
 - 1 triage date 03/24/13
 - 1 triage date 03/25/13
 - 1 triage date 03/26/13
 - o Stiner unit – 1 HNR not responded to by nursing
 - 1 triage date 03/23/13

- Morey unit – 7 HNRs not responded to by nursing
 - 1 dated 03/16/13, triage date 03/21/13
 - 1 dated 03/18/13, triage date 03/21/13
 - 1 dated 03/19/13, triage date 03/20/13
 - 2 triage date 03/21/13
 - 2 dated 03/21/13, no triage date/time
- Barchey unit – 3 HNRs not responded to by nursing
 - 2 dated 03/26/13, no triage date/time
 - 1 dated 03/27/13, no triage date/time
 - #inmate HNR dated 03/27/13, nurse called the unit in response to the HNR request, security returned the call and denied a medical need at that time, no response to inmate
- Buckley unit – 1 HNR not responded to by nursing
 - 1 dated 03/26/13, no triage date/time
- Rast unit – 5 HNRs not responded to by nursing
 - 5 triage date 03/27/13
- Bachman – 4 HNRs not responded to by nursing
 - 1 dated 03/03/13, no triage date/time
 - 3 triage date 03/16/13
- L11 unit –
 - Medical charts were not available for review, were in supervisor office for scheduling purposes
- Concerns regarding the nurse's application of the molded splint to #inmate without provider supervision or provider review of xray were relayed to Kathy Campbell, Nurse Coordinator and Dr. Robertson, Medical Director. Clarification of scope of practice guidelines has been requested.