

CONTENTS

FOREWORD	xv
PREFACE	xvii
ACKNOWLEDGMENTS	xix
ABBREVIATIONS	xxi
CHAPTER I. INTRODUCTION	1
Note	6
CHAPTER II. HISTORICAL OVERVIEW: THE MOVEMENT TO IMPROVE CORRECTIONAL HEALTH CARE	7
A. The Status of Health Care in Prisons and Jails	10
1. Inmates Entered Institutions in Poor Health	11
2. Many Institutions Lacked Health Care Facilities	12
3. Health Care in Corrections Was Inadequate	13
4. Living Conditions in Prisons and Jails Caused Health Problems	13
B. Barriers to Improvement	15
1. Courts and the “Hands Off” Doctrine	15
2. Correctional Officials’ Attitudes and the Inmate Social System	16
3. The Medical Profession and “Hands On” Care	17
C. Justifications for Improving Correctional Health Care	19
1. Ethical Considerations	19
2. Security Reasons	20
3. Humanitarian and Health Concerns	20
4. Legal Issues	21
D. Early Solutions—The Beginning of Reform	22
1. State, Local, and National Programs	22
2. National Standards	23
E. Recent Efforts to Improve Correctional Health Care	24
F. Conclusions	27
Notes	27
References	33

CHAPTER III. LEGAL CONSIDERATIONS IN THE DELIVERY OF HEALTH CARE SERVICES IN PRISONS AND JAILS	41
A. Summary	43
B. Introduction	44
C. Inmate Lawsuits	44
D. The Eighth Amendment	45
E. The Evolution of Judicial Involvement in Correctional Health Care	46
F. Deliberate Indifference	46
1. The Right to Access to Care	47
2. The Right to the Care That Is Ordered	47
3. The Right to a Professional Medical Judgment	48
G. Serious Medical Needs	48
H. The Constitutional Class Action Challenge	49
I. Components of a Constitutional System	49
1. A Communications and Sick Call System	49
2. A Priority System	50
3. Personnel	50
4. Contracting Out	50
5. Medical Records	50
6. “Outside” Care	51
7. Facilities and Resources	51
8. Quality Assurance, Accreditation, and Compliance With Standards	51
J. Special Needs and Populations	52
1. Disabled Inmates	52
2. Mental Health Care	53
3. Pregnancy and Abortion	54
4. AIDS and HIV Infection	54
K. Legal and Ethical Considerations	55
1. Provider-Patient Relationship	55
2. Confidentiality	55
3. Right to Refuse Treatment	56
L. Recent Trends and Issues	57
1. Fee-for-Service Plans	57
2. The Prison Litigation Reform Act	57
3. Sexual Predator Laws	59
M. Conclusion	59
Notes	59
References	61

CHAPTER IV. ETHICAL CONSIDERATIONS AND THE INTERFACE WITH CUSTODY	67
A. Introduction	69
B. Issues and Principles in Biomedical Ethics	69
1. Special Characteristics of the Correctional Setting	70
2. The Doctor-Patient Relationship	71
3. Informed Consent and the Right to Refuse Care.....	72
4. Confidentiality	73
5. Biomedical and Behavioral Research in Correctional Settings	75
6. Terminal Care, End-of-Life Care, and Advance Directives	77
7. Other Issues.....	79
C. Bioethical Issues Unique to Correctional Settings.....	79
1. Body-Cavity Searches.....	81
2. Collecting Forensic Information.....	82
3. Witnessing Use of Force	82
4. Use of Restraints for Nonmedical Purposes.....	83
5. Disciplinary Segregation	83
6. Other Punishment Modes.....	84
7. Hunger Strikes	85
8. Executions.....	85
9. Mental Health Evaluations.....	86
D. Interacting With Custody Staff.....	87
1. Classification Committees	87
2. Institutional Transfers	88
3. Disciplinary Hearings	88
4. Sharing Other Information	89
E. Conclusions	89
Notes	89
References.....	92
CHAPTER V. THE ORGANIZATIONAL STRUCTURE OF CORRECTIONAL HEALTH SERVICES	95
A. Introduction	97
B. Organizational Models	98
1. Prison Health Care.....	98
2. Jail Health Systems	103
3. Summary.....	104
C. Components of the Organizational Structure.....	105
1. Need for a Systemwide Health Services Director.....	105
2. Reporting Structure for the Systemwide Health Services Director	106
3. Type of Professional Serving as the Systemwide Health Services Director	106

4. Areas Included Under Health Services.....	107
5. Health Services Operated by the DOC Versus Privatization.....	107
6. Line Authority Over Unit Health Personnel.....	110
7. The Role of Central Office Health Staff.....	111
8. The Role of Regional Health Staff.....	113
9. Organization of Health Services at the Unit Level.....	114
D. Conclusions	114
Notes	114
References.....	115
CHAPTER VI. STAFFING CONSIDERATIONS.....	117
A. Staffing Patterns	119
1. Survey Results	119
2. Factors Influencing Staffing Patterns.....	123
3. Methods of Calculating Staffing Patterns	126
4. Steps in Developing Staffing Patterns.....	127
B. Comparison of National Salaries, Vacancy Rates, and Turnover Rates.....	133
C. Recruitment and Retention Strategies	137
1. Determining the Employment Package	139
2. Reviewing Employment Practices	143
3. Reaching the Potential Market.....	143
D. The Selection Process	144
E. Staff Development Programs	146
1. Training for Health Staff.....	146
2. Training for Custody Staff	148
F. Conclusions.....	149
Notes	149
References.....	150
CHAPTER VII. HEALTH CARE DELIVERY SYSTEM MODEL.....	153
A. Comparative Analysis of Standards	155
B. The Medical Program	157
1. Basic Ambulatory Care	157
2. Specialty Care.....	167
3. Inpatient Care.....	168
4. Emergency Care.....	171
5. Discharge Planning.....	172
C. The Mental Health Program	172
1. Intake	173

2. Crisis Intervention	174
3. Outpatient Treatment	175
4. Specialty Care	175
5. Inpatient Services	175
6. Special Issues: Therapeutic Seclusion, Therapeutic Restraint, and Forced Psychotropic Medication.....	176
7. Discharge Planning	177
D. The Dental Program	178
1. Intake	178
2. Basic Dental Care.....	179
3. Specialty Care.....	180
4. Emergency and Urgent Care	180
E. Eye Care.....	180
1. Intake Procedures.....	180
2. Basic Eye Care.....	181
3. Specialty Care and Emergency Care.....	181
F. Other Services	181
1. Ancillary Services	182
2. Custody Support.....	182
G. Conclusions.....	183
Notes	183
References.....	186
CHAPTER VIII. PROGRAMMING FOR SPECIAL HEALTH NEEDS.....	191
A. The Scope of the Problem	193
B. Special Medical Needs	195
1. Chronic and Communicable Diseases and Conditions.....	195
2. Physically Handicapped.....	199
3. Geriatric Offenders.....	201
4. The Terminally Ill.....	202
C. Special Mental Health Needs	206
1. Self-Mutilators and the Aggressive Mentally Ill	206
2. Suicidal Inmates	210
3. Sex Offenders.....	212
4. Substance Abusers	213
5. The Mentally Retarded Offender	214
D. Conclusions	215
Notes	216
References.....	221

CHAPTER IX. WOMEN’S HEALTH NEEDS AND SERVICES	231
A. Introduction.....	233
B. Women’s Health Needs.....	233
1. Basic Medical Needs	233
2. Special Medical Needs	234
3. Mental Health Needs.....	235
4. Dental Health Needs.....	238
C. Health Services for Incarcerated Women.....	238
1. Intake Services.....	239
2. Basic Medical Care	239
3. Mental Health Care.....	241
4. Health Education Services.....	242
D. Conclusions	243
Notes	243
References.....	245
CHAPTER X. HEALTH PROMOTION AND DISEASE PREVENTION.....	251
A. Introduction.....	253
B. Environmental Health and Safety	254
1. Administration	254
2. General Concepts and Applications.....	254
3. Specific Applications	258
4. Safety and Emergency Operations.....	262
C. Communicable Disease and Infection Control.....	263
1. Prevalent Infectious Diseases in Inmate Populations	263
2. Need for Immunizations for Inmate Populations	266
3. Basic Immunizations Required.....	266
4. Infection Control.....	267
5. Appropriate Isolation Precautions for Diagnosed Infectious Diseases	268
D. Health Education	268
1. Need for Health Education for Inmates	269
2. Role of the Health Services Central Office Personnel.....	269
3. Role of Institutional Health Personnel	269
4. Basic Health Education Topics	270
E. Conclusions	273
Notes	273
References.....	277

CHAPTER XI. PLANNING CORRECTIONAL HEALTH FACILITIES	281
A. Introduction.....	283
B. Organizing the Planning Process	284
1. Creating the Planning Committee	284
2. Defining Tasks and Responsibilities.....	287
3. Defining the Objectives of the Health Program.....	288
C. Determining the Information Needs.....	288
1. Inmate Health Profile and Utilization of Health Services	288
2. Health Resources.....	289
3. Cost Estimates	289
D. Analyzing the Data	289
1. Population Characteristics	289
2. Evaluating Health Resources	289
3. Comparing Costs	290
E. Determining the Level of Care and Services	293
F. Developing the Architectural Program	296
1. Health Components.....	296
2. Custody Components	297
G. Summarizing the Design Needs	297
1. Dimensions and Spaces	297
2. Traffic Pattern.....	300
3. Architectural Program Statement	301
H. Postdesign Considerations.....	302
1. Occupancy of the New Unit	302
2. Postoccupancy Evaluation.....	302
Notes	303
References.....	303
CHAPTER XII. DATA MANAGEMENT AND DOCUMENTATION	305
A. The Policy and Procedures Manual	307
B. The Health Record	310
1. Format.....	310
2. Basic Contents	311
3. Charting Guidelines	311
4. Confidentiality	312
5. Transfer of Health Records/Information.....	312
6. Retention of Records	313

C. Administrative Information Needs.....	313
1. Meeting Minutes.....	313
2. Budget and Cost Data.....	313
3. Personnel.....	314
4. Inventories.....	314
5. Logs, Checklists, and Inspection Forms.....	314
6. Statistical Reports.....	315
7. Patient-Based Data.....	315
D. Data Collection and Management.....	315
1. Definition of Terms.....	316
2. The Pros and Cons of a Computerized MIS.....	317
3. Structure of an MIS.....	318
4. Developing a Database.....	320
E. Conclusions.....	322
Notes.....	322
References.....	322
CHAPTER XIII. IMPROVING THE QUALITY OF CORRECTIONAL HEALTH CARE.....	325
A. Definition of Terms.....	327
B. The Purpose of Quality Improvement.....	328
C. Internal Programs to Improve Quality.....	331
1. Quality Assurance.....	331
2. Continuous Quality Improvement.....	336
D. Resources for Quality Improvement Efforts.....	338
E. External Programs to Improve Quality.....	338
F. Conclusions.....	340
Notes.....	341
References.....	342
CHAPTER XIV. COST CONSIDERATIONS: FINANCING, BUDGETING, AND FISCAL MANAGEMENT.....	345
A. Financing.....	347
1. Federal Government Sources.....	347
2. Private Sources.....	348
3. Offenders Pay for Own Care.....	348
4. Legislative Appropriations.....	350
B. Budgeting.....	351
1. Definition and Uses.....	351
2. Approaching the Budget Process.....	351
3. Some Terms and Distinctions.....	353

- 4. Specifying Line Items355
- 5. Centralized Versus Decentralized Budget Preparation356
- 6. Options When Funding Is Insufficient.....357
- 7. Updating a Budget360
- 8. Beyond Budgeting360
- C. The Cost of Care361
 - 1. Prison Health Care Costs362
 - 2. Jail Health Care Costs368
- D. Controlling Health Care Costs.....371
 - 1. Improving Efficiency.....374
 - 2. Rationing Care.....375
- E. Conclusions381
- Notes382
- References.....383

- CHAPTER XV. CONCLUSIONS AND FUTURE ISSUES387**
 - A. Data Collection390
 - B. Information Sharing390
 - C. Emphasizing Prevention390
 - D. Increasing Professionalism.....391
 - E. Reducing Costs.....391
 - F. Improving Quality392
 - Notes392
 - References.....393

- BIBLIOGRAPHY395**
 - 1. Articles and Books.....397
 - 2. Court Cases.....427

- APPENDIXES431**
 - A. Health Summary for Classification, Texas Department of Criminal Justice431
 - B. Organizational Structure of Health Services in Selected Departments of Correction441
 - 1. Organizational Structure of Health Services in Selected State Departments of Correction443
 - 2. Organizational Structure of Health Services in Selected County Departments of Correction.....449
 - C. Sample Organizational Structure Charts for Correctional Health Services451
 - 1. Sample Organizational Structure of Health Services in the DOC's Central Office:
Health Administrator as Health Services Director453

2. Sample Organizational Structure of Health Services in the DOC's Central Office: Physician as Health Services Director	454
3. Sample Organizational Structure of Unit Health Services: Professional Administrator as Unit Health Authority.....	455
4. Sample Organizational Structure of Unit Health Services: Physician as Unit Health Authority.....	456
5. Sample Reporting Structure of Unit Health Services	457
D. Coverage Factor Calculation Summary	459
E. Comparative Analysis of Standards on Health Care in Prisons and Jails	463
F. Sample Health Record Forms	477
1. Health Services Request	479
2. NYSDOCS Request & Report of Consultation	480
3. Eye Record	481
4. Eye Glass Fax Order Form	482
G. Matrix for Special Health Needs	483
H. Sample Mental Health Policies	487
1. Outpatient Psychological Observation	489
2. Psychiatric Crisis Management	493
3. Observation Checklist.....	496
4. Instructions for Completing Observation Checklist	497
I. NCCHC's Position Statement on the Administrative Management of Inmates With HIV-Positive Test Results or AIDS	499
J. Sample Clinic/Infirmary Equipment List	505
K. Sample Quality Improvement Policy and Guidelines	511
1. Sample Policy: Quality Assurance Program—Illinois DOC.....	513
2. Chronic Illness Guidelines—Hypertension	524
3. Special Needs Individual Treatment Plan—Hypertension.....	525
4. CQI Auditing Tool—Hypertension	526
L. Cost-Comparison Tables	527
1. Variance in Timeframes of Fiscal Years, by State	529
2. Comparison of 1998 Total DOC Expenditures in Rank Order, by State	530
3. Comparison of 1998 Total Prison Health Care Expenditures in Rank Order, by State	531
4. Comparison of Percentage of 1998 Total Prison Expenditures Devoted to Health Care in Rank Order, by State.....	532
5. Comparison of 1998 Annual Health Care Cost per Inmate in Rank Order, by State	533
6. Comparison of 1998 Daily Health Care Cost per Inmate in Rank Order, by State	534
7. Comparison of 1982 Correctional Health Care Costs, by State.....	535
8. Comparison of 1985 Correctional Health Care Costs, by State.....	536
9. Comparison of 1989 Correctional Health Care Costs, by State.....	538
10. Variance in Timeframes of Fiscal Years, by County.....	539
11. Comparison of 1998 Total Jail Expenditures in Rank Order, by County.....	540

12. Comparison of 1998 Total Jail Health Care Expenditures in Rank Order, by County.....541

13. Comparison of Percentage of 1998 Total Jail Expenditures Devoted to Health Care
in Rank Order, by County542

14. Comparison of 1998 Annual Health Care Cost per Inmate in Rank Order, by County.....543

15. Comparison of 1998 Daily Health Care Cost per Inmate in Rank Order, by County.....544

M.About the National Commission on Correctional Health Care545

INDEX.....549

LIST OF EXHIBITS

V-1. Organizational Structure of Prison Health Services in the DOC Central Office, by State 100

V-2. Position to Which Full-Time Health Services Director of the DOC Reported, by State 100

V-3. Type of Professional Serving as the Correctional Health Services Director, by State 101

V-4. Unified and Nonunified Health Services, by State 102

V-5. Number of Central Office Health Staff, by State..... 103

V-6. Number of Regional Office Health Staff, by State 103

V-7. Number of Central and Regional Office Health Staff, by State..... 104

V-8. Organizational Structure of Jail Health Services, by County 104

V-9. Type of Professional Serving as the Correctional Health Services Director, by County..... 105

V-10. Unified and Nonunified Health Services, by County 105

V-11. Prisons With Health Services Operated by Private or Contract Firms in 1999, by State 109

VI-1. Prison Health Staffing Ratios in 1999, by State 120

VI-2. Prison Health Staffing Ratios for States Reporting Mental Health Positions
in 1999, by State 121

VI-3. Prison Health Staffing Ratios for States Not Reporting Mental Health Positions
in 1999, by State 122

VI-4. Ratio of Total Jail Health Services Personnel to Inmates Served in 1999, by County 122

VI-5. Sample Health Delivery System Profile..... 128

VI-6. Sample Facility Profile..... 130

VI-7. Average Salaries of Prison Health Staff in 1999, by State..... 134

VI-8. Average Salaries of Jail Health Staff in 1999, by County 135

VI-9. Prison Health Staff Positions That Are Difficult to Recruit and Retain, by State 136

VI-10. Jail Health Staff Positions That Are Difficult to Recruit and Retain, by County 137

VI-11. Prison Health Staffing Vacancy and Turnover Rates in 1999, by State 138

VI-12. Jail Health Staffing Vacancy and Turnover Rates in 1999, by County..... 139

VI-13. Sample Job Description Format 145

VIII-1. Special Services Provided in Prisons in 1999, by State 203

CONTENTS

VIII-2. Special Services Provided in Jails in 1999, by County	204
XI-1. Comparison of 1998 Construction Costs, by State.....	292
XI-2. Design Needs Checklist	298
XI-3. Traffic Volume by Health Space	301
XIV-1. Sample Formula for Specifying Resources	352
XIV-2. Full Versus Partial 50-Percent Phase-In	355
XIV-3. Sample Line-Item Budget Format, by Program and Institution	356
XIV-4. Needs Versus Resources.....	359
XIV-5. Comparison of Line Items Included in 1998 Health Care Cost Data, by State	363
XIV-6. Comparison of 1998 Correctional Health Care Costs, by State.....	366
XIV-7. Comparison of Changes in Annual Health Care Costs per Inmate, by State and Year: 1982, 1985, and 1989 vs. 1998).....	369
XIV-8. Comparison of Changes in Per-Inmate Annual Health Care Costs, by State, for Four Time Periods: 1982, 1985, 1989, and 1998.....	370
XIV-9. Comparison of Line Items Included in 1998 Jail Health Care Cost Data, by County.....	372
XIV-10. Comparison of 1998 Jail Health Care Costs, by County.....	373
XIV-11. Comparison of 1998 Cost Containment Measures, by State	376
XIV-12. Comparison of 1998 Cost Containment Measures, by County.....	379