

**ARIZONA DEPARTMENT OF CORRECTIONS  
HEALTH SERVICES CONTRACT MONITORING BUREAU  
ASPC-DOUGLAS  
MEMORANDUM**

**TO:** Holly Massey, Corizon FHA

**THROUGH:** Richard Pratt, ADC HSCMB Program Evaluation Administrator Kathy Campbell, RN, ADC HSCNM Health Services Coordinator

**FROM:** Patricia Arroyo, RN, Nursing Monitor

**DATE:** April 5, 2013

**SUBJECT: Compliance Monitoring Activities/Findings for the month of March, 2013.**

This memorandum is for the purpose of providing you a recap of the activities and observations I have encountered during my monitoring visits to the health areas this month.

As March 4, 2013 was the inception of the Corizon / ADC Health Service Contract, and as this required a very short transition from the previous contract vendor, a formal Monitor findings / corrective action plan was deemed not practical for this month. Beginning April, 2013, I will once again commence utilizing the M-GAR, and you and your team will be responsible for providing timely corrective action plans to any negative findings which may be encountered. Please be assured that while the M-GAR is utilized for the purpose of documenting negative findings, which in turn require timely written corrective action plans, my commitment to assisting you and your staff to attain and maintain compliance with ADC policy, the Health Services Contract, and NCCHC standards remains strong.

**CONTRACT INCEPTION:** in my opinion, was strong and displayed a real commitment by the corporate structure of Corizon to partner with ADC in this large and important undertaking. It was very good to see Corizon Corporate staff at the facility since the middle of February working to ensure as smooth a turnaround as possible and training the local staff in their duties and responsibilities. While there was a great deal of understandable anxiety by you and your staff, it was good to see the professional manner in which ALL reacted to this change.

**CHRONIC CARE CLINICS:** as you are well aware, chronic care appointments had been pushed to the back burner. While this was a difficult issue to contend with, with only one mid-level providing all the patient care at this facility, I am looking forward to great progress being made. The following charts were reviewed, and Nursing Supervisor was notified. Issues are being addressed.

inmate, Unable to verify when he was seen for CC appointment.

inmate [REDACTED], Asthma, Inmate seen 10/12, Provider requested to see inmate mid 1/13. He has not been scheduled as of to date 3/8/13. Also, ROS: was not documented on CC form, Peak flow was ordered not documented. Provider ordered Hep B series vaccine to be administered. There is no documentation that a MAR was made. Nor did I find a MAR for Hep B vaccine in MAR section.

inmate [REDACTED], Inmate has not been seen for CC since 8/11. Nor is the CC discontinued for Asthma.

inmate [REDACTED], Asthma, Inmate seen on 7/30/12, Provider did not specify time frame for next visit. VS not documented, Peak flow not documented.

inmate [REDACTED], Asthma, Inmate seen 2/13, due 8/13, Peak Flow not documented,

inmate [REDACTED], Asthma, HCV+, Inmate seen 9/12, due 3/13. Subjective not filled out Peak flow not documented

#### **D & E Unit**

inmate [REDACTED], Asthma, Inmate seen 2/13, due 4/13. ROS was not documented.

inmate [REDACTED], Asthma, Inmate seen 2/13, due 4/13. ROS was not documented.

Peak flow ordered by provider not documented for review.

inmate [REDACTED], HTN, DM, Asthma/COPD, Chronic Care for DM, HTN not addressed. No labs ordered for renal function, Micro Albumin, HgA1C, Peak flow not documented, Inmate seen 2/13, not requested to be seen till 2/14. Inmates B/P was 113/72 at CC visit. Do we D/C HTN, CC? Hg A1C was 5.6 on 8/13/12.

inmate [REDACTED], Inmate seen for CC on 11/12, due 5/13. Labs were ordered to be done 1/13: CMP with lipids, CBC, Thyroid panel, Hg A1C, has not been completed.

#### **Baker Ward**

inmate [REDACTED], HIV, HCV+, Inmate seen 10/12, due 4/13. Order not noted.

#### **Aspen Unit:**

inmate [REDACTED], Seizures, Inmate seen for Physical Exam on 5/29/12. Has not been seen for CC.

Carbamazepine medication is being renewed in a timely manner. CC log reflects inmate was seen 10/23/12, there is no documentation in the chart verify this information. The CC log reflects next appointment is 10/23/13.

inmate [REDACTED], Inmate CC is Hep C, Inmate seen by provider on 5/12 for Hep C. Note indicates for f/u of Hep C at next yard. It has not been addressed as of to date. The CC log indicates no appointment pending.

inmate [REDACTED] - Inmate CC is HTN, Seizures, Inmate admitted on 2/28/13 to Aspen unit. Inmate has not been seen for CC since 10/11.

inmate [REDACTED], Hep C. Inmate seen 2/13, will be seen 8/13. **The CC log reflect next appointment is 9/13 which is incorrect. CC form is not noted by nurse.**

inmate [REDACTED], Inmate HTN, IDDM, Hep C+, Last seen 11/12, CC due 2/13 past due,

inmate [REDACTED], Inmate CC is Seizures, Inmate seen 12/12, due 2/12. Appointment is past due. CC form is not noted by Nurse.

inmate [REDACTED], Inmate CC is Cancer, Inmate seen 5/12, due 5/13. CC form is not noted by Nurse.

Education of disease process not documented :

inmate [REDACTED]

inmate [REDACTED]

#### **Aspen Unit:**

inmate [REDACTED] **Education is not documented**

inmate [REDACTED] **Education is not documented**

inmate [REDACTED] Education is not documented.

inmate [REDACTED] Education not documented

inmate [REDACTED], Education is not documented.

inmate [REDACTED], Education is not documented.

#### **Medical Consults:**

inmate [REDACTED]: Left Inguinal Hernia repair done in 1/17/13. Provider reviewed dictated note on 1/29/13.  
Inmate seen for f/u on 2/26/13.

inmate [REDACTED]: Cardiology AICD interrogation needed. Consult wrote 1/29/13. Call placed to CC  
awaiting call return on pending consult.

**ADC POLICY, CONTRACT REQUIREMENTS and NCCHC STANDARDS:** these three areas are required to be followed explicitly. If there is ever any question as to how something needs to be accomplished, please refer to these documents. I am available as a resource and it is my duty, responsibility and desire to help ensure the success of Corizon Health to provide Constitutionally Mandated Health Care to the Inmate population.

Sincerely,

Patricia Arroyo

c.c Arthur Gross, AD, HSCMB  
Helena Valenzuela Compliance Monitor I

Phoenix  
 Corrective Action Plan-  
 Prepared By: Holly Elaine Massey, FHA

Problem Identified	Discussion	Corrective Action Plan	Responsible Person	Status	Anticipated Completion Date	Date Completed
<p>The physical examination completed by a medical provider by day two of the intake process is non-compliant.</p>	<p>72 hours recorded as the timeframe by which to have screening processes complete. ADOC12-00001105 2.9.2</p>	<p>Will continue to monitor the Intake process for compliance with initial processing, to include: CBC, RPR, PPD screening, CXR if positive PPD, UA, Panorax X-ray, 14 Day Mental Health Assessment, Nursing Screening and Physical Exam.</p>	<p>Holly Elaine Massey, RN, FHA            And            Sheldon Epstein, SMD</p>	<p>Complete.</p>		<p>4/2/13</p>
<p>Sick call inmates being seen within 24 hours of the HNR being triaged (or immediately if inmate is identified with emergent medical needs) remains non-compliant.</p>	<p>HNRs to be picked up between 2000 and 0400 and will be triaged by 0800. HSTM 5.3.1.</p>	<p>Nursing staff trained on process of HNR collection, triage and treatment line. To be reinforced at nursing meeting scheduled for April 17, 2013, where staff will sign that they have received and comprehended said policy. Process compliance to be reviewed on a continuing basis by DON who will review weekly with FHA.</p>	<p>Holly Elaine Massey, RN, FHA            And            Humberto Sirvent, DON</p>	<p>In process.</p>	<p>4/19/13</p>	
<p>Nursing protocols remain inconsistently utilized by the nurses for sick call and it appears there is not a sick call line by nursing.</p>	<p>"Nursing Assessment Protocols are clinical guidelines for licensed nursing staff when a practitioner is not readily available or on site. Using these guidelines, licensed nursing staff may initiate protocols based on their nursing assessment and/or observation." ERO &amp; NAPs Introduction to Nursing Assessment Protocols.</p>	<p>Nursing continuously encouraged to use their clinical judgment and apply NAPs when observed to be deemed necessary.</p>	<p>Holly Elaine Massey, RN, FHA            And            Humberto Sirvent, DON</p>	<p>Complete.</p>		<p>4/2/13</p>

Phoenix  
 Corrective Action Plan-  
 Prepared By: Holly Elaine Massey, FHA

Problem Identified	Discussion	Corrective Action Plan	Responsible Person	Status	Anticipated Completion Date	Date Completed
<p>Laboratory results remain inconsistent in being provider reviewed. Lab results are not being reviewed by the on site provider. Additionally, the lab results are <u>not</u> transferred with the inmate in his medical record to his permanent yard in a timely manner creating a situation of unavailability of laboratory results to medical staff at the inmate's permanent facility.</p>	<p>"All laboratory test results are to be reviewed by a medical provider, psychiatrist, or dentist. "Panic" values as outlined by the contract laboratory are to be reported to the appropriate provider immediately for review and action, as necessary. Routine results will process as follows:          -Test results are received by designated computer(s).          -Results are placed in the inmate's medical record with a designated review stamp for provider review.          -After provider review, the lab results are filed in the medical record."          HSTM 4.2.0.8.0.</p>	<p>Medical Records staff to be trained on policy. Provider Review stamps to be ordered and readily available to Medical Records and Nursing staff in Clinic. MRLS to provide reinforcement and audit continuously. MRLS to review progress weekly with FHA.</p>	<p>Holly Elaine Massey, RN, FHA          And          Salvador Salas, MRLS</p>	<p>In process.</p>	<p>4/23/13</p>	

# Corizon Health MEMORANDUM

**To: Helena Valenzuela, PhD., Health Services Compliance Monitor**

**From: Holly Elaine Massey, RN, Facility Health Administrator**

**Date: April 2, 2013**

**Subject: Response to Monitor Findings for March, 2013 at the Phoenix Alhambra Complex**

This memorandum is intended as a response to your investigation into the alleged compliance issues encountered during the month of March at the Phoenix Alhambra Complex.

## Intake

**The physical examination completed by a medical provider by day two of the intake process is non-compliant as demonstrated by the following inmate medical records:**

Inmate	arrive	PE	
inmate	2/28/13	3/4/13	-- Arrived 2-28-13 -- PE completed 3-4-13 -- IBU & PCN Prescribed during PE -- 3-11-13 Extraction by Dr. Sirjani
inmate	3/6/13	3/9/13	-- Arrived 3-6-13 and PE 3-9-13 by Dr. Anikwue & transferred 3-12-13 -- Healthy no issues
inmate	3/6/13	3/11/13	-- Arrived 3-6-13 and PE completed 3-11-13 - Transferred 3-12-13
inmate	3/5/13	3/8/13	-- PE on 3-8-13 No C/C noted by MD
inmate	3/8/13	3/14/13	-- Arrived 3-8-13 -- Prescriptions written 3-8-13 by S. Epstein -- PE completed 3-14-13 Transferred 3-15-13
inmate	3/9/13	3/13/13	-- No C/C noted by MD -- MH 3-11-13
inmate	3/7/13	3/12/13	-- No C/C noted by MD
inmate	3/6/13	3/9/13	-- No C/C noted by MD
inmate	3/11/13	3/14/13	-- No C/C noted -- Released on the 3-15-13

**Sick call inmates being seen within 24 hours of the HNR being triaged (or immediately if inmate is identified with emergent medical needs) remains non compliant.**

The following inmates have already been transferred without receiving medical or dental attention for their complaints specified in their HNR and their HNRs remained here on 3/13/15.

HNR:

inmate HNR dated 3/11 inmate states dental needs/ HNR nurse response on 3/13/13 --

**No information in this chart regarding this HNR**

(All three copies were together indicating inmate did not receive a response) --- **No information in this chart regarding this HNR**

inmate HNR dated 3/11/13 inmate requests filling/ HNR nurse response on 3/13/13 -- **No information in his chart regarding this HNR**

inmate HNR dated 3/11/13 inmate states "had cavity filled-tooth hurts bad, gum swollen-this is an emergency"/ HNR nurse response on 3/12/13"refer to dental" -- Documentation not received unable to verify

inmate HNR dated 2/26/13 inmate requests denture supplies/ HNR nurse wrote no response in the response space --

-- HNR dates 3-5-13 Picked up on 3-6-13 triaged to Dental per Nursing -- 3-11-13 Dental issued denture adhesive; #2 HNR date 2-26-13 by inmate answered on the 3-13-13 by dental indicating that medication was issued on 3-11-13. Dates are not consistent with HNRs.

inmate HNR dated 3/4/13 -inmate states he is in pain and was scheduled for oral surgery in county, and that was 7 weeks ago/ HNR response by nurse dated 3/7/13-"refer to dental" - Inmate transferred 3-7-13

**Nursing protocols remain inconsistently utilized by the nurses for sick call and it appears there is not a sick call line by nursing.**

inmate Inmate writes he has been taking medication for blood pressure and a blood thinner. He writes he has a pulmonary embolism and feels lightheaded. Response from nurse on HNR: "When you see the Dr. be sure to tell him what you need." -- 3-8-13 RN intake completed -- PE 3-12-12

inmate HNR inmate request "diabetic shoes" /HNR nurse response: Get at the next yard. Response was dated 3/7/13-inmate is still here on 3/12/13. -- Transferred 3-6-13 - upon arrival C/C for I/M states didn't receive shoes -- Good chance in his short time here shoes in his size were not available.

inmate HNR inmate states has earache / HNR nurse response: Dr. Line -- Documentation not received unable to verify

inmate HNR dated 3/4/13 -inmate states he is in pain and was scheduled for oral surgery in county, and that was 7 weeks ago/ HNR response by nurse dated 3/7/13-"refer to dental" -- NO HNR in chart -- Inmate seen 2-6-13 @1400 and prescribed IBU PRN for pain - Inmate transferred 3-7-13

inmate HNR dated 3/11 inmate states he has a toothache/ HNR response from nurse is to submit HNR at permanent facility. (All three copies were still together on the HNR indicating inmate never received response, now, on 3/13/13, inmate has been transferred; however, his HNR remains here.) -- Was seen 3-5-13 by Dr. Anikwue for complete PE. No issues on C/C per inmate and doctor. -- Inmate transferred 3-11-13

inmate HNR inmate states head pain/ HNR nurse response "Dr. Line" -- Inmate transferred 3-14-13

inmate HNR -inmate states dental pain/HNR response on 3/8/13 from nurse, "Refer to Dental" (all three pages on the HNR were still together indicating inmate never received a response, now, on 3/13/13, inmate is transferred; however, his HNR remains here. -- Inmate seen by S. Epstein on 3-6-13 prescribed IBU & to follow up with Dental at next yard -- Inmate transferred 3-7-13.

inmate HNR dated 3/3/13- inmate states socks were taken during a "shake down"; he needs a sock for his leg brace / HNR nurse response on 3/5/12: "I will contact security." -- HNR picked up 3-5-13 @0800 -- Response on HRN 3-5-13 @ 0830 -- Inmate transferred A02 3-4-13

inmate HNR dated 3/4/13 inmate states tooth pain/ HNR response on 3/5/13, will be seen by dental-HNR remains here on 3/13/13 indicating inmate did not receive a response or was not evaluated -- Seen by Dr. Redeker on 3-2-13 prescribed IBU & Z-Pack for prn pain -- Inmate transferred 3-5-13

inmate HNR inmate states has "cyst on butt crack"/HNR response from nurse "Dr. Line" -- Reoccurring cyst there is multiple documentation regarding this issue -- 3-23-13 F/U with Dr. Redeker for procedure

inmate HNR dated 3/4/13 -inmate states he is in pain and was scheduled for oral surgery in county, and that was 7 weeks ago/ HNR response by nurse dated 3/7/13-"refer to dental" -- Double entry -- See above -- NO HNR in chart -- Inmate seen 2-6-13 @1400 and prescribed IBU PRN for pain - Inmate transferred 3-7-13

inmate HNR dated 3/11/13 inmate states "had cavity filled-tooth hurts bad, gum swollen-this is an emergency"/ HNR nurse response on 3/12/13"refer to dental" -- Released in 2001

inmate HNR dated 3/13/13 inmate complaint is of stomach pains and "gastritis" /HNR nurse response on 3/14/13 is "Dr Line" -- 3-15-13 seen by Dr. Epstein prescriptions written

inmate HNR dated 3/13/13 inmate writes "emergency" "teeth hurt" "face swollen" pain/ HNR nurse response on 3/14/13 is "refer to dental"  
-- Documentation not received unable to verify

**LABORATORY RESULTS remain inconsistent in being provider reviewed:** Lab results are not being reviewed by the on site provider. Additionally, the lab results are not transferred with the inmate in his medical record to his permanent yard in a timely manner creating a situation of unavailability of laboratory results to medical staff at the inmate's permanent facility.

The following laboratory results were filed in the medical record ready for transfer to the permanent yard and not provider reviewed:

inmate -- Arrived 3-11-13, labs collected on the 13th - results received on the 14th & IM transferred on 3-15-13.

inmate -- Documentation not received unable to verify

inmate -- PA Cavanagh reviewed labs & SOAPE documented on 3-11-13

inmate -- Documentation not received unable to verify

inmate -- No labs in chart. Arrived 3-11-13 transferred 3-14-13 labs reviewed 3-15-13 at yard

inmate -- Labs reviewed & SOAPE documentation on 3-11-13 by PA Cavanagh

inmate -- PE 3-5-13 labs printed 3-15-13 as of 3-18-13 labs given to S. Epstein MD

inmate -- Documentation not received unable to verify

#### Medical Record

inmate -- Labs NOT in chart -- Arrived 3-8-13 transferred 3-15

inmate -- Labs reviewed 2-12-13 by Dr. Dimaano  
Had no lab results are filed in their chart.

The following inmate laboratory results have not been provider reviewed:

inmate -- Arrived the 3-5-13 and transferred 3-6-13 and reviewed 3-7-13 at yard  
inmate -- Labs review & stamped 3-12-13 by M. Sandoval MD  
inmate -- Documentation not received unable to verify  
inmate -- Documentation not received unable to verify  
-RESULTS available on 3/7/13; however, 3/13/13 inmate laboratory results remain unreviewed by provider

inmate -- Documentation not received unable to verify  
- RESULTS available on 2/25/13;; however, 3/13/13 inmate laboratory results remain unreviewed by the provider

inmate -- PVT arrived 2-22-13 & transferred 3-1-13 -- Results arrived after he was transferred.  
inmate -- Documentation not received unable to verify  
- RESULTS available on: 3/1/13; however, 3/13/13 inmate laboratory results remain unreviewed by the provider

inmate -- Documentation not received unable to verify  
- RESULTS available on 3/5/13;; however, 3/13/13 inmate laboratory results remain unreviewed by the provider

inmate -- Labs reviewed and stamped by L. Sherman MD on 3-13-13,  
inmate -- Documentation not received unable to verify -- Chart unavailable  
inmate --Labs were reviewed & stamped by L. Sherman on 3-13-13  
inmate --Labs reviewed by M. Sandoval MD on 3-12-13 with SOAPE documented  
inmate -- Not valid I/M number, possible transcription  
inmate -- Labs reviewed & Stamped by L. Sherman MD on 3-13-13  
inmate --Documentation not received unable to verify  
RESULTS available on 3/11/13; however, on 3/15/13 were unreviewed by the provider

inmate --Results reviewed and SOAPE note documented by M. Sandoval MD on 3-13-15 @1300.  
RESULTS available on 3/7/13however, on 3/15/13 the following laboratory results were unreviewed by the provider