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11 UNITED STATES DISTRICT COURT
12 NORTHERN DISTRICT OF CALIFORNIA

13 MARCIANO PLATA, et al.,
14 Plaintiffs,
15 v.
16 ARNOLD SCHWARZENEGGER, et al.,
17 Defendants.
18

No. C-01-1351 T.E.H.

**~~PROPOSED~~ STIPULATED
ORDER RE QUALITY OF
PATIENT CARE AND
STAFFING**

19 Based on the expert reports dated July 9 and July 16, 2004, the parties
20 propose the following order to address the issues raised by the experts relating to quality of
21 patient care and staffing.

22 **A. EVALUATION OF PHYSICIANS**

23 1. Defendants shall, within sixty (60) days of this order, engage an
24 independent entity approved by the parties and the Court experts to evaluate and train
25 physicians employed by the California Department of Corrections (CDC). Any agreement
26 regarding the independent entity shall be reviewed by the Court experts and plaintiffs'
27 counsel before it is entered into by defendants.

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RICHARD W. WIEKING
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

1 2. Defendants shall work with the Court experts to develop a plan to
2 assess and train nurse practitioners and physician assistants and shall provide the plan to the
3 Court and plaintiffs by November 1, 2005.

4 3. Defendants shall complete the evaluation and, if appropriate, training
5 of all physicians with clinical responsibilities, excluding psychiatrists, at the calendar year
6 2003-2005 roll-out institutions by December 31, 2005. Defendants shall complete the
7 evaluation and, if appropriate, training of all such physicians at the remaining institutions by
8 December 31, 2006. Defendants will develop a schedule with the independent entity and
9 provide it to the plaintiffs and the Court experts. The schedule shall provide that physicians
10 identified by defendants as most in need of evaluation and training be given priority.
11 Defendants will provide plaintiffs and the Court experts with monthly progress reports
12 beginning January 15, 2005.

13 4. Defendants shall complete the evaluation and, if appropriate, training
14 of all other CDC physicians with clinical responsibilities, including but not limited to,
15 QMAT physicians, the Chief Deputy of Clinical Services, and any Assistant Deputy
16 Director with a medical degree by June 30, 2005.

17 5. After the evaluation, the independent entity shall classify each person
18 evaluated according to the following categories:

- 19 A. **Category 1:** competent to provide care to class members
20 without remedial training;
- 21 B. **Category 2:** competent to provide care to class members
22 pending successful completion of remedial training by the
23 independent entity;
- 24 C. **Category 3:** not competent to provide care to class members,
25 or failed to successfully complete remedial training required
26 by the independent entity.

27 6. The independent entity will determine the physicians competent to
28 treat high-risk patients (see paragraph 13).

1 7. Defendants shall ensure that those providers who are in Category 2 are
2 promptly provided remedial training by the independent entity, and shall assign them to
3 positions in a manner consistent with the evaluation.

4 8. Defendants shall provide plaintiffs' counsel and the Court experts with
5 the evaluations of the physicians in the monthly document production that follows the
6 receipt of the written evaluations.

7 9. Upon notification by the independent entity, physicians in Category 3
8 shall not engage in direct patient care, direct the activities of persons engaged in patient
9 care, prepare or supervise the preparation of case histories, supervise persons engaged in
10 patient care, or participate in any oversight or management of patient care.

11 10. Every physician hired after January 1, 2005, through December 31,
12 2008, must, as a condition of probation, successfully complete the evaluation and remedial
13 training process within the first four months of employment. Defendants shall not continue
14 to employ physicians who do not successfully complete the program. By June 30, 2008,
15 the Court experts shall report to the Court as to whether the successful completion of the
16 evaluation and training program should continue to be a necessary condition of probation.

17 11. If there are vacant physician and surgeon positions that cannot be
18 filled with Category 1 or 2 primary care physicians, the vacant positions can be reclassified
19 and filled with nurse practitioners or physician assistants in ratios developed in
20 consultation with the Court experts.

21 12. As of January 15, 2005, defendants shall not hire as independent
22 contractors primary care physicians who are not board-eligible or board-certified in
23 internal medicine or family practice.

24 **B. TREATMENT OF HIGH-RISK PATIENTS**

25 13. Defendants and the Court experts shall jointly develop criteria and a
26 method to identify high-risk patients by September 30, 2004. Defendants shall identify all
27 patients who meet the criteria, beginning with the 2003 roll-out institutions.

28

1 14. The parties and the Court experts shall develop a plan for completing
2 the identification and treatment of high-risk patients at all the institutions and submit it to
3 the Court.

4 15. Defendants shall take all necessary steps to ensure that high-risk
5 patients are treated by primary care providers that are designated to treat such patients.

6 16. By November 1, 2004, independent physicians approved by the Court
7 experts shall evaluate and treat high-risk patients housed at California State
8 Prison - Sacramento (CSP-SAC), California State Prison - Corcoran (COR), Central
9 California Women's Facility (CCWF), and Salinas Valley State Prison (SVSP). Defendants
10 shall ensure that adequate nursing and administrative support is provided at each institution
11 to assist the independent physicians with scheduling and follow-up of patient care. If the
12 Court experts determine that additional independent physicians are needed at other
13 institutions, the experts shall submit a report to the Court and parties. The independent
14 physicians at the four designated institutions shall continue until the experts report that
15 those prisons have sufficient qualified providers caring for high-risk patients or that
16 defendants have some other program to provide adequate care to those patients.

17 **C. PHYSICIAN AND NURSING CLASSIFICATIONS AND SUPERVISION**

18 17. By November 1, 2005, defendants shall submit a proposal to the
19 appropriate control agencies to reclassify all physician categories and include a
20 classification for regional medical directors. A market survey and reclassification study
21 shall be completed prior to submission of the proposal. The proposal shall also include a
22 recommendation that each institution have a qualified health administrator and a qualified
23 medical director. The proposal shall also address the need for salary adjustments. In the
24 interim, and until defendants' proposal is implemented, defendants shall hire additional
25 central office and regional medical directors, of a type and number agreed to by the Court
26 experts. By December 1, 2004, defendants shall submit to the
27 Court a plan to hire and retain central office and regional medical directors.
28

1 18. By November 1, 2005, defendants shall also submit a proposal to the
2 appropriate control agencies for a director of nursing and a classification for regional
3 directors of nursing. The proposal shall also address the need for salary adjustments. In
4 the interim, and until defendants' proposal is funded, defendants shall hire a Director of
5 Nursing and regional directors of nursing, of a type and number agreed to by the Court
6 experts. By December 1, 2004, defendants shall submit to the Court a plan to hire and
7 retain central office and regional directors of nursing.

8 19. Defendants shall change the hiring process from a local process to a
9 regional or central process for all physician, nurse practitioner, and physician assistant
10 categories. By January 15, 2005, defendants shall submit to the Court a plan to modify the
11 hiring process.

12 20. By March 1, 2005, defendants shall develop a plan to expand the
13 agreement, referenced in paragraph 1, to include a program approved by the parties and the
14 experts for on-site clinics through a residency program affiliation, which will provide
15 medical care for inmate patients with complex medical conditions. Defendants' plan shall
16 provide that the on-site clinics be established for the calendar year 2003-2005 roll-out
17 institutions as practicable by March 1, 2006.

18 21. By March 1, 2005, defendants shall work with the Court experts to
19 complete statewide health care bylaws and credentialing policy and submit to the Court a
20 scheduled plan for implementation of the process after training is completed. The
21 credentialing policy shall include provisions requiring advanced qualifications for those
22 providers caring for high-risk patients.

23 22. By December 1, 2005, defendants shall work with the Court experts
24 to complete peer review policy and submit to the Court a scheduled plan for
25 implementation of the process after training is completed.

26 **D. QMAT AND OTHER SUPPORT POSITIONS**

27 23. By March 1, 2005, defendants shall fund, establish, and begin to fill
28 one position at each of the roll-out institutions to support the implementation of the

1 Inmate Medical Scheduling and Tracking System (SATS-LITE). Defendants will begin
2 recruiting for the positions no later than January 1, 2005, with the intention of filling
3 positions as soon as they are established.

4 24. By March 1, 2005, defendants shall fund, establish, and begin to fill
5 not less than nine positions to expand the Quality Management Assistant Teams
6 (QMAT). Defendants will begin recruiting for the positions no later than January 1,
7 2005, with the intention of filling positions as soon as they are established.

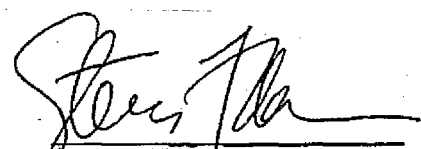
8 **E. MISCELLANEOUS**

9 25. In the event that defendants fail to meet or believe they will be
10 unable to meet any deadline in this Stipulation and Order, the parties and the Court
11 experts shall meet and confer and submit a joint report to the Court identifying any
12 problem and the appropriate action to be taken.

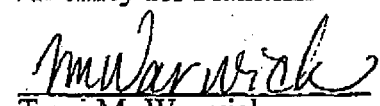
13 26. This order is necessary to correct a current and ongoing violation of
14 a federal right, extends no further than necessary to correction the violation of the federal
15 right, and is narrowly drawn and the least intrusive means to correct the violation.

16 **IT IS SO STIPULATED.**

17 Date: September 10, 2004


Steven Fama
Attorney for Plaintiffs

19 Date: September 10, 2004


Tami M. Warwick
Deputy Attorney General
Attorney for Defendants

22 **PURSUANT TO THE STIPULATION, IT IS SO ORDERED.**

23 Date: 9/17/04

THELTON E. HENDERSON
Honorable Thelton E. Henderson
United States District Court Judge

28 TMW:tc
10078884.wpd

1 DECLARATION OF SERVICE BY MAIL

2
3 Case Name: Plata v. Schwarzenegger

USDC No. C-01-1351 T.E.H.
Northern District of California

4
5 I am employed in the County of Marin, California. I am over the age of 18 years and not a
6 party to the within entitled cause: my business address is Prison Law Office, General
Delivery, San Quentin, California 94964.

7 On September 10, 2004, I served the attached

8 **[PROPOSED] STIPULATED ORDER RE QUALITY OF PATIENT CARE AND**
9 **STAFFING**

10 **LETTER TO THE HONORABLE THELTON E. HENDERSON**

11 in said cause, placing, or causing to be placed, a true copy thereof, enclosed in a sealed
12 envelope with postage thereon fully prepaid in the United States Mail at San Rafael,
13 California, addressed as follows:

14 Attorney for Defendants
15 Tami Warwick
16 Deputy Attorney General
17 Office of the Attorney General
1300 "I" Street, Suite 125
Sacramento, CA 94244-2550

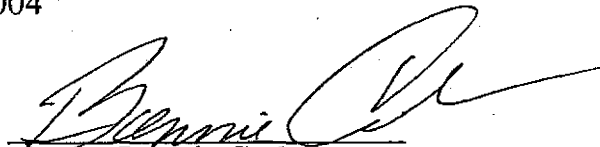
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19 1143 Citadel Drive NE
Atlanta, GA. 30324

John Hagar
Judges Reading Room/Court Library
USDC 450 Golden Gate Ave.
San Francisco, CA. 94102

20
21 I declare under penalty of perjury under the laws of the State of California that the
22 foregoing is true and correct, and that this declaration was executed at San Rafael,
California on September 10, 2004

23
24 
25 Bonnie Cash

26
27
28