

# **STATE OF IOWA DEPARTMENT OF CORRECTIONS POLICY AND PROCEDURES**

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Applicability: Institutions

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Chapter 6: HEALTH SERVICES

Sub Chapter: ADMINISTRATION

Related DOC Policies: AD-GA-07

Administrative Code Reference: N/A

Subject: ADMINISTRATION ORGANIZATION OF HEALTH SERVICES

ACA Standards: 5-ACI-6B-01, 5-ACI-6D-03, 5-ACI-6D-08, 5-ACI-7B-04

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Authority:

## **1. PURPOSE**

To delineate the lines of authority, responsibilities and organization of the Iowa Department of Corrections Health Services Department.

## **2. POLICY**

It is the policy of the Department of Corrections to ensure consistent administrative organization, availability and accessibility of health services at each institution.

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- D. In those institutions where the primary coordinator of health services is not a licensed medical practitioner, medical, psychiatric, and dental matters involving professional judgment are the responsibility of the institutional practitioner, and of the IDOC Medical Director.
- E. An institutional licensed medical practitioner will also be a member of the Department's PT/HS Committee. Each institution's quality assurance program is to reflect the contributions of the licensed medical practitioner
- F. A statistical report of health services is available via the electronic medical record, and can be requested at any time.
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### **3. DEFINITIONS - See IDOC Policy AD-GA-16 for Definitions.**

## **4. PROCEDURE**

Each facility will have a designated Health Authority with responsibility for ongoing Health Care Services. For organizational purposes, this individual will be designated as the primary coordinator of institutional health services. The Nursing Services Director of each correctional institution, may have primary responsibility for ensuring that health services are delivered in an efficient and effective manner. In these circumstances, primary coordination of health services is provided by the institutional Nursing Services Director. Administrative support is available from designated administrative staff.

### **A. Health Services Organization**

The health authority will establish lines of communication and authority within health services as it relates to each job description, and as needed for all personnel, including institutional administration.

1. Assure that health services personnel are adequately trained, credentialed and/or licensed to provide health care services.
2. Develop and apply ongoing continuous quality improvement methods to ensure delivery of evidence-based health care practices.
3. Maximize the practice of in-house health care personnel as appropriate to meet patient health care needs.
4. Work collaboratively with security staff to ensure patient access to health care in accordance with IDOC policy/procedure.
5. Encourage patients to maintain their health and to actively participate in their personal health care.
6. Provide opportunities for continued staff training and education.
7. Provide an infection control program for all employees and patients.
8. Maintain complete and accurate health records for all patients.
9. Assure confidentiality of patient health records.
10. Coordinate care within an interdisciplinary team approach inclusive of the patient.

## **B. Goals**

The goals of the IDOC health care services are to relieve pain and suffering, prevent avoidable deterioration of health status, and promote the restoration of function, by developing a model correctional health care delivery system that:

1. Provides the adequate number of trained, credentialed, and licensed professional staff in order to accomplish the health care mission of the IDOC.
2. Develops and applies Continuous Quality Improvement (CQI) techniques to ensure delivery of evidence-based efficacious practices in a fiscally responsible manner.
3. Networks with appropriate local, county, state and national agency/ organizations to utilize existing and available services and resources.

4. Maintains an electronic health record providing statistical reports of health services provided.

### **C. Responsibilities**

Each institution's primary coordinator of health services shall:

1. Have responsibility for determining personnel requirements, physical plant needs, and equipment needs. Recruitment, training, and supervision of designated health staff are associated responsibilities.
2. Coordinate clinical services with clinical department heads and utilize committees as appropriate to assure workload completion and inclusion of supervisors and line staff.
3. Utilize applicable regulations and the appropriate department head for decision-making.
4. Assure all job descriptions, contracts and supporting procedures are developed and implemented in order to provide the health care services as outlined in this procedure, and to assure that resources are utilized in the most effective and efficient manner.
5. Meet regularly with each institution's management team. Minutes of management team meetings (Senior or Executive staff) are to reflect the participation of the primary coordinator of that institution's health services.
6. Is a member of the Department's Pharmacy Therapeutics/Health Services (PT/HS) Committee, and is also a member of the institution's Quality Assurance Committee.
7. Have final responsibility for ensuring that institutional staff is appropriately informed of PT/HS Committee activities. Minutes of institutional health services staff meetings are to reflect the effective sharing of information relevant to institutional health services staff, as well as institutional administrative staff.
8. Contribute to the designation of members for those institutional committees having a significant impact on health services. These committees may include, but are not limited to, Dietary, Infection Control, Health and Safety, and Quality Assurance.

9. Supervise or have professional interaction with staff in each of the following service areas: medical, nursing, dental, pharmacy, laboratory, nutrition, medical records, supply services, respiratory services, x-ray services, and mental health services. Ensure that where appropriate the personnel files of individuals providing health services to patients contain confirmation of state licensure, certification or registration requirements/restrictions. Ensure that current job descriptions are in effect for personnel who serve in correctional health services.
  10. Ensure that a Professional *Staff Sample Signature Form*, **HSF-101**, is obtained and kept on record of all professional staff providing health services to IDOC patients.
  11. Schedule the health services staff to meet at least monthly to conduct departmental business. Minutes of these meetings will be maintained and appropriately shared. Institutional management staff should attend health service meetings on at least a quarterly basis. Minutes should reflect management staff participation.
  12. Assist in the development of agreements for services from outside agencies and individuals. Such agreements will be subject to the approval of the Warden and the IDOC Health Services Administrator.
  13. Develop an institutional health services manual outlining procedures for the delivery of health services. Procedures which impact other departments or overall institutional operation will be subject to approval by the Warden. The health services manual will also provide a summary of all health services provided by the institution, and will be made a part of the general orientation program for all employees. This manual will be reviewed annually. Each procedure shall bear the date of the most recent review or revision and is to be authenticated with the necessary signature(s).
  14. Work with staff from other institutional departments to coordinate the delivery of health services in such a manner as to provide quality health services within the context of overall institutional operations.
- D. In those institutions where the primary coordinator of health services is not a licensed medical practitioner, medical, psychiatric, and dental matters involving professional judgment are the responsibility of the IDOC Health Services Administrator and/or the IDOC Medical Director. (5-ACI-6B-01)**

**E. An institutional licensed medical practitioner will also be a member of the Department's PT/HS Committee. Each institution's quality assurance program is to reflect the contributions of the licensed medical practitioner.**

**F. A statistical report of health services is available via the electronic medical record, and can be requested at any time. (5-ACI-6D-08)**

### **G. Scope of Health Care Services**

1. Nursing Services with full on call medical and psychiatric physicians on call coverage 24 hours a day to ensure health services are provided to patients in the areas of medical, nursing, nutrition, laboratory/radiology, pharmacy, social/mental health, dental, respiratory therapy and therapeutic recreational activities without jeopardizing the security of the institution. **(5-ACI-6B-01)**
2. Coordinate ongoing and/or episodic assessment and treatment within the scope of practice of care providers for patient's health care needs. **(5-ACI-6B-01)**
3. Ensure provision of education to patients regarding healthy lifestyle choices, medication management and improved coping mechanisms. **(5-ACI-6B-01)**
4. Allow for the opportunity for patients to build skills that support healthy lifestyles and assist them to manage chronic disease conditions.
5. Provide emergency intervention for health care needs and make appropriate transfers/referrals as needed.
6. Maintain communication lines for patients to express health related concerns to appropriate health care personnel.

### **H. Clinical Areas**

1. Health Services Administrator

The Director of the Department of Corrections will select and appoint an appropriately qualified health professional as the Department of Corrections

Health Services Administrator. The Health Services Administrator will report to the Director of the Department of Corrections. Responsibilities include:

- a. Advise and consult with Department of Corrections institutional health services and administrative staff on matters pertinent to health services in Corrections generally and the facility specifically.
- b. Ensures that a staffing analysis is completed annually on medical staff and a staffing plan is developed and implemented from the analysis. This analysis will be used to determine if the number and type of staff in medical services is adequate in each institution. Consult and advise the Wardens of strengths and/or deficiencies in health services within the Department so that Department health concerns may be efficiently and effectively addressed.
- c. Responsible for hiring and managing medical health personnel including licensed medical practitioners, psychiatrists, and dentists.
- d. Consult with and make recommendations to outside agencies providing services to the Department of Corrections including University Hospitals and Clinics as well as contract service providers.
- e. Provide recommendations to the Director of the Department of Corrections relative to health services policies and procedures which may have impact on the health services delivery system within the Department of Corrections.
- f. Ensure annual review of the Department of Corrections Health Services Policy Manual be completed every three years.
- g. Coordinate and direct the Department of Corrections health service information system. Ensures an Annual Report on the statistics of healthcare services is submitted to the Director of Corrections.
- h. Coordinate and review institutional contract health services through consultation with appropriate institutional staff.
- i. Provide recommendations for staff performance and improvement in matters relevant to health services. These recommendations may be made directly to the health services staff and to the administrators responsible for the program. Should no improvement be noted, which may become or result in a lessening of the effectiveness of the health services program for either the institution or the Department, these concerns shall be reported to the Deputy Director of Institution Operations with a copy of the report forwarded to the Director.

## 2. Medical Director

The Director of the Department of Corrections will select and appoint an appropriately qualified health professional as the Department of Corrections Medical Director. The Medical Director will report to the IDOC Health Services Administrator. Responsibilities include:

- a. Advise and consult with Department of Corrections institutional health services and administrative staff on matters pertinent to health services in Corrections generally and the facility specifically.
- b. Assist the Health Services Administrator in hiring and managing medical health personnel including licensed medical practitioners and dentists.
- c. Professional observations noted by the Medical Director regarding medical practitioners' performance as described above will be reflected in the annual performance evaluation of the employee, which is completed by the Medical Director. Ensure peer review is completed and documented for medical practitioners and dentists of each facility at least every six months. **(5-ACI-6D-03)**

## 3. Mental Health Director

The Director of the Department of Corrections will select and appoint an appropriately qualified health professional as the Department of Corrections Mental Health Director. The Mental Health Director will report to the Health Services Administrator. Responsibilities include:

- a. Advise and consult with Department of Corrections institutions health services and administrative staff on matters pertinent to mental health services in Corrections generally and the facility specifically.
- b. Consult and advise the Wardens of strengths and/or deficiencies in mental health services within the Department so that Department mental health concerns may be efficiently and effectively addressed.
- c. Professional observations noted by the IDOC Mental Health Director regarding psychiatric practitioners' performance, as described above, will be reflected in the annual performance evaluation of the employee, which is completed by the IDOC Mental Health Director.

- d. Will assist the IDOC Health Services Administrator with hiring and managing mental health personnel including psychologists and psychiatrists. Ensures peer review is completed and documented for licensed medical practitioners of each facility at least every six months.

#### 4. Administrator of Nursing

A Department of Corrections Administrator of Nursing, who reports to the IDOC Health Services Administrator, supervises each facility Nursing Services Director and directs departmental nursing services programs. This individual has a major responsibility for ensuring that patients receive health services consistent with applicable accrediting bodies and nationally recognized correctional health standards. Responsibilities include but are not limited to the following:

- a. Recruit, interview, and select individuals for the top level nursing position at each institution.
- b. Complete annual performance evaluations for all facility Nursing Services Director in conjunction with the facilities Warden.
- c. Provide assistance in the recruitment and selection as well as the annual performance evaluation of other IDOC nursing staff.
- d. Provide assistance in the interpretation and implementation of Department of Corrections health services policies and procedures.
- e. Regularly review each institution health service facilities and resources providing recommendations to institutional and departmental administrators.
- f. Contribute to the planning and development of IDOC health services facilities and programs, i.e., special need patients.
- g. As appropriate, review each institution's health services manual to facilitate consistency with Department of Corrections' health services policies and procedures.
- h. Participate as an ad hoc member in each institution's Quality Assurance, Health and Safety, and Infection Control Committees.

- i. Consult with appropriate staff and facilitate the identification of pre-service and in-service training needs for correctional health service staff.
- j. Monitor health services provided to IDOC patients hospitalized in non-IDOC facilities.

## 5. Director of Pharmacy Services

The Department of Corrections Director of Pharmacy Services or Designee, supervised by the IDOC Health Services Administrator, has overall responsibility for ensuring that IDOC health services receive pharmaceutical support consistent with current law and applicable standards. Responsibilities include, but are not limited to the following:

- a. Supervise the centralized pharmaceutical purchasing and distribution function.
- b. Contribute to effective formulary management by serving as chairperson of the Formulary Review Committee. Print and distribute periodic revisions of the IDOC Formulary.
- c. Assist in the development and review of pharmacy issues in IDOC contracts, RFP's, and policies. Review institution policies relative to all aspects of pharmacy practice and provide consultative services to those institutions.
- d. Function as liaison to the Iowa Board of Pharmacy relative to conformance to state and federal regulations of IDOC policies and procedures pertaining to all aspects of the practice of pharmacy in IDOC institutions.
- e. Serve as liaison to departmental data processing personnel relative to development and/or acquisition and maintenance of pharmacy computer software.
- f. Collection and analysis of information relevant to the quality and effectiveness of pharmacy services in all IDOC institutions. When apparent deficiencies exist, provide a report to the appropriate health services professional(s) at that institution with copies to the Warden and Department Health Services Administrator.
- g. Consult and advise on annual performance evaluations of IDOC pharmacists.

- h. Provide consultation in the development of employment contracts or agreements for pharmacy services at each institution and regularly review and evaluate the professional services provided.
- i. Provide consultation for the provision of pharmacy services at each institution as it relates to available resources concerning equipment, staffing, work distribution and scope of services. Professional concerns should be reported to the Health Services Administrator and Warden.
- j. Consult and assist the institution's Quality Assurance Committee to identify quality assurance problems and provide assistance in developing a remedy for the problem.
- k. Participate in the development and presentation of in-service training for all Department pharmacists and pharmacy consultants, including contractual staff.

## 6. Medical Staff

Medical Practitioner staff contributes to IDOC Health Services Mission in the following manner:

- a. Review of patient current medical and mental health history, infectious disease and immunization status in order to develop a health care plan in coordination with the interdisciplinary health care team assigned to each patient.
- b. Order appropriate screening tests as outlined in IDOC policy.
- c. Develop medical treatment plans and initiate therapy and monitoring of interventions, including ordering and renewing medication.
- d. Provide education to patients regarding their medication, acute/chronic conditions and communicable diseases, as well as health promotion and self-help strategies.
- e. Provide emergency interventions until appropriate transfer is completed.
- f. Utilize referrals for medical needs outside the scope of care provided within the IDOC.
- g. Provide 24/7 onsite or on call physician services.

- h. Document medical assessments and/or interventions, incidents and any status review/update of patient health status.

## 7. Mental Health Staff

Mental Health staff contributes to IDOC Health Services Mission in the following manner:

### **(5-ACI-7B-04)**

- a. Provide initial mental health screening to patients.
- b. Provide intensive support for patients in a Suicide & Self Injury Protocol (SSIP) or Mental Health Observation (MHO) status.

## 8. Nursing Staff

Nursing staff contribute to IDOC Health Services mission in the following manner:

- a. Review patient's nursing, medical/mental health history and infectious disease and immunization status.
- b. Develop and document a nursing plan of care as an element of the overall care plan. This is done in coordination with the interdisciplinary health care team assigned to each patient.
- c. Provide clinical support for medical procedures accompanied by the appropriate documentation.
- d. Administer medications (including scheduled medications and PRN) and assess for effectiveness and any side effects.
- e. Assess and triage acute and chronic health status and provide appropriate nursing intervention for patients.
- f. Screen for medical provider rounds and/or sick call and assist the medical provider with the patient visit.

- g. Assure 24/7 nursing coverage for the institution.
- h. Provide education for patients regarding medication, acute/ chronic conditions and communicable diseases, as well as health promotion and self-help strategies.
- i. Document nursing assessments and/or interventions, incidents, and any review/update of patient health care status.

## 9. Pharmacy Staff

Pharmacy staff contributes to IDOC Health Services mission in the following manner:

- a. Dispense medications per medical provider order.
- b. Develop and maintain medication formulary and receive application for formulary exception.
- c. Maintain, monitor and document inventory of medications from delivery, intake, pill rooms, self-administered medications (SAM) and provisional stock including system for return of medications and disposition.
- d. Provide a mechanism to identify medication errors, trending and resolution of issues through quality improvement initiatives.
- e. Provide education on medication to appropriate pharmacy, medical and nursing staff.
- f. Provide education to patients regarding the medications that are prescribed, the intended effect, and possible adverse drug reactions and side effects.
- g. Provide prospective drug review on each medication ordered and regular retrospective drug reviews.

## 10. Dental Staff

Dental staff contributes to IDOC Health Services mission in the following manner:

- a. Place pathology in a stepped priority format.

- b. Treat lesions in a priority order.
- c. Document dental assessments and/or interventions, incidents and any status review/update of patient health status.
- d. Provide education regarding oral health and prevention as well as disease process.
- e. Final professional judgments related to dental services are the responsibility of a dentist.

#### 11. Laboratory and Radiology Staff

Laboratory and Radiology staff contributes to IDOC Health Services mission by providing laboratory and X-ray screening per physician ordered exams.

#### 12. Social Work Staff

Social Work staff contributes to IDOC Health Services mission in the following manner:

- a. Review social history and assess current status.
- b. Plan for reentry placement and coordinate with the counselor.
- c. Plan for interventions in coordination with the interdisciplinary health care team assigned to the patient.
- d. Provide ongoing counseling for identified social issues and/or adjustment to the incarceration/institution.
- e. Provide educational and support offerings to build coping skills.
- f. Document assessments and ongoing intervention.

#### 13. Activities Specialist Staff:

Activities Specialist staff contributes to IDOC Health Services mission in the following manner:

- a. Review current and past activity participation and social skill level.
- b. Identify physical and mental abilities to participate in activities.
- c. Provide appropriate recreational intervention as an outlet to reduce maladaptive behavior(s).
- d. Assist in the plan as prescribed by the interdisciplinary team; which would include appropriate physical and rehabilitation activities.
- e. Develop plan for most therapeutic activities/intervention in coordination with the interdisciplinary team.
- f. Provide for individual and group social/life skills and educational training.
- g. Document assessment, plan, intervention and patient response to treatment and participation level.

#### 14. Nutrition Staff

The nutrition staff contributes to IDOC Health Services mission in the following manner:

- a. Complete nutrition assessments, consultations, education and electronic medical record (EMR) charting for patients based on nutrition needs.
- b. Develop and implement nutrition plan of care with interdisciplinary team.
- c. Complete diet reviews on a quarterly basis (minimum) and provide objective data to determine if a diet should be renewed.
- d. Maintain diet menus outlined in IDOC policy in Food Service ICON.
- e. Provide Dietary with guidelines for individualized diets and make appropriate modifications in Food Service ICON.
- f. Provide quality assurance on medically ordered diets by performing monthly tray audits and documenting and notifying Dietary of any deficiencies.

## 15. Respiratory Therapist Staff

The Respiratory Therapist staff contributes to IDOC Health Services mission in the following manner:

- a. Completes patient respiratory assessment per physician referral.
- b. Administers pulmonary function tests per medical provider order.
- c. Administers respiratory therapy to patients per medical provider's orders including oxygen therapy, nebulizers and respiratory hygiene techniques.
- d. Maintains and operates respiratory equipment in an aseptic manner and assures that inventory is documented including preventive maintenance schedules.
- e. Provides ongoing education and support to patients in pulmonary disease management.