

1 **IN THE UNITED STATES DISTRICT COURT**
2 **FOR THE NORTHERN DISTRICT OF CALIFORNIA**
3
4

5 MARCIANO PLATA, et al.)
6 Plaintiffs,)
7 vs.)
8 ARNOLD SCHWARZENEGGER,)
9 et al.)
10 Defendants.)
11)

No.: C01-1351 T.E.H.
**RECEIVER'S FIFTH QUARTERLY
REPORT**

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1 I.

2 INTRODUCTION

3 The Order Appointing Receiver ("Order") filed February 14, 2006 requires that the
4 Receiver file his "Plan of Action" within 180-210 days. In the interim, the Order calls for the
5 Receiver to undertake "immediate and/or short term measures designed to improve medical
6 care and begin the development of a constitutionally adequate medical health care delivery
7 system." Order at page 2-3. In addition, pursuant to page 3, lines 16-22 of the Order, the
8 Receiver must file status reports with the Court on a bi-monthly basis concerning the
9 following issues:

10 A. All tasks and metrics contained in the Plan and subsequent reports, with degree of
11 completion and date of anticipated completion of each task and metric.

12 B. Particular problems being faced by the Receiver, including any specific obstacles
13 presented by institutions or individuals.

14 C. Particular success achieved by the Receiver.

15 D. An accounting of expenditures for the reporting period.

16 E. Other matters deemed appropriate for judicial review.

17 This is the Receiver's Fifth Quarterly Report.¹ He addresses herein issues B through
18 E.² In order to summarize the major remedial projects that are underway and to place the
19 particular problems facing these remedial efforts into context, issues B and C will be
20 presented in reverse order: the particular successes of the Receiver addressed first, and the
21 particular problems faced by the Receiver discussed second.

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26 ¹ The Receiver will file Quarterly, rather than Bi-monthly, Reports. (See Order filed February
21, 2007.)

27 ² Issue A concerns the measurement of progress made on items detailed in the Receiver's Plan of
28 Action which was filed with the Court on May 10, 2007. The Court has established a briefing
schedule concerning this filing, as explained below. Issue A will be discussed in subsequent
Quarterly Reports.

1 II.

2 PARTICULAR SUCCESSES ACHIEVED BY THE RECEIVER

3 A. Introduction.

4 This Quarterly Report is being filed during a time of considerable receivership
5 activity. During this reporting period, the Receiver has filed his Plan of Action, a Report on
6 Overcrowding, four Motions for Waiver of State Law and his "May Revise". So as not to repeat
7 the contents of these other Court filings, this Quarterly Report will only briefly summarize their
8 content and report on the disposition of each motion.

9 Concerning the Receiver's many on-going remedial pilots and projects, there have been
10 numerous significant successes during this reporting period, including: (1) construction of the
11 Triage and Treatment Area (TTA) at San Quentin was completed and, at present, is fully
12 operational; (2) as of May 31, 2007, the Medical Technical Assistant (MTA) to Licensed
13 Vocational Nurse (LVN) conversion is complete; there are no MTAs working in the adult
14 institutions statewide; (3) the Receiver's aggressive recruitment practices along with salary
15 increases have resulted in the hiring of an average of 25 Registered Nurses every month and have
16 significantly increased the number of Physician and Surgeon applications; (4) the Plata Support
17 Division has made progress in restructuring existing State medical care support services
18 functions into a single appropriately organized and managed organization; and (5) the Specialty
19 Care Contracts Pilot is proceeding on schedule, piloting new procedures and an information
20 technology system at four prisons.

21 B. Plan of Action.

22 In accordance with the Court's Order Appointing Receiver, on May 11, 2007, the
23 Receiver filed a Plan of Action and an accompanying Report Re Plan of Action, setting forth his
24 plan for restructuring and developing a constitutionally adequate medical health system in
25 California prisons. In addition to outlining a prison medical delivery system roadmap to guide
26 both long term and short term remedial efforts, the Plan includes the establishment of
27 administrative structures to document, accurately track and report metrics for the remedial
28 programs.

1 Since the Receiver's Plan is entirely different from the implementation programs that
2 were developed through stipulation in this case, along with the Plan of Action, the Receiver filed
3 concurrent with his Plan, a Motion to Modify the Stipulated Injunction and Other Orders. The
4 motion set forth the Receiver's recommendations regarding those provisions of the stipulations
5 and orders that should be carried forward, and those that should be modified or discontinued due
6 to changed circumstances.

7 The Court issued a briefing schedule to allow all parties to respond to the Receiver's Plan
8 and his Motion to Modify Stipulated Injunction and Other Orders. (May 17, 2007 Scheduling
9 Order re Receiver's (1) May 2007 Plan of Action and (2) Motion for Order Modifying Stipulated
10 Injunction and Other Ordered Entered Herein.) The parties' Responses are due by June 29,
11 2007; any Replies are due by July 20, 2007; and a hearing will be held on August 9, 2007.
12 (*Ibid.*) In addition, the Receiver will file a revised Plan of Action by November 15, 2007.
13 (December 19, 2006 Order.)

14 C. Receiver's Report Re: Overcrowding.

15 On February 15, 2007, the Court directed "the Receiver to report to the Court within 90
16 days of the date of this Order, his best assessment of the manner, and extent to which
17 overcrowding is interfering with his ability to successfully remedy the constitutional violations at
18 issue." (February 15, 2007 Order at 4:3-13.) The Order also called for the Receiver to provide
19 the Court with information concerning the "types of obstacles" that overcrowding presented to
20 the Receivership. (*Id.*)

21 In response to that Order, on May 15, 2007 the Receiver filed his Report Re:
22 Overcrowding in which he explained how the characteristics of overcrowding within California's
23 massive prison system has especially adverse consequences concerning the delivery of medical,
24 mental health and dental care. In addition to summarizing the manner by which overcrowding
25 interferes with the Receiver's remedial projects, the Report also analyzes the impact of the recent
26 2007 California Legislation, Assembly Bill (AB) 900. On May 31, 2007 the Receiver requested
27 the Court's permission to file a motion to implement recommendations in the Overcrowding
28 Report. On June 4, 2007, the Receiver further requested the Court's permission to file a

1 supplemental overcrowding report. That request was granted on June 6, 2007, and the
2 Supplemental Report was filed on June 15, 2007.

3 On May 29, 2007, the Courts in this case and in *Coleman* (a class action suit aimed at
4 remedying the constitutional violations of inmates with mental health needs) issued an Order to
5 Show Cause why pending motions “to convene a three judge panel to limit prison population”
6 made by Plaintiffs in both cases, should not be heard jointly. On June 6, 2007, the Court ordered
7 a joint hearing on the motions to be held on June 27, 2007.

8 D. Receiver’s Requests for Waivers of State Law.

9 During this reporting period, the Receiver requested the Court waive state laws which
10 were preventing the Receiver from implementing necessary remedial strategies.³ The Receiver
11 and his staff worked diligently to narrowly tailor the waivers so as to result in the least intrusion
12 on the State while protecting the constitutional rights of the Plaintiff class and the due process
13 rights of CDCR employees. Preceding each request for waiver, the Receiver and his staff
14 worked closely with the Defendants, Plaintiffs and, on one motion, the Union of American
15 Physicians and Dentists (UAPD), conducting months of meetings and engaging in lengthy
16 correspondence. Evidence of such collaboration is Defendant’s non-opposition to each of the
17 Receiver’s motions, Plaintiffs’ opposition to only one of the four motions, and the UAPD’s
18 supporting *amicus curiae* brief to one of the Receiver’s motions.
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23 ³ Pursuant to the Order Appointing Receiver filed February 14, 2006, the Receiver must make all
24 reasonable efforts to exercise his powers in a manner consistent with California state laws,
25 regulations and labor contracts. In the event, however:

26 “that the Receiver finds that a state law, regulation, contract, or state action or inaction is
27 clearly preventing the Receiver from developing or implementing a constitutionally
28 adequate medical care system, or otherwise preventing the Receiver from carrying out his
duties as set forth in this Order, and that other alternatives are inadequate, the Receiver
shall request the Court to waive the state law or contractual requirement that is causing
the impediment.”

Order at 5:1-11.

1 Each motion is briefly described below.

2 1. *Receiver's Motion for Waiver of State Law in Order to Preserve Existing*
3 *Pharmacy Technician Appointments.*

4 On April 6, 2007, the Receiver moved the Court for a limited, one-time waiver of
5 California Government Code § 19080.3 in order to permit 22 Pharmacy Technicians to complete
6 their previously authorized, limited-term appointments. Plaintiffs filed a Statement of Non-
7 Opposition on April 13, 2007 and Defendants filed a Response supporting the Receiver's effort
8 to obtain the waiver on April 18, 2007. On April 24, 2007, the Court granted the Receiver's
9 Application.

10 2. *Receiver's Master Application for Order Waiving State Contracting*
11 *Statutes, Regulations, and Procedures, and Request for Approval of*
12 *Substitute Procedures for Bidding and Award of Contracts.*

13 On April 17, 2007, the Receiver moved the Court for an order (1) waiving the State's
14 traditional contracting process for 13 specific remedial projects and (2) approval of a more
15 streamlined, substitute contracting process to apply to the 13 projects in lieu of state laws.
16 (Application a 1.) The Receiver explained in his Application that as a part of his remedial
17 efforts, the Receiver is undertaking a number of projects that require the use of contractors to
18 provide goods or services, however, the extensive web of statutes, rules, and procedures that
19 comprise State contracting law make it extremely difficult, if not impossible to enter into
20 contracts in a reasonably quick or expedited fashion.

21 On May 2, 2007, both the Plaintiffs and the Defendants (including the Governor and the
22 relevant state agencies reporting to the Governor), filed separate Statements of Non-Opposition
23 to the Application on May 9, 2007 and May 8, 2007 respectively. On May 15, 2007, the State
24 Personnel Board filed a Response and on May 25, 2007 the Receiver filed a Reply thereto.

25 On June 4, 2007, the Court granted the Receiver's motion, citing the following reasons:

26 "No party disputes that the process typically can take several months for a single
27 contract, and in some cases as long as two years. *See* Application at 5-9; Oct. 3, 2005
28 Findings of Fact and Conclusions of Law at 26-27. There is also no dispute that it would
effectively stymie the Receiver's efforts to implement the projects identified in his

1 Application in a timely manner if full compliance with the State's traditional contracting
2 processes were required."

3 (Order at p. 3:15-20.)

4 3. *Receiver's Motion for Waiver of State Law Re Physician Clinical Competency*
5 *Determinations.*

6 On April 25, 2007, the Receiver filed a motion seeking to set aside certain state laws
7 which vest the State Personnel Board with sole and exclusive authority to review disciplinary
8 actions taken against physicians practicing medicine within the CDCR. In place of the State
9 Personnel Board's disciplinary review process, the Receiver seeks to implement a new peer
10 review system that would govern physician competency procedures and hearings. In developing
11 the new peer review policy, the Receiver worked extensively with the Union of American
12 Physicians and Dentists (UAPD) to ensure the policy provides physicians with the due process
13 protections to which they are entitled and ensures that allegations of clinical misconduct are
14 ultimately judged by an unbiased body of physicians.

15 Plaintiffs, Defendants and other pertinent state agencies that report to the Governor filed
16 Statements of Non-Opposition to the motion on May 22, 2007. The UAPD submitted an *amicus*
17 *curiae* brief in support of the Receiver's Motion on May 22, 2007. Also on May 22, 2007, the
18 State Personnel Board filed a Responsive brief, opposing the Receiver's motion. The motion is
19 pending before the Court.

20 4. *Receiver's Motion for Waiver of State Law Re Receiver Career Executive*
21 *Assignment Positions.*

22 The Receiver's Motion for Waiver of State Law Re Receiver Career Executive
23 Assignment Positions was filed with the Court on April 13, 2007 and amended April 18, 2007.
24 The motion requests an order permitting the Receiver to commence the design and establish a
25 program to hire and retain 250 Receiver Career Executive Assignment (CEA) appointees. Under
26 the Receiver's program, such appointees are state employees but the applicant pool is not limited
27 to state civil service employees, and such appointees are subject to termination under the same
28 terms currently governing CEAs under California law (i.e., they may be terminated for any
reason not otherwise unlawful). In essence, the positions would provide for "non-tenured civil

1 service appointments.” (See Amended Motion at 17.) Additionally, the Receiver contemplates
2 establishing competitive levels and broadband salary ranges for these positions. In order to
3 establish such a program, certain Government Code sections that would otherwise govern the
4 hiring of the CEA positions must be waived.

5 On May 9, 2007, Defendants filed a Statement of Non-Opposition to the Receiver’s
6 Motion. Plaintiffs and the State Personnel Board filed Responsive briefs on May 10, 2007 and
7 May 9, 2007 respectively. The Receiver filed a Reply brief on May 25, 2007. The motion is
8 pending before the Court.

9 E. Step-Back Meeting.

10 In May 2007, the Receiver and key members of his remedial team held the
11 Receivership’s second, two-day “Step-Back” meeting in Sacramento to discuss the
12 Receivership’s priorities during the next 18 to 24 months, as articulated in the Plan of Action.
13 Topics touched on at the meeting included: (1) recruitment and hiring programs to increase the
14 number and quality of prison clinician and support personnel; (2) recruitment and hiring of the
15 first 100 Receiver’s Career Executive Assignment staff; (3) construction of approximately 5,000
16 prison medical beds; (4) construction of necessary clinical space and medical support facilities
17 (e.g. medical records and administrative office space) in existing prisons; (5) custody access
18 team program at San Quentin and a time-phased roll-out at three other prisons; (6) a system-
19 wide information technology program; (7) a system-wide pharmacy program; (8) restructuring
20 contracts for specialty care, registries, hospitals and expanding the program to restructure aspects
21 of contracting that involve negotiations and payments; (9) restructuring State medical care
22 support services functions into a single appropriately organized and managed Plata Support
23 Services Division; (10) restructuring the health care credentialing process; (11) existing pilot
24 projects, including the San Quentin Pilot and the LAC/CCI Specialty Care Pilot; (12) new pilot
25 projects, including a pilot to bring emergency response staff and paramedics on-site at eight
26 California prisons, a pilot project to establish the Receiver’s Air Force, a pilot project for joint
27 clinical/internal affairs investigations, and a pilot project enabling clinical CMSIS Response
28 Teams to be dropped into prisons to resolve clinical crises; (13) a medical care budget; (14) a

1 clinical peer review based program to evaluate physician clinical competency; (15) coordinating
2 remedial efforts with the Special Master in *Coleman*, the Court experts in *Perez*, and the Court in
3 *Armstrong*; (16) phase II of the Plan of Action; and (17) an Office of Evaluation, Measurement
4 and Compliance.

5 Successful implementation of the projects outlined in the Plan of Action demand reliance
6 on the interdisciplinary specialties of the Receiver's staff. For instance, almost every project
7 relies on an information technology component in order to be accomplished. Similarly,
8 recruitment and hiring is an essential element to almost every remedial program and pilot
9 project. Such interdependency begs detailed planning, coordination and synchronization,
10 particularly when remedial efforts must occur within the, at times, chaotic environment of the
11 CDCR.

12 The Step-Back meeting gave Receivership staff this opportunity to communicate and
13 coordinate between areas of specialty. At the Step-Back meeting, team leaders reported on the
14 planning and progress of the above initiatives while Receivership staff with overlapping
15 specialties helped problem solve, strategize new solutions, and define tasks to go forward. The
16 Receiver has found that this careful, step-back development of projects is essential for
17 accomplishing the enormously complex task of overhauling the prison medical care system in
18 California. Future Step-Back meetings will be scheduled as necessary.

19 F. Receiver's "May Revise."

20 The Receiver submitted his budget plan, as part of the May Revise process, to provide for
21 those staffing and funding requirements not included in the Governor's 2007-2008 fiscal year
22 budget. The Receiver's May Revise calls for an increase of approximately \$151 million over the
23 Governor's support budget. Highlights of the revised budget include: (1) a return of 300
24 Licensed Vocational Nurse (LVN) positions (\$17,853,196) due to the successful phase-out of
25 Medical Technical Assistants and their replacement with LVNs; (2) hiring additional clerical and
26 non-licensed patient care positions in order to free-up the higher priced licensed personnel
27 (MD's, RN's, etc.) to perform patient care rather than clerical functions; (3) funding additional
28 staff to focus on personnel, recruiting, hiring and training of medical personnel; (4) funding for

1 the initial 100 of the estimated 250 Receiver Career Executive Assignment managers; and (5)
2 funding for additional custody staff (Lieutenants, Sergeants and Correctional Officers) to provide
3 access to patient care and to provide additional safety and security for medical staff in three
4 institutions. The Receiver's May Revise also calls for \$30 million for capital improvements at 8-
5 12 prison facilities and \$61 million for health care capital projects at San Quentin State Prison.

6 G. Continuation of Remedial Pilots and Projects.

7 1. *San Quentin Project.*

8
9 The work at San Quentin to reform every aspect of health care delivery continues and
10 during this reporting period many successes have been realized including the following:
11 enhanced health screenings during the intake process, reorganization of budgetary responsibility,
12 a program to improve janitorial services, initiation of an inventory system to track medical
13 supplies and equipment, a primary care provider program, improvements to laboratory services
14 and medical records departments. Further discussion of each of these remedial projects, as well
15 as others, are described below.

16 Construction at San Quentin is also proceeding on schedule and on budget. Of particular
17 note is the completed renovation of the Triage and Treatment Area (TTA) which is currently
18 fully operational. The Receiver and Warden Robert Ayers opened the new TTA on June 14,
19 2007 in a ribbon-cutting ceremony attended by staff and media representatives. The specific
20 progress of this, and other construction projects at San Quentin, are discussed below. (See
21 Section G.2.)

22 a. Intake Screening Process:

23 Of particular significance is the completion of an improved reception center health care
24 screening process which includes Registered Nurse (RN) assessments rather than MTA
25 assessments, enhanced and better coordinated mental health assessments, and initial dental
26 assessments also conducted by RNs. Success of the new intake screening process required
27 careful coordination with mental health and dental class actions representatives.
28

1 b. Department Budgets:

2 In order to ensure sound fiscal management, the Office of the Receiver has reallocated
3 budgetary responsibility to Health Care Department Managers who are now responsible for
4 projecting, justifying and maintaining their own budgets, including position vacancies, track
5 registry and overtime hours. Departments are responsible for keeping within their budget or
6 justifying any increases, including justifying any unbudgeted coverage. The Chief of
7 Operations, Gigi Matteson, now works with each Department Head to hold them accountable
8 and has a protocol of systematic monitoring of each area. Historically, Health Care Departments
9 were not held accountable for their budget and this reallocation of fiscal responsibility has
10 worked to instill a sense of ownership and accountability in each Department and increased the
11 professional investment of San Quentin's health care management teams.

12 c. Contracts:

13 Given the volume of contracts that procure staff and services at San Quentin, the Office
14 of the Receiver instituted a program to monitor the approval and payment of these contracts.
15 Health Care Managers are now responsible for reviewing and verifying the quantity and quality
16 of contracted goods and services before invoices are approved and paid. Business procedures
17 have been established and put in place to provide staff with the necessary tools to track
18 contracted services, as well as to document the quality of services provided. Staff are trained and
19 inefficiencies are now being documented. As a result of this more careful monitoring, invoices
20 are now being reduced to meet contract agreements or rejected for payment if services were not
21 rendered.

22 d. Environmental Health and Hygiene Services:

23 Significant gains have been made in overall hygiene at the prison. Whereas even basic
24 cleaning tools and supplies were not adequately available in the past, the Office of the Receiver
25 has instituted a program in which inmates and staff are held accountable for ensuring the
26 cleanliness of clinic and housing areas. Medical Waste policies and procedures were drafted.
27 Cleaning schedules and audit tools have been developed for kitchens and clinics to ensure
28

1 compliance. Routine cleaning of Health Services has been implemented in addition to weekly
2 kitchen inspections.

3 In addition to improving the supervision of inmate cleaning crews, the Office of the
4 Receiver has created three new custodial positions at San Quentin, including one supervisor to
5 oversee janitorial services and monitor environmental health and hygiene. San Quentin is
6 currently advertising to fill the only remaining vacant position. In addition, a vocational program
7 is planned which will train and certify prisoners and staff in janitorial services.

8 e. Property Control/Medical Supplies:

9 An inventory system has been implemented for medical supplies and equipment. For the
10 first time in eight years, the institution can assess inventory levels, usage rates, as well as the age
11 and condition of medical supplies. In addition to assessing the current needs of the institution,
12 this documentation will serve as a standardized projection tool for future budget years to identify
13 and replace needed equipment.

14 f. Personnel:

15 The Personnel Office has hired additional support staff, and as a result, San Quentin is
16 able to extend offers of employment to job applicants on the same day as their interview,
17 contingent upon reference and qualification checks. In the past, many qualified applicants lost
18 interest due to extreme delays in processing and hiring. Currently, all associated paperwork is
19 processed within 24 hours and submitted to Personnel for notification and final processing.
20 Creative advertising techniques promoting San Quentin's opportunities and improved working
21 environment are being utilized and job announcements appear in newspapers, flyers, journals,
22 bill boards and internet media.

23 An Employee Relations Officer has been hired and trained to assist all health services
24 disciplines with personnel disputes and disciplinary actions.

25 g. Primary Care Provider Program:

26 The Office of the Receiver, along with San Quentin staff, have worked to establish an
27 efficient and effective medical care delivery system based on a primary care model. To
28 accomplish this goal, a primary care provider workforce program had to be constructed that

1 included a staffing model, recruitment strategies, orientation, training, continuous professional
2 development, and local peer review.

3 The caliber and stability of the medical provider staff at San Quentin has significantly
4 improved. Currently, there is the equivalent of 14 full-time primary care providers including
5 three state physicians and five new state mid-level practitioners. In addition, other contract
6 physicians have expressed interest in becoming State employees. Contracting with the
7 University of California, San Francisco (UCSF) medical faculty has helped to develop a primary
8 care workforce pipeline that includes medical students, nurse practitioner students, and primary
9 care residents who rotate through primary care clinics at San Quentin. These clinical rotations
10 provide many benefits including enriched work environments for San Quentin staff who
11 preceptor the students and residents, enhanced evidence-based practices, and source of new
12 recruits. Since the inception of the training programs, at least six recent graduates from UCSF
13 have begun providing primary care services at San Quentin, and three recent nurse practitioner
14 graduates have applied for positions.

15 San Quentin has implemented a primary care provider staffing model that is based on
16 housing unit and clinical service area assignments. Each includes physician and mid-level
17 practitioner partnerships with a consistent nursing care manager and scheduler. These care teams
18 were created to significantly improve coordination, continuity, efficiency and effectiveness of
19 treatment. In addition, patient education has been enhanced through the planning and
20 development of materials and videos. Also, UCSF staff began a diabetes self-care group for 12
21 patients in the North Block.

22 Other programs to improve the quality of clinical care include weekly provider meetings,
23 continuing medical education through UCSF and UC Davis, and peer reviews. Education
24 programs have thus far emphasized chronic care management, especially in patients with
25 cardiovascular risk factors such as diabetes, hypertension and dyslipidemia; infectious diseases;
26 and chronic pain. Additional trainings have addressed clinical guidelines, non-formulary
27 medications, and unscheduled transfers to community emergency departments and hospitals.

1 The Office of the Receiver has also prioritized improvements to the clinical environment,
2 including supplying providers with basic tools of the trade such as computers, dictation
3 mechanisms, secure electronic access to laboratory data, glucometers, peak flow meters, and
4 online and hardcopy reference materials. Two additional clinics have been added: one in the
5 North Block and the other in the East Block. These programs have worked not only to improve
6 the quality of patient care and to raise working conditions, but have also resulted in the increased
7 retention of San Quentin health care staff.

8 h. Nursing Program:

9 Under the direction of the Receiver, the once dangerously understaffed nursing program
10 is steadily increasing. Seven out of nine nursing manager positions are filled; 79% of RN
11 positions are filled; and 81% of LVN positions are filled. Orientation and training curricula have
12 been developed and implemented. The filling of permanent nursing positions has enabled San
13 Quentin to reduce the use of registry personnel and concomitant costs. Each designated clinic
14 area is now managed by an SRN II that provides oversight, staff supervision and patient
15 advocacy. These nurse managers are a critical component in the continued success of patient
16 care at San Quentin.

17 i. Public Health Nursing:

18 The Receiver's Plan of Action includes "protecting public health" as one of the four
19 cardinal goals of a constitutionally adequate prison medical care system. The crowded prison
20 population is at a record high. This presents additional challenges to carrying out the Receiver's
21 goals of early detection, effective treatment, prevention and continuity of care. The Receiver has
22 initiated several public health programs, including tuberculosis (TB) screening upon arrival.
23 Furthermore, San Quentin is developing a monitoring system and interviewing possible latent
24 TB cases to determine if medications are indicated. Additional programs are being developed
25 for surveillance, treatment and ongoing monitoring for Sexually Transmitted Diseases, HIV,
26 Hepatitis and MRSA.

j. Community Partnerships:

At the direction of the Receiver, San Quentin is creating partnerships and linkages with the state and local Public Health Departments and the county jails that share prisoner populations with San Quentin. The goal of these community partnerships is to provide uninterrupted treatments and therapies to prisoner patients. These activities require collaboration among many stakeholders, including but not limited to staff from the Office of the Receiver, Maxor, two campuses of the University of California, CDCR Central Office staff and San Quentin staff. An example is the initiation of a pre-release program, coordinated by a UCSF physician, which connects San Quentin parolees who are chronic high risk patients, to community providers in San Francisco and Alameda counties.

In addition, an introductory meeting was held with San Quentin reception staff and 34 representatives from 12 local jails to coordinate and improve communication. Managers across disciplines, including custody ranks met for a half-day to develop information sharing strategies. There was enthusiastic feedback and support for these efforts which will have far reaching benefit in the continuum of patient treatment from the community to jails and prisons.

k. Laboratory Services:

Laboratory services have greatly improved in the past three months, resulting in completed blood draw analysis within 24-72 hours. Scheduling inmate-patients for laboratory testing was problematic in the past, with average delays of 30-45 days in completing blood draws due to backlog. Currently, there is no backlog. In addition to initial staffing improvements, better management of the laboratory includes improved coordination as laboratory staff work closely with providers, nurses, and custody and medical records personnel. There are now formal processes in place ensuring greater consistency, timely service, and documentation. New lab protocols require that routine lab results are returned to the provider within 24 hours and stat results are provided within four hours. Instead of providing lab services in the clinic, lab technicians now take their supplies out to the lockdown units such as East block and Adjustment Center (AC). This allows them to conduct timely draws on all the inmates who are fasting with significantly less demand upon custody escort staff. It has also reduced traffic in the congested

1 Neumiller clinic. The “no-shows” for blood work is no longer a major problem. Laboratory
2 technicians are also assigned daily to the Reception Center where they complete all required
3 blood screening on incoming prisoners on the day of arrival.

4 Currently, San Quentin processes approximately 60-70 outpatient blood draws a day and
5 70-80 blood draws a day in the Reception Center Clinic. Due to the volume of 20-30 stats
6 ordered a week, placement of a small satellite stat lab is being considered in the remodeled
7 Reception Center in July 2007.

8 l. Medical Records:

9 Medical Record services have improved considerably with the hiring of a Medical
10 Records Director, two full time Office Assistants, and six Health Record Technicians. Medical
11 Records staff have been trained and assigned to conduct routine chart audits to ensure correct
12 patient data, current updated reports, and consistent format and content. Expanded access to
13 medical records was provided by reallocation of staff and hours, covering 6 a.m. to 10 p.m., with
14 planned drop boxes for after hours.

15 A Medical Records Quality Improvement Team (QIT) was formed. It meets monthly to
16 identify and resolve any pending issues across disciplines, providing improved assistance to
17 provider and laboratory staff, and efficient delivery of records to Inmate Appeals staff who
18 respond daily to inquiries and complaints.

19 m. Inmate Patient Appeals Program:

20 A committee comprised of staff from medical, mental health, and dental departments
21 worked to revise the existing Inmate Appeals Policy. The objective of the revised policy is to
22 reduce inmate patient complaints by resolving recurring problems promptly and at the lowest
23 level. Under the new policy, nurses and providers located in the housing units utilize a central
24 data tracking system, whereby medical information and information about the inmate patient’s
25 appeal can be shared with medical staff throughout the prison complex. Medical staff have
26 found that many inmate patient issues can be addressed and resolved quickly by the daily sharing
27 of this information.

1 Training was provided to all nurses in May 2007 and the backlog of appeals, complaints
2 and informal requests are being addressed on a daily basis. Evidence of the success of the
3 revised policy is that Second Level and Urgent Appeals have steadily decreased over the past
4 several months.

5 n. Monthly Reports and Metrics:

6 New data collection efforts of the past several months have resulted in the generation of
7 various statistical reports. For the first time, in May 2007, San Quentin was able to track such
8 information as: daily patient status; patient level of acuity; Reception Center referrals to primary
9 care providers and timeliness of access to that referral; completion of health care screening
10 documentation required for permanent housing assignments; emergency outside transports,
11 including frequency and hours; off-site specialty care appointments; primary care patient log to
12 track disease entities as well as productivity of the medical staff in this department; and
13 availability of medical records, laboratory and x-ray information.

14 It is the Receiver's hope that San Quentin will soon be able to show significant
15 improvement in meaningful patient outcomes related to the initiatives described in this report.
16 The Quality Management Improvement Committee (QMC) will continue to establish measures,
17 criteria and documentation protocols.

18 2. *Construction at San Quentin During the Reporting Period.*

19 Significant progress continues in the overall design and construction of clinical projects
20 at San Quentin. As described below, the relocation and renovation of San Quentin's Triage and
21 Treatment Area is complete and fully operational. Other construction projects were also
22 completed during this reporting period, and the majority are in planning, design and blueprinting
23 stages. The overall conceptual budget for these projects continues to be maintained at \$175
24 million. The projects identified under the Capital Improvement Plan are divided into three
25 packages, involving both temporary structures and permanent construction. Each package is
26 more fully described in the *Receiver's Third Bi-Monthly Report*, but a short description of the
27 planned improvements and the progress made toward completion is discussed below.

28 *Construction Package One.*

1 Package One consists of construction that is necessary to “create space” for longer term
2 projects, modifications to enhance the unacceptable level of services in the aged Neumiller
3 Infirmary Building, and construction of a temporary structure which provides San Quentin
4 personnel access to the basics of an adequate medical delivery system such as office space,
5 parking and supplies. Progress made in the design and construction of Package One is described
6 below:

7 a. Personnel Offices: The Receiver plans to construct a building to house personnel
8 offices that will allow for the recruiting, interviewing, examination, and hiring of potential staff
9 under one roof. Working drawings are nearing completion. The project is expected to proceed
10 to bid next month.

11 b. Replacement Parking Spaces: San Quentin does not have adequate parking for its
12 staff, nor for escort vehicles to transport inmate patients to needed medical appointments off
13 prison grounds. To address this problem, parking spaces have been added.

14 c. Relocation of the “Walk Alone” Exercise Yards from Upper Yard to “C” Yard: This
15 relocation is necessary to allow for the construction of temporary clinical offices and
16 examination areas in the Upper Yard in 2007 (see Construction Package Two, below). Bid
17 documents were completed and construction bids are currently being solicited. Construction is
18 expected to begin in late July.

19 d. Medical Supply Warehouse: Currently, medical supplies are located in various spaces
20 throughout the institution’s grounds, including the use of four “Conex” boxes. A conceptual
21 plan has been designed to construct a single warehouse which will provide for effective storage,
22 inventory control and dispersal of supplies and will be integrated with the development of a main
23 warehouse. Requests for proposal packages will be developed and completed by August 2007.

24 e. Triage and Treatment Area Renovations: Most significantly, construction of the
25 Triage and Treatment Area (TTA) is complete and fully operational. The construction project
26 relocated the TTA from its original location at the northern entrance to the Neumiller building to
27 within the Neumiller building’s core on the first floor, permitting the immediate care of
28 emergency patients. This is a significant milestone in the construction program at San Quentin,

correcting a major deficiency in the provision of urgent and emergency care. A new inmate holding area adjacent to the TTA is expected to be ready for occupancy by June 2007.

f. Ventilation Upgrades to North Block: Plans to make minor ventilation modifications, better air balancing, and improve the cleaning approach to the building have been developed and are now being priced.

g. Expansion of the West and East Block Rotundas to Establish Clinical "Sick Call" Areas: At present, many critical clinic services (e.g. sick call, screening, and assessments) at San Quentin are provided in converted cells and make-shift office space within the prisoner/patient's cell block, resulting in entirely inadequate space to provide even minimal services. Designs have been developed to utilize the space in the rotundas of East and West Blocks for expanded and better equipped clinical areas. Working drawings of the designs are being developed.

h. Miscellaneous, Limited Upgrades to the North, AC and Gym Clinics: The scope of work to upgrade these facilities is being developed.

i. Addition of a "triple wide" relocatable trailer to provide needed office space for medical care delivery personnel. The trailers have been procured and are in use.

Construction Package Two.

Package Two consists of three projects. Planning work has begun on two projects and is expected to begin in the next quarter on the remaining project.

a. The Primary Care/Specialty Medical Services Modular, to be Placed in the Upper Yard: Due to the insufficient space within the Neumiller Infirmary building to support the necessary medical and mental health services needed to adequately care for the San Quentin inmate population, primary care and specialty medical services will be relocated to a temporary modular building in the upper yard. This modular will accommodate the out-patient and specialty clinic as well as medical staff support functions for the Institution temporarily until the new Central Health Services Building is completed. Programming and concept design for this project is complete.

During this reporting period, Request for Proposal (RFP) documents were finalized for this project and proposals are currently being solicited from contractors.

1 b. A Limited and Minor Remodel of the Existing Medical Records Unit: The temporary
2 space needs for Medical Records during the construction of the Central Health Services Building
3 were defined and concept plans have been developed to achieve better workflow and efficiency.
4 Plans to remodel the existing Medical Records Unit were temporarily placed on hold but will be
5 re-instituted during the next reporting period.

6 c. A Limited and Minor Remodeling of the Existing Receiving and Release Modular.
7 Construction has begun on this project and is expected to be completed by early August,
8 2007.

9 *Construction Package Three.*

10 Construction Package Three involves the construction of a permanent Central Health
11 Services Facility at San Quentin. Included in the Facility will be a 50 bed Correctional
12 Treatment Center ("CTC") and a state of the art correctional Reception Center to accommodate
13 the mission of San Quentin as a CDCR Reception Center. The Receiver's efforts to include
14 representatives from the *Coleman* (mental health) and *Perez* (dental) class actions in the design
15 of have been successful; therefore, this construction will also address the existing shortfalls of
16 space for mental health and dental services and clinical personnel.

17 Architectural programming and concept design is complete. This project will use the
18 "Design-Build" delivery method whereby a single entity consisting of an architect, contractor
19 and subcontractors design and build a project based on a detailed "design criteria" furnished by
20 the Receiver. Two major contractor-designer teams have been "pre-qualified." Comprehensive
21 Request for Proposal (RFP) documents have been developed and issued to the pre-qualified
22 teams. Proposals are expected on June 28, 2007. Selection process is expected to be complete in
23 July, with the design-build team expected to be under contract by August, 2007. In addition, the
24 draft Environmental Impact Report required by the California Environmental Quality Act has
25 been completed and is awaiting public comments.

26 As of the date of the filing of this report, the State Senate has passed legislation to fund
27 this construction and the Senate bill is awaiting action in the Assembly.

1 *Conclusion.*

2 The Receiver emphasizes that these projects continue to be the result of a collaborative
3 effort between San Quentin clinical personnel, custody personnel, and staff from the Office of
4 the Receiver who worked together to develop the overall plan and the details for each specific
5 project.

6 3. *Maxor Pharmaceuticals Pilot.*

7 As reported in previous Bi-Monthly Reports, the Receiver contracted with Maxor
8 Pharmaceuticals to overhaul CDCR's broken and overly expensive pharmacy system. Maxor
9 continues its work to reform every aspect of pharmacy operations, including pharmaceutical
10 purchasing; hiring pharmacy staff; building a central pharmacy facility; developing educational
11 and training tools; implementing pharmaceutical software; and restructuring the organization of
12 pharmacy operations, including altering lines of authority and job descriptions. Each of these
13 initiatives has seen progress during this reporting period. Below, the Receiver details some of
14 these recent successes and discusses the roadblocks facing this restructuring effort.

15 a. Assumption of Control Over the Negotiation of All CDCR
16 Pharmaceutical Purchases.

17 The Receiver, through Maxor, has begun the process to assume direct control over the
18 negotiation of all CDCR pharmaceutical purchases. (*See* Fourth Bi-Monthly Report at 63-64.)
19 To date, Maxor has begun reviewing existing individual contracts and is conducting therapeutic
20 category reviews to identify future favorable contracting options. In addition, Maxor
21 implemented a monitoring system to compare contract costs to charges and to provide feedback
22 to the pharmacists on purchasing choices to reduce costs. Maxor continues to work with a drug
23 wholesaler to optimize product availability and to reduce costs.

24 Maxor's revised negotiating terms and conditions of pharmaceutical contracts have met
25 with some confusion by vendors, requiring additional steps of assurance during contracting
26 negotiations. The Receiver is exploring the best manner to proceed with this change over, and
27 considering all options concerning how, during the change over, to protect the fiscal interests of
28 other California agencies who purchase pharmaceuticals.

1 b. Hiring Pharmacy Administration and Staff.

2 Maxor continued its efforts to build a central pharmacy administration, hiring a Director
3 of Pharmacy, an Operations Manager, two Pharmacy Technologists, a Clinical Specialist, and a
4 Nurse Liaison. Maxor has become directly involved in recruiting efforts for institution
5 pharmacists, expanding advertising in professional publications and distributing a mass mailer to
6 all California pharmacists. In addition, two outside recruiting firms were hired to assist in
7 recruitment for the vacant Clinical Pharmacy Specialist positions. In order to further publicize
8 employment opportunities, the Director of Pharmacy participated in the Western States
9 Pharmacy Residence Conference. Despite these efforts, recruiting clinical specialists has met
10 limited success.

11 c. Education of Pharmaceutical Staff.

12 A new Pharmacy Education and Communication Team (PECT) has been formed,
13 consisting of nine Pharmacists from facilities across California. They have become active in
14 evaluating newly proposed policies and procedures and educating pharmaceutical staff on the
15 new guidelines.⁴

16 The Maxor Pharmacy Nurse Liaison visited San Quentin with the Receiver's Chief
17 Executive Nurse to observe medication delivery systems and educate the nursing staff regarding
18 plans for the use of the Guardian Program, the planned centralized pharmacy, and future unit
19 level medication delivery processes.

20 Additional educational efforts included the deployment of two disease management
21 medication guidelines on the treatment of asthma and hypertension. A quarterly Pharmacist In
22 Charge meeting occurred in May 2007 to continue orientation of existing pharmacy staff to the
23 new policies and procedures. In addition, a baseline employee skills survey was completed to
24 help direct educational and training efforts.

25
26
27
28 ⁴ Pharmacy policies and procedures were reviewed and their revision continues. Seven policies
have been submitted to the Pharmacy and Therapeutics Committee and were approved. The first
five revised procedures have been deployed to the field.

1 The web-based software product, MC Strategies, is being utilized to distribute
2 pharmaceutical education materials to the pharmacy workforce. All approved policies have been
3 uploaded into the product with corresponding test questions. The asthma module, based on the
4 approved asthma disease management guidelines, is in draft format and the final will be
5 uploaded into MC Strategies.

6 d. Organization and Management of Pharmaceutical Staff.

7 Current best practices have been assessed and standardized methodologies for operational
8 aspects of pharmacy have been deployed to the field to improve services and controls prior to
9 centralization. This process is ongoing.

10 Pharmacist job descriptions and duty statements are under revision to better reflect
11 current pharmaceutical care standards and practices.

12 The establishment of direct lines of authority were augmented by the deployment of an
13 organizational chart and the establishment of monthly ongoing meetings with the regional
14 physicians, administrators and nurses. An interim staffing model was developed to address
15 critical staffing issues and was provided to the Office of the Receiver for review. In addition, an
16 employee grid has been created to track progress of employees from each pharmacy. A strategic
17 initiative tracking grid was also created for tracking key actions.

18 In-depth facility pharmacy inspections including narcotics inventory were completed.
19 Monthly inspections are occurring and a monitoring system has been established.

20 Maxor is providing formal quality improvement support for various issues at San Quentin
21 State Prison, Folsom State Prison, Valley State Prison for Women, and Calipatria State Prison.

22 e. Implementation of Pharmacy Software.

23 In May, a pilot test of the interim pharmacy software product began at Folsom State
24 Prison to address the inadequacies of the current system. Implementation of the interim
25 pharmacy software required the complete redesign of workflow at the Folsom pharmacy site.
26 This was necessary to incorporate the safety steps previously not included in the former software
27 system. A number of serious conversion related problems were encountered, resulting in a
28

1 slower implementation at the first site than expected. Corrective actions were implemented, and
2 a template for future conversions is in the process of being developed.

3 f. Development of a Central Pharmacy Facility.

4 An assessment of potential sites for establishing a centralized pharmacy facility has
5 commenced. Potential sites surveyed included various locations in Fresno, Stockton and
6 Sacramento. The final three locations being considered are two locations in Sacramento and one
7 in Fresno. Criteria used in choosing the site include access to lines of transportation (air and
8 ground), proximity to pharmaceutical distribution centers, ability to recruit and maintain
9 qualified pharmacy staff, and overall costs. A summary document describing the functions of
10 the new centralized pharmacy facility is being drafted. A recommendation to the Receiver for
11 the location of the new facility will be made by Maxor once the final lease costs have been
12 received from the potential landlords.

13 g. Challenges to Reform.

14 Although there remain many roadblocks to implementing lasting reform, three challenges
15 are particularly worth noting: (1) Implementing policy and procedure revisions has met with
16 resistance from facility staff. Routines and culture—albeit dysfunctional—have proved to be
17 difficult habits to break. (2) The lack of an organized system for deployment of new information
18 through medical, dental, psychiatry and nursing continues to make it difficult for knowledge of
19 the decisions of the Pharmacy and Therapeutics Committee (the body empowered to revise and
20 enact new policies and procedures) to be disseminated efficiently by each discipline to their staff.
21 (3) Access to pharmacy data is poor and data quality is suspect. These deficiencies make it
22 difficult to establish reliable measures.

23 4. *MTA Conversion to LVN.*

24 As of May 31, 2007, the Medical Technical Assistant (MTA) to Licensed Vocational
25 Nurse (LVN) conversion is complete. CDCR reports that there are no MTAs working in the
26 adult institutions statewide. Senior Medical Technical Assistants (SMTA) and Health Program
27 Coordinators (HPC), the two MTA supervisory classifications, have also been transitioned
28 effective May 31, 2007.

1 The Receiver has hired a total of 771 LVNs since the outset of the conversion project.
2 There are currently 333 vacant LVN positions. When the Receiver began the transition there
3 were 765 filled MTA positions and no civil service LVNs working in the adult institutions.
4 Approximately 103 MTA positions were reclassified during the conversion process to Registered
5 Nurse (RN) positions where the scope of responsibility merited the reclassification, for a total of
6 874 nursing positions filled as a result of the conversion project.

7 The 2006 LVN salary increase approved by the Court was instrumental to the Receiver's
8 successful transition away from the use of MTAs, while at the same time saving the State an
9 estimated \$39,000,000 million in the first 12 months. At the current time there are 1,190
10 candidates who have successfully completed the civil service examination and await job offers.
11 While these numbers are impressive on the surface, problems have arisen during the conversion,
12 including continuing difficulty recruiting in certain geographic locations; a lack of schools
13 producing LVNs in certain counties (for example, in Monterey and San Luis Obispo); and,
14 recently imposed collective bargaining agreements negotiated by the Department of Personnel
15 Administration which have shifted the burden of paying for dependent medical care coverage to
16 employees in this low paid classification. Given certain geography-specific difficulties in hiring
17 and retaining LVNs, it may become necessary to raise LVN salaries at several prisons in order to
18 attract and retain qualified applicants. The Receiver has undertaken a salary survey to determine
19 whether the CDCR LVN classification is competitive in all regions of the State of California.

20 5. *Clinical Hiring.*

21 The new salary ranges for physicians, mid-level practitioners, nurses and pharmacy
22 employees, coupled with enhanced recruitment efforts and additional guidance to the institutions
23 in the areas of recruitment and hiring, continue to increase the numbers of competent, qualified
24 applicants to the Department. The increased salaries have now allowed the CDCR to increase
25 the number of staff in *Plata* classifications by more than 1,000 between October 2006 and May
26 2007. The number of CDCR Registered Nurses continues to increase by an average of 25 every
27 month.
28

1 The new salary ranges for physicians that were effective March 1, 2007 have resulted in a
2 significant rise in the number of physician applicants. During the one year period of March 2006
3 to March 2007, a total of 184 applicants for the position of Physician and Surgeon took and
4 passed the on-line examination. Following the implementation of the new salary ranges, a total
5 of 105 physician applicants took and passed the exam within just two months: March 1, 2007 –
6 May 1, 2007.

7 Although some institutions still have no physician applicants, others have experienced
8 more interested and highly qualified candidates. It is anticipated that as the word gets out to the
9 medical community, via both stepped up recruitment efforts and word of mouth, that CDCR is
10 paying its physicians, nurses and other medical staff competitive wages and that the working
11 conditions will improve, the number of qualified applicants will continue to grow.

12 6. *Plata Support Division.*

13 a. Taking Over CDCR Functions and Staff.

14 As stated in previous reports to the Court, the Plata Support Division was developed in
15 order to gain greater control over day-to-day operational functions including personnel,
16 recruitment, fiscal, contracts, invoice processing, business services, space acquisition, and other
17 functions essential to the support of the medical care system.

18 Some of these functions already existed within CDCR Health Care Services (DCHCS),
19 while others were established to take over functions historically performed by CDCR
20 Headquarters. Because of these overlapping and shared functions, it is necessary to go through
21 detailed position authority and function reviews. One review process relates to the allocation of
22 positions in the DCHCS that are tied to functions that support both the medical mission and the
23 mental health and dental missions. The other review process involves the determination of how
24 many and what level CDCR Headquarters' positions are, or should have been, supporting the
25 medical mission.

26 This process involves identifying all DCHCS positions with permanent budget authority.
27 The next step is to sort out those directly tied specifically to just medical, mental health or dental.
28 Examples of these include the Statewide Director of Nursing, Statewide Medical Director, Chief

1 Psychiatrist and Chief Dentist. The subsequent step is to identify the numbers and levels of
2 those positions which support all three missions. Examples of these include: information
3 technology, fiscal, business services, recruiting and personnel. After this is completed, those
4 positions will need to be reviewed, by functional area, to determine which will be allocated to
5 mental health and dental (to be administered by the Secretary of CDCR) and which will be
6 allocated to medical (to be administered by the Office of the Receiver). The Department of
7 Finance (DOF) is aware of this process and has agreed to be involved and assist as needed to
8 reach an equitable distribution. The Receiver had intended to report about what health care
9 functions will be managed by the Plata Support Division and which functions will remain in
10 DCHCS, but the reorganization involves coordination with other courts and is still in progress.

11 The Receiver has established a number of new State positions. These positions are in
12 areas such as workforce development, personnel services, budget management, business
13 services, information technology, and contracts. Some of the newly established positions
14 represent new or expanded functions, while other positions perform functions that are currently
15 the responsibility of existing CDCR units. A thorough analysis and discussion involving staff
16 from the CDCR, the Plata Support Division and the Department of Finance (DOF) will
17 determine how many and what level positions should be available to offset. This analysis will
18 begin with personnel and recruitment and follow with other areas.

19 b. Progress on the Establishment of Personnel Operations.

20 As of May 2007, both the Personnel Services and the Plata Workforce Development
21 Departments have hired most of the management staff as well as several analytical and clerical
22 staff to support these programs. Of the 55 positions authorized for the Personnel Services
23 Department, 24 have been filled. Of the 39 positions authorized for the Plata Workforce
24 Development Department, 14 have been filled. With their newly hired management structure,
25 both Departments can begin to finalize planning, recruitment and hiring the remaining staff. The
26 programs are now beginning to establish the infrastructure needed to accommodate transferring
27 personnel and recruiting functions from the CDCR to the Plata Support Division. They will then
28 determine what functions and in what sequence they will assume responsibilities from CDCR.

1 Already scheduled is the transition from CDCR to the Plata Support Division of the recruitment
2 functions of the Plata Workforce Development Department on July 1, 2007.

3 With the rapid expansion of healthcare headquarters staff, including mental health and
4 dental, it is clear that the existing office space will be insufficient. Even though additional space
5 will become available in September 2007, it will not be enough to accommodate the needs of all
6 healthcare staff. Future space needs are being evaluated and alternatives are being developed.

7 7. *Specialty Care Contracts Pilot.*

8 In previous Bi-Monthly Reports, the Receiver has detailed the serious problems with the
9 CDCR's more than \$400 million clinical contracting process, which by late 2005 had all but
10 collapsed, jeopardizing patient care and wasting limited public resources. (*See First Bi-Monthly*
11 *Report* at 23-26.) In response, the Receiver established a Project Team to develop and
12 streamline contract processes, including effectuating the payment of all outstanding invoices;
13 developing modified conceptual bidding; and developing procurement and payment processes
14 necessary for the management of all CDCR health care contracts. This new contract
15 management system is supported by a newly created, computerized state-wide Health Care
16 Document Management System (HCDMS), replacing the former paper based system. As
17 reported in the Receiver's Fourth Bi-Monthly Report, on February 20, 2007 pilot testing began
18 of HCDMS at four institutions: California Medical Facility; Central California Women's
19 Facility; Pelican Bay State Prison; and California State Prison; San Quentin State Prison. (*See*
20 *Fourth Bi-Monthly Report* at 14-15.)

21 The Plata Contracts Pilot is progressing as scheduled. During this reporting period, the
22 pilot has developed and implemented the use of rate analysis forms, multiple templates including
23 Scopes of Work and Rate Sheets as well as incorporating the templates into the HCDMS. A
24 fully executed contract has been processed through the system, and an upcoming bid opening for
25 Physical Therapy will test the system even further. The Plata Contracts Pilot has seen invoice
26 processing times decrease to an average of 18 days. In addition, none of the invoices for three of
27 the institutions are more than 45 days old.
28

1 In an effort to eliminate the backlog of invoices at San Quentin State Prison and to test
2 the viability of central processing of invoices (a function normally performed by staff assigned to
3 individual institutions) the Plata Contracts Pilot took over the function and staff in March 2007.
4 As a result, the number of outstanding invoices has been greatly reduced and the average days to
5 process and pay an invoice dropped from over 50 days to a current average of 18 days.

6 By August 6, 2007, the Plata Contracts Pilot will: (1) move the invoice scanning and
7 indexing functions, now performed in Regional Accounting Offices, to a central location under
8 the control of the Plata Contracts Pilot and (2) centralize the invoice adjustment processing
9 function beyond just CSP-SQ, to include all pilot institutions. By October 1, 2007, the Plata
10 Contracts Pilot will be expanded to include an additional six institutions.

11 H. Coordination with Other Lawsuits.

12 The Receiver and his staff continue coordination efforts with Court representatives of the
13 *Armstrong, Coleman, and Perez* class actions. Monthly meetings were conducted during the
14 reporting period and, as one element of this effort, a number of coordination agreements were
15 submitted to the respective District Court Judges of the cases. As of the date of the filing of this
16 report, the question of whether certain functions, e.g. pharmacy, specialty contracts, etc. will be
17 managed by the Receiver or handled in separate medical, mental health, and dental organizations
18 is pending before the four District Court Judges.

19 I. Establishing the Receiver's Remedial Team.

20 Since the filing of the last report, the Receiver has appointed specialists in custody
21 support, office administration, discipline and investigations, health systems development and
22 information technology. Additional staff added to the Office of the Receiver during the
23 reporting period include the following:

24 Maryann Barry is a Nursing Consultant for the Receiver. Her consulting focuses on the
25 relationships between county jails and CDCR reception centers and the transition of patients
26 between such facilities. Ms. Barry has a BSN degree from Molloy College, and in 1975 she
27 completed a fellowship in the Graduate Nursing Program in Psychiatric- Mental Health Nursing
28 at Catholic University of America. Following her graduation, Ms. Barry accepted a teaching

1 position in the School of Nursing at Rochester University. During her tenure at Rochester
2 University, she was awarded a grant from the Robert Wood Johnson Foundation to participate in
3 a training program for Nurse Practitioners and she obtained her certification as a Nurse
4 Practitioner in 1977. In 1978, Ms. Barry reentered clinical practice and worked for the Veteran's
5 Administration for four years before accepting a position with Santa Clara County in the field of
6 juvenile custody health services. In 1986, she assumed responsibility for the Adult Custody
7 Health Services in the County Jails. Her efforts to rectify significant system and personnel
8 deficiencies in these facilities, led to the removal of Court oversight of the County Jails and
9 ultimately the accreditation of these facilities by the National Commission on Correctional
10 Health Care. In 1994, she integrated the Adult Custody Mental Health Services with the Adult
11 Medical Services which streamlined provision of care and significantly enhanced the quality of
12 health service provision in the County Jails. She has served as the Executive Director of the
13 Medical and Mental Health Services for Santa Clara County's Adult Correctional Facilities from
14 1986 to 2007.

15 Steve Cambra, Jr. is a Custody Support Specialist for the Receiver. Mr. Cambra's
16 responsibilities include assisting with the development and implementation of those elements of
17 the Receiver's Plan of Action with custody and security implications. Mr. Cambra has 37 years
18 of experience in the correctional field. Mr. Cambra began his career in the CDCR in 1970 as a
19 correctional peace officer. He promoted through the ranks, ultimately serving in executive
20 leadership positions during his last 11 years in the Department. In January, 1998, Mr. Cambra
21 was appointed Chief Deputy Director and was responsible for all departmental operations, and
22 beginning in November 2000, Mr. Cambra served as the Director of the Department until he
23 retired in July 2001. Mr. Cambra has experience working with a variety of the Department's
24 programs, including its educational, vocational and work, and drug and alcohol programs. He
25 has also worked with the State's most violent population, including condemned, security housing
26 and administrative segregation units. In 1995, Mr. Cambra was appointed to serve as Warden of
27 Pelican Bay State Prison, following the United States District Court's intervention in *Madrid v.*
28 *Gomez* related to the excessive use of force in the facility. Mr. Cambra oversaw the development

1 and implementation of new use of force policies for the facility, and in 1998 he assisted the
2 Department in implementing the “Use of Force” management plan in all 33 prisons.

3 John Dovey is a Custody Support Specialist for the Receiver. Mr. Dovey’s
4 responsibilities include assisting with the development and implementation of those elements of
5 the Receiver’s Plan of Action with custody and security implications. Mr. Dovey recently retired
6 from the California Department of Corrections with over 27 years in State service. Mr. Dovey
7 began his career in 1979 as a Correctional Officer at the California Institution for Men in Chino
8 where he worked for several years, promoting to the rank of Captain until he transferred to the
9 California Rehabilitation Center as Associate Warden in 1995. In 1999, Mr. Dovey moved to the
10 California Institution for Women where he ultimately was appointed as the prison’s first male
11 Warden. He subsequently served the Department as Chief Deputy Director - Field Operations
12 and as Director, Division of Adult Institutions. During his tenure Mr. Dovey’s successes
13 included leading the Department’s efforts to transition all institutions to a tobacco-free
14 environment; guiding an institution, as Warden, through the first assessment of prison culture
15 ever to be undertaken in the Department’s history; and implementing a program enabling
16 inmates to train puppies for placement as service dogs for the community—the first program of
17 its kind in a California prison.

18 Teresa Knox is an Administrative Assistant in the Receiver’s San Jose Office. Her
19 responsibilities include supporting the Receiver’s Chief Medical Officer and Chief Nurse
20 Executive. Ms. Knox has more than 20 years of experience providing executive administrative
21 support. Ms. Knox spent the prior six years working at the law firm of Fenwick & West, LLP as
22 the Legal Assistant to the Partner & Chair of the Intellectual Property Group. Before her tenure
23 at Fenwick, Ms. Knox worked as the Senior Administrative Assistant / Project Coordinator for
24 the Public Affairs Group at Intel Corporation where she managed a \$2 million Operating and
25 Charitable Contributions Budget, coordinated logistical support for Congressional and Foreign
26 Dignitary visits with Intel Executives and participated on the Planning Committee for the Intel
27 sponsored Smithsonian Museum exhibit at the San Jose Convention Center.

1 Randy Lucas is the Investigation and Discipline Coordinator for the Receiver and is
2 responsible for coordination and preparation of investigative and discipline cases related to the
3 medical system. Mr. Lucas has worked in California corrections for approximately 25 years and
4 recently retired from the CDCR, Division of Correctional Health Care Services, where he was
5 responsible for the oversight of statewide medical investigations and discipline. Mr. Lucas
6 previously served the CDCR in many different capacities, including serving as an Internal
7 Affairs Investigator and an Employee Relations Officer at Pelican Bay State Prison. Mr. Lucas
8 assisted with the implementation of the remedial plan developed in the case of *Madrid v. Gomez*
9 related to the use of force. Mr. Lucas also assisted in the development and implementation of the
10 Employee Investigation and Disciplinary Matrix adopted by the Federal Court and currently in
11 use by the CDCR.

12 Amanda Matranga is a Receptionist in the Receiver's Sacramento office. Previously, Ms.
13 Matranga worked for the CDCR as a Student Assistant in Human Resources. Ms. Matranga is
14 currently attending American River College.

15 Glen Moy is the Director of Health Information Integration for the Receiver and is
16 responsible for the implementation, integration, and support of many of the clinical information
17 systems for the CDCR. Prior to joining the Office of the Receiver, Mr. Moy was Manager of
18 Health Information Technology at Lumetra and was responsible for overseeing its efforts to
19 assist small- to medium-sized physician practices throughout California with the adoption of
20 electronic health records (EHRs). He also played a key role in the development and rollout of
21 the Doctor's Office Quality-Information Technology project, a pilot program sponsored by the
22 Centers for Medicare and Medicaid Services to promote the adoption of EHRs. Prior to that, Mr.
23 Moy was a senior project manager/implementation consultant for Chicago-based Allscripts
24 Healthcare Solutions.

25 Diane L. Norcio, RN, MPH, GNP, PhD is the Receiver's Director of Clinical Integration.
26 Dr. Norcio is responsible for interdisciplinary coordination of multiple clinical initiatives
27 including coordination among medical, mental health, and dental services. She has
28 responsibility for developing case management systems and leading other projects such as

1 clinical program planning for new facilities. Dr. Norcio joins the Office of the Receiver with 31
2 years experience in health systems start-up, development, and institutionalization for both
3 community-based and statewide public health programs for vulnerable populations. Her career
4 in health care started as founding director of a federal 330 health clinic in a housing project in
5 Cambridge, Massachusetts in the late 1970s. After that, as assistant director in the AIDS Bureau
6 at the Massachusetts Department of Public Health, her team leadership was instrumental in the
7 development of statewide HIV counseling and testing program—which became a national
8 blueprint. Later she directed epidemiological evaluation and re-modeling of that program to
9 accommodate projected trends in the spread of AIDS to new populations such as women of
10 color. In California, as a geriatric nurse practitioner, she practiced at Alexian Brothers Senior
11 Health Clinic in San Jose. Dr. Norcio has founded and directed adult day health care,
12 Alzheimer’s day care resource center, rural nursing continuing education program, and a post
13 Katrina Louisiana Red Cross shelter clinic. She has taught as clinical faculty at Oregon Health
14 and Science University School of Nursing and continues to lecture there as well as at University
15 of California San Francisco. Dr. Norcio received her Master of Public Health from Boston
16 University Medical School and PhD from University of California School of Nursing. Her
17 research has focused on political economic issues affecting aging rural populations.

18 Mimi Sgro is the Administrative Support Manager for the Office of the Receiver and is
19 responsible for the day-to-day operations of the office. Ms. Sgro has over nine years of
20 managerial experience working for two of the “Big 4” Accounting firms both in the US and
21 Canada, and was the recipient of her firm’s 2001 Outstanding Performance Award. Prior to
22 joining the Office of the Receiver, Ms. Sgro was a procurement manager for one of the world’s
23 largest electronic component distributors, Future Electronics, where she managed the global
24 inventory levels for six of the company’s largest suppliers. Ms. Sgro has a B.A. in Industrial
25 Relations and a Masters in Business Administration from McGill University. In addition, Ms.
26 Sgro has earned a Management Certificate in Human Resources.

27 Sara Stuart is an Administrative Assistant in the Receiver’s San Jose Office. Ms. Stuart
28 has 20 years of professional administrative and office managerial experience. Ms. Stuart has

1 been an executive assistant with extensive experience supporting executives of all levels in
2 medical, education, technology, and start-up venture firms.

3 **III.**

4 **PARTICULAR PROBLEMS FACED BY THE RECEIVER**

5 The Receiver provided for the Court the problems created by overcrowding and the
6 CDCR's responses to overcrowding in his Overcrowding Report and Supplemental
7 Overcrowding Report.

8 **IV.**

9 **ACCOUNTING FOR EXPENDITURES IN THE REPORTING PERIOD**

10 **A. Expenses.**

11 The total net operating and capital expenses of the Office of the Receiver for the months
12 of February, March and April 2007 were \$3,939,292 and \$1,758,558 respectively. A balance
13 sheet and statement of activity is attached as Exhibit 1.

14 **B. Revenues.**

15 On April 24, 2007, the Receiver requested a transfer of \$18,622,000 from the state to the
16 California Prison Health Care Receivership Corporation (CPR) to replenish the operating fund of
17 the Office of the Receiver for the fourth quarter of the Fiscal Year 2006-2007 and increase the
18 minimum operating capital on hand to six months. All funds were received in a timely manner.

19 **V.**

20 **OTHER MATTERS DEEMED APPROPRIATE FOR JUDICIAL REVIEW**

21 **A. Communications with Media and the Public.**

22 **1. Introduction.**

23 The Receiver's commitment to transparency and public information was demonstrated
24 throughout the reporting period by his availability to the press, CDCR staff, members of state
25 government and the public, providing information and answering questions related to the
26 remedial effort. The Office of the Receiver worked to proactively ensure that members of the
27 public were informed of its activities and had appropriate background, context and educational
28 materials needed to understand the remedial effort. This outreach included the issuing of press

1 releases and public correspondence from the Receiver, extensive background discussions and
2 interviews with reporters and producers and meetings with key constituents. In addition,
3 members of the public contacted the Receiver through his web site which continues to be
4 expanded and updated. (www.cprinc.org) Further details of public outreach activities are listed
5 below.

6 The Receiver produced a substantial number of public documents during the reporting
7 period. The Plan of Action for constitutional care, the report on the impact of prison
8 overcrowding on the remedial efforts and the Receiver's budget projections for the upcoming
9 fiscal year were each released in May. These documents were the subject of intense public
10 interest and inquiry. Additionally, multiple court filings regarding Medical Development
11 International⁵ and various requests for waiver of State law also required extensive public
12 education. All of this material was posted timely on the Receiver's web site.

13 The first anniversary of the Receivership occurred during this reporting period. This
14 occasion prompted enhanced interest by the press, public, legislature, CDCR and other
15 constituents curious about what had been accomplished within the first year. For example, the
16 San Jose Mercury News, Sacramento Bee and KPCC Southern California Public Radio all chose
17 to produce profiles of the Receiver to coincide with the first anniversary.

18 2. *Media and Public Outreach.*

19 a. Public Information Produced by the Receiver:

20 Press release – March 20, 2007 on Fourth Bi-Monthly Report

21 Press release – May 10, 2007 on the Plan of Action

22 Letter from the Receiver – April 20, 2007: sixth in a series of public letters from the Receiver to
23 a broad audience including members of state government

24 Letter from the Receiver – May 11, 2007: seventh in a series of public letters from the Receiver
25 to a broad audience including members of state government

26
27
28 ⁵ Medical Development International, a non-party in this action, filed (1) a Motion to Intervene,
(2) a Motion for "Instructions," and (3) a Motion for Order Shortening Time.

Receiver's Waiver Requests Fact Sheet – April 2007: explaining the content and purpose of four separate requests by the Receiver to Judge Henderson to waive state law
San Mateo County Medical Association Bulletin – April 2007 issue, "Receivership addressing prison health care crisis"
Pharmacy Horizons v. 1 Issue 2 – May 2007, Message from the Receiver to CDCR Pharmacy Staff

b. Receiver's Radio and TV Appearances:

KCBS Radio San Francisco – May 10, 2007
KXJX Capitol Public Radio Sacramento – May 10, 2007
KTVU Channel 2 Oakland – May 10, 2007
KPBS San Diego Public Radio – May 11, 2007
KQED Radio San Francisco – May 15, 2007
KXJX Capitol Public Radio Sacramento – May 15, 2007

c. Receiver's public appearances:

Keynote Address at the Association for Criminal Justice Research, Sacramento, March 22, 2007
Address to San Mateo Rotary Club, San Mateo, March 29, 2007
Testimony before the California Assembly Budget Subcommittee 4, Sacramento, April 11, 2007
Address to Coalition of Alcohol and Drug Association Conference, Sacramento, May 21, 2007
Ribbon cutting ceremony and media event at San Quentin State Prison to open the new Triage and Treatment Area, June 14, 2007
Address at the San Mateo County Medical Association Annual Meeting, San Mateo, June 16, 2007

d. Editorial Coverage:

Sacramento Bee Column – March 21, 2007, "Dan Walters: Prison czar could be a good thing"
Sacramento Bee Column – March 25, 2007, "Daniel Weintraub: Sillen finds prison woes run deep - very deep"
Los Angeles Times Editorial – March 30, 2007, "The prison nightmare scenario"
Fremont Argus Column – April 02, 2007, "Daniel Weintraub: Sillen finds prison woes run deep"

1 Fresno Bee Editorial – April 03, 2007, “Prison mess indeed: It exists because elected officials
2 wait until we’re in crisis mode”

3 Scripps News Opinion – April 06, 2007, “It’s not surprising Robert Sillen makes lawmakers
4 angry”

5 Fremont Argus Opinion – April 11, 2007, “It’s not surprising Sillen makes lawmakers angry”

6 Sacramento Bee Opinion – April 12, 2007, “Romero and Perata: Tough on crime vs. smart on
7 crime”

8 San Diego Union Tribune Editorial – April 18, 2007, “Takeover time: Guards, legislators may
9 give judge no choice”

10 San Jose Mercury News Editorial – May 11, 2007, “Prison health care plan has merit, needs
11 price tag”

12 California Majority Report Fresh Meat Column – May 16, 2007, covered Receiver’s critique of
13 AB 900

14 American Chronicle Column – May 18, 2007, “Cayenne Bird: Prisons are still killing people,
15 Sillen is not a hero”

16 San Francisco Chronicle Editorial – May 21, 2007, “What’s on the prison table”

17 San Jose Mercury News Editorial – May 21, 2007, “Editorial: California prison system can’t be
18 improved piecemeal”

19 e. Examples of News Coverage:

20 Daily Journal – March 02, 2007, “Receiver’s First Steps in Reforming Prison Health Care”

21 Advance for Nurses – March 09, 2007, “In the Spotlight, Life on the Inside”

22 Sacramento Bee – March 20, 2007, “Ill man’s prison term blocked: S. F. judge cites findings of
23 poor medical care, says move from local jail could equal a death sentence”

24 Sacramento Bee – March 21, 2007, “Prison drug buying irks medical czar”

25 Oakland Tribune – March 21, 2007, “Prison health care overseer pushes peers on reforms”

26 Fresno Bee – March 21, 2007, “Care of Avenal inmates blasted”

27 San Jose Mercury News – March 21, 2007, “Prison health cooperation urged”

28 Vacaville Reporter – March 21, 2007, “Prison drug buying process ripped”

1 Sacramento Bee – March 28, 2007, “Hold placed on bills that might swell prisons”
2 Los Angeles Times – March 29, 2007, “Protesters attack gov.’s prison plans”
3 Contra Costa Times – March 30, 2007, “Calif. Prison dept. discloses billions in contracts”
4 Federal Drug Discount and Compliance Monitor – April 2007 issue, “Receiver criticized the
5 state of California for obstructing efforts to explore using the 340B drug discount program for its
6 prison population”
7 Sacramento Bee – April 01, 2007, “Progress on fixing prisons suffers setbacks”
8 Los Angeles Times – April 05, 2007, “Prison healthcare providers sues”
9 San Diego Union Tribune – April 05, 2007, “Company says it was threatened by California
10 prison receiver”
11 San Francisco Chronicle – April 05, 2007, “Health care firm accuses state prisons’ medical czar”
12 Sacramento Bee – April 05, 2007, “Prison czar coercive, medical firm says”
13 North County Times – April 09, 2007, “Company says it was threatened by California prison
14 receiver”
15 Daily Journal – April 09, 2007, “Prison health care receiver axes administration provider”
16 Sacramento Bee – April 10, 2007, “Prison health service halted: Florida firm accused state of
17 withholding \$2.6 million in fees”
18 Sacramento Bee – April 20, 2007, “Ex-prison pharmacist under FPPC scrutiny”
19 Los Angeles Times – April 20, 2007, “Plan for female inmates stalls”
20 Los Angeles Times – April 23, 2007, “State is sued over hospital staffing crisis”
21 San Jose Mercury News – April 23, 2007, “California prisons benefit from tough advocate”
22 San Jose Mercury News – April 23, 2007, “5 highest-paid prison health employees”
23 San Jose Mercury News – April 23, 2007, “Bob Sillen”
24 Los Angeles Times – April 24, 2007, “California told to submit better hospital plan: Mental
25 health officials are given until May 21 to figure out how to stem departure of clinicians”
26 Sacramento Bee – April 25, 2007, “Lawmakers make prison deal”
27 San Luis Obispo Tribune – April 27, 2007, “Plan expected to change little at Men’s Colony”
28 Sacramento Bee – April 28, 2007, “Point man for prisoners’ health”

1 Los Angeles Times – April 30, 2007, “Two federal judges hold key to California prison reform”
2 Fresno Bee – May 02, 2007, “A plea for help for Coalinga prison: Fresno Co. grand jury says
3 Pleasant Valley should fix health care”
4 Orange County Register – May 07, 2007, “California’s point man for prison health”
5 Sacramento Bee – May 10, 2007, “Receiver releases prison medical plan”
6 Los Angeles Times – May 10, 2007, “Ambitious plan for California’s prisons released today”
7 Vacaville Reporter May 11, 2007, “Prisons’ medical reform unveiled”
8 Sacramento Bee – May 11, 2007, “Inmate rights lawyers are a burden, Sillen says: Health czar
9 files motion to curb those who helped create his job”
10 San Jose Mercury News – May 11, 2007, “Federal receiver issues prison health care plan”
11 Los Angeles Times – May 11, 2007, “Sweeping prison healthcare plan released”
12 ANG Newspapers – May 11, 2007, “Prison plan calls for big overhaul of health care: Court-
13 appointed overseer estimates implementation could take decade”
14 Fremont Argus – May 12, 2007, “State’s prison health care to be completely revamped: Federal
15 receiver outlines objectives for next two years”
16 San Francisco Chronicle – May 15, 2007, “Overcrowding impedes prison health care reforms,
17 receiver says”
18 KSBY San Luis Obispo – May 15, 2007, “Crowding impedes prison health care reforms, receiver
19 says”
20 North County Times – May 15, 2007, “Overcrowding impedes prison health care reforms
21 receiver says”
22 Inland Valley Daily Bulletin – May 16, 2007, “Seeking prison power: Medical-care czar wants
23 bigger role”
24 Oakland Tribune – May 16, 2007, “Prison czar suggest he lead reform program”
25 Los Angeles Times – May 16, 2007, “California prison monitor wants power to hire guards”
26 Sacramento Bee – May 16, 2007, “Health czar rips prison bed plan: He suggests a need to take
27 over the hiring of officers to bolster medical care”
28 San Francisco Chronicle – May 16, 2007, “Call for more guards at state prisons”

1 Sacramento Bee – May 17, 2007, “State offers prison deal: Early parole discharges, transfers out
2 of state can ease crisis, court is told”

3 Sacramento Bee – May 17, 2007, “Governor names Dezember to head prison health system”

4 Oakland Tribune – May 20, 2007, “Locked Up and Ailing: Poor health care is but one symptom
5 in the failing state prison system. The effort to fix it will focus on the ‘linchpin’ – nursing care”

6 Vacaville Reporter – May 20, 2007, “At CSP Solano, health-care delivery often a juggling act”

7 Alameda Times Star – May 20, 2007, “Locked up and ailing”

8 Oakland Tribune – May 21, 2007, “Chief prison reformer tackling health care: State appointee
9 has earned respect of inmates, employees in system”

10 San Francisco Chronicle – May 21, 2007, “Prisons’ budget to trump colleges”

11 Fremont Argus – May 21, 2007, “Prison reformer making progress: Appointee has earned
12 respect of inmates, employees in system”

13 Daily Review – May 21, 2007, “Prison reform chief sees success: Appointee has earned respect
14 of inmates, employees in system”

15 Sacramento Business Journal – May 25, 2007, “Prison workers bust out”

16 San Bernardino Sun – May 27, 2007, “Report: Overcrowded prisons hamper health-care efforts”

17 Sacramento Bee – May 30, 2007, “Judge proposes joint hearing on prison cap: In health care
18 cases, receiver’s aide tells officials they needn’t obey state directions”

19 Los Angeles Times – June 04, 2007, “Prison solution became problem: A \$26-million proposal
20 to ease medical crisis led to a fight that highlights what critics say are flaws in contracting
21 practices”

22 Sacramento Bee – June 07, 2007, “FPPC complaint names former health-care official”

23 KTVU Channel 2 Oakland – June 14, 2007, Coverage of the opening of San Quentin’s new
24 emergency Triage and Treatment Area

25 Marin Independent Journal – June 14, 2007, “Trauma center unveiled at San Quentin”

26 San Francisco Chronicle – June 14, 2007, “San Quentin emergency room, a result of court
27 takeover, opens”

28

1 San Jose Mercury News – June 14, 2007, “San Quentin emergency room, a result of court
2 takeover, opens”
3 Sacramento Bee – June 14, 2007, “San Quentin emergency room, a result of court takeover,
4 opens”
5 Contra Costa Times – June 14, 2007, “San Quentin emergency room, a result of court takeover,
6 opens”
7 Monterey Herald – June 14, 2007, “San Quentin emergency room, a result of court takeover,
8 opens”
9 Fresno Bee – June 14, 2007, “San Quentin emergency room, a result of court takeover, opens”
10 San Diego Union Tribune – June 14, 2007, “San Quentin emergency room, a result of court
11 takeover, opens”
12 Vacaville Reporter – June 15, 2007, “Receiver touts new prison ER”
13 Fremont Argus – June 15, 2007, “San Quentin presents new triage area: ER only first of changes
14 planned for local prisons”
15 Oakland Tribune – June 15, 2007, “San Quentin presents new medical facilities: ER only first in
16 changes planned for area prisons”
17 KXJZ Capitol Public Radio – June 15, 2007, “San Quentin gets new ER”
18 KSBY Channel 6 NBC, San Luis Obispo, Santa Maria, Santa Barbara – June 15, 2007, “San
19 Quentin emergency room, a result of court takeover, opens”
20 Orange County Register – June 15, 2007, “San Quentin opens emergency room: \$1.6 million
21 facility intended as model for modernization, receiver says”
22 AOL News – June 15, 2007, posted photos of San Quentin event

23 3. *Additional Activities.*

24 The Receiver participated in a series of constituent meetings including the Fresno Bee
25 Editorial board (April 2), the San Diego-based Second Chance Program (April 6), the California
26 Hospital Association regarding various county and local hospital issues (June 1). The Receiver
27 accepted invitations to speak at the Langeloth Foundation Board of Directors Meeting (April 14)
28 and the San Mateo County Medical Association Board of Directors Meeting (April 17). The

1 Receiver also attended a May 29 meeting with California Senator Denise Ducheny, at her
2 invitation.

3 In connection with the Receiver's ongoing project to improve medical care at San
4 Quentin, the Receiver continued to emphasize public awareness and understanding of the work
5 taking place there. This included a tour for staff from the Legislative Analyst's Office of the
6 institution's medical facilities on April 10, and a June 14 media event to open the new Triage and
7 Treatment Area (TTA) that provides emergency and urgent care for the prison's approximately
8 5,200 inmates.

9 The Office of the Receiver also fielded several requests from private production
10 companies to film medical documentaries and other programs within CDCR institutions. In
11 some cases, these were dispatched with quickly, in others they required weeks and sometimes
12 months of discussion and negotiation with the producers, CDCR communications and institution
13 staff. The outcome of these projects, and the benefit to the public balanced against the
14 investment of time and resources is not yet known. This is an area that will continue to be
15 reviewed by the Receiver.

16 B. Inmate Patient Complaints and Correspondence Program.

17 1. *Introduction.*

18 In the Fourth Bi-Monthly Report, the Receiver provided an update on the Inmate Patient
19 Complaints and Correspondence Program, as well as a summary of the numbers and types of
20 complaints and correspondence received for the last quarter of 2006. The Receiver provides
21 below a summary of the amount, types of complaints and correspondence received for the first
22 quarter of 2007.

23 2. *Analysis of Inmate Patient Letters to the Receiver (January – March 2007).*

24 The Office of the Receiver currently receives approximately 70 – 80 letters per week
25 regarding inmate patient medical care. As noted in the Fourth Bi-Monthly Report, the letters
26 come not only from inmate patients but also from family members, friends and other advocates,
27 ranging from public interest groups to private citizens.
28

1 During the first quarter of 2007, the Office of the Receiver processed approximately 579
2 letters. This is an increase of 125 from the 454 letters received during the last quarter of 2006.
3 Of the 579 letters, 176 were from people who have written to the Receiver more than once, some
4 several times, regarding either the same or a different issue. (*See Receiver's Third Bi-Monthly*
5 *Report*, page 41 for a description of the letter review process.) The number of letters clinical
6 staff designate for further investigation remains at approximately 20 percent.

7 a. Prison Specific Distribution of Correspondence.

8 The 579 letters received by the Office of the Receiver included concerns about all of the
9 33 adult prisons. Pleasant Valley State Prison is the source of most correspondence, with 51
10 letters. The next-highest number of complaints came from: Mule Creek State Prison (48),
11 Avenal State Prison (43), Salinas Valley State Prison (38), California Medical Facility (38) and
12 California Training Facility (34).

13 The number of letters by institution is set forth below:⁶

14 Avenal State Prison 43
15 Calipatria State Prison 5
16 California Correctional Center 9
17 California Correctional Institution 3
18 Centinela State Prison 3
19 Central California Women's Facility 13
20 California Institution for Men 2
21 California Institution for Women 9
22 California Men's Colony 17
23 California Medical Facility 38
24 Corcoran State Prison 23
25 California Rehabilitation Center 4
26 Correctional Training Facility 34
27 _____

28 ⁶ Three of the letters received by the Office of the Receiver did not reference a particular institution and therefore are not included in the institution tally of letters.

1 Chuckawalla Valley State Prison 6
2 Deuel Vocational Institute 1
3 Folsom State Prison 15
4 High Desert State Prison 16
5 Ironwood State Prison 6
6 Kern Valley State Prison 21
7 California State Prison, Los Angeles County 15
8 Mule Creek State Prison 48
9 North Kern State Prison 1
10 Pelican Bay State Prison 13
11 Pleasant Valley State Prison 51
12 R.J. Donovan Correctional Facility 19
13 California State Prison, Sacramento 6
14 California Substance Abuse Treatment Facility 25
15 Sierra Conservation Center 3
16 California State Prison, Solano 26
17 San Quentin State Prison 26
18 Salinas Valley State Prison 38
19 Valley State Prison for Women 32
20 Wasco State Prison 5

21 b. Types of Complaints.

22 The majority of letters (341) concern the inmate patient's disagreement with the medical
23 care provided. Other types of complaints include lack of access to care, problems with the
24 medical appeals process and complaints against medical staff. Some specific examples of
25 medical care issues brought to the Receiver's attention include inmate patients who have
26 experienced delays in receiving specialty care, chronic disease patients concerned about the
27 maintenance of their health, patients with concerns about the attitudes of clinical staff, and
28 patients with pain management concerns.

The types of complaints are categorized below:

Issue Category	Statewide Total
Access to Care	21
Medical Appeals Problems	9
Complaint v. Staff	22
Disagree with Care	341
Miscellaneous	173
Suspicious Death	3
Custody Interference w/ Medical Care	7

The second largest number of letters the Office of the Receiver receives are those categorized as miscellaneous. The miscellaneous letters have been separated into sub-categories in the table below. The second largest number of the letters in this category relate to pharmacy, the most common complaint being the delay in getting prescriptions filled and receiving medication.

Other sub-categories include “transfer,” where a patient is concerned about being transferred to another institution or a patient is requesting to be transferred to another institution. The “diet” sub-category includes patients dissatisfied with the meals provided and those that request a special diet due to a medical condition. The “chrono” sub-category includes patients who allege that their medical chronos (an order from a doctor for a specific accommodation such as a lower bunk or orthopedic shoes) are not being honored at the institution. The “optometry” sub-category consists mainly of patients who have experienced delays in receiving glasses previously ordered and those that request an optometry appointment.

The Office of the Receiver gets a notable amount of mail from people who are not clear on the parameters of the Receiver’s authority. Often they write about issues outside the jurisdiction of the Office of the Receiver. Those letters make up the bulk of the “other” sub-category which is the largest sub-category under miscellaneous. Examples include but are not

1 limited to, complaints regarding visitation policies, parole hearings, legal mail, three strikes law,
2 plumbing problems and housing assignments.

Miscellaneous Category	Statewide Total
3 Mental Health	11
4 Dental	10
5 Transfer	9
6 Diet	9
7 Optometry	8
8 Chrono	5
9 Legal	4
10 Pharmacy	29
11 Other	88
12 Total	173

14 **VI.**

15 **CONCLUSION**

16 Given the pending motions, potential changes in operations created by the
17 implementation of AB 900, the Receiver will defer making any final comments in this Fifth
18 Quarterly Report. Undoubtedly there will be many new developments concerning the remedial
19 process during the next reporting period.

20
21 Dated: June 20, 2007

22
23
24 

25 Robert Sillen
26 Receiver
27
28

EXHIBIT 1

California Prison Health Care Receivership Corporation
Balance Sheet
As of April 30, 2007
(Unaudited)

	April 2007	June 2006
ASSETS		
Current Assets		
Cash in Bank	\$ 2,308,833	\$ 2,072,487
Prepaid Insurance	38,473	41,138
Prepaid Rent/Other Deposits	19,024	121,402
Total Current Assets	2,366,330	2,235,027
Property, furniture, and equipment:		
CPR Headquarters	454,060	31,437
Held on behalf of CDCR	5,533,591	0
Total Property, furniture, and equipment:	5,987,651	31,437
Other Assets:		
Security Deposit	177,472	176,222
Total Other Assets	177,472	176,222
TOTAL ASSETS	\$ 8,531,453	\$ 2,442,686
LIABILITIES AND FUND BALANCES:		
Current Liabilities		
Accounts Payable	\$ 792,439	\$ -
Accrued Expenses	633,681	39,000
Payroll-Payable	273,765	98,274
Total Current Liabilities	1,699,885	137,274
Fund Balances:		
Contributed Capital -State of California	14,692,102	2,752,547
Net Expenses - Prior year	(447,135)	(447,135)
Net Expenses - Current year	(7,460,599)	0
Total Fund Balances	6,784,368	2,305,412
TOTAL LIABILITIES AND FUND BALANCES	\$ 8,484,253	\$ 2,442,686

California Prison Health Care Receivership Corporation
Statement of Expenses
For the ten months ending April 30, 2007
(Unaudited)

	<u>April 2007</u>	<u>June 2006</u>
Operating Expenses:		
Salaries/Wages & Related	\$ 4,097,162	\$ 327,969
Legal & Other Professional Fees	2,872,858	90,929
Office Expenses	53,827	621
Rent	157,428	6,470
Insurance	44,090	8,120
Telephone	40,398	997
Travel	246,185	15,627
Other Expenses	119,126	0
Total Operating Expenses	<u>\$7,631,074</u>	<u>\$450,733</u>
Other Income		
Interest Earned	\$170,474	\$3,599
Total Other Income	<u>\$170,474</u>	<u>\$3,599</u>
Net Expenses	<u><u>\$7,460,600</u></u>	<u><u>\$447,134</u></u>

1 **PROOF OF SERVICE**

2 I, KRISTINA HECTOR, declare:

3 I am a resident of the County of Alameda, California; that I am over the age of eighteen
4 (18) years of age and not a party to the within titled cause of action; that I am employed as the
Inmate Patient Relations Manager in *Plata v. Schwarzenegger*.

5 On June 20, 2007 I served a copy of the attached document described as
6 RECEIVER'S FIFTH QUARTERLY REPORT on the parties of record in said cause by placing
a true and correct copy thereof by pdf and by United States Mail and addressed as follows:

7 BRIGID HANSON
8 Director (A)
9 Division of Correctional Health Care Services
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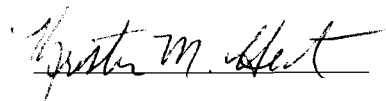
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36 Sacramento, CA 95814

37 I declare under penalty of perjury under the laws of the State of California that the
38 foregoing is true and correct. Executed on June 20, 2007 at San Francisco, California.

39
40 
41
42 Kristina Hector