

**RESTRICTED DELIVERY CERTIFIED MAIL
RETURN RECEIPT REQUESTED**

Before the Iowa Department of Public Health

IN THE MATTER OF UnityPoint Health – St. Luke’s Sioux City 2720 Stone Park Blvd Sioux City, IA 51104-3734	Case: 000102-13-07 NOTICE OF PROPOSED ACTION PROBATION
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Pursuant to the provisions of Iowa Code Sections 17A.18 and 147A.23, and Iowa Administrative Code (I.A.C.) 641—134.3, the Iowa Department of Public Health is proposing to place the verification of the Trauma Care Facility on **PROBATION** for a period of one year from the effective date of this notice.

The Department may place a Trauma Care Facility’s verification on probation when it finds that the Trauma Care Facility has not operated in compliance with Iowa Code section 147A.23 and 641 IAC Chapter 134 including:

147A.23 (2)(c) Upon verification and the issuance of a certificate of verification, a hospital or emergency care facility agrees to maintain a level of commitment and resources sufficient to meet responsibilities and standards as required by the trauma care criteria established by rule under the subchapter.

Failure of the trauma care facility to successfully meet criteria for the level of assigned trauma care facility categorization. 641 IAC 134.2(2) and 641 IAC 134.2(7)b

641 IAC 134.2(7) (j) Trauma care facilities shall be fully operational at their verified level upon the effective date specified on the certificate of verification. Trauma care facilities shall meet all requirements of Iowa Code section 147A.23 and these administrative rules.

641 IAC 134.2 (3) Adoption by reference.

a. ...“ Criteria specific to Level III trauma care facilities identified in the “Resources for Optimal Care of the Injured Patient 2014” (6th edition) published by the American College of Surgeons Committee on Trauma is incorporated and adopted by reference for Level III hospital and emergency care facility categorization criteria...

b. “ Resources for Optimal Care of the Injured Patient 2014” (6th edition) published by the American College of Surgeons Committee on Trauma is available through the Iowa Department of Public Health, Bureau of Emergency and Trauma Services (BETS), Lucas State Office Building, Des Moines, Iowa 50319-0075, or the BETS Web site (<http://idph.iowa.gov/BETS/Trauma>).

The following events have resulted in the issuance of this proposed action:

On October 11, 2018 UnityPoint Health St. Luke’s Sioux City was issued a Citation and Warning for failure to comply with criteria for Level III trauma care facility categorization, as evidenced by criteria deficiencies (CD) related to multidisciplinary trauma peer review committee meeting attendance (CD 8-13, 9-16, 11-13). On March 4, 2020 a second Citation and Warning was issued due to failure to fully resolve the deficiencies noted in the Citation and Warning from October 11, 2018, related to National

Trauma Data Bank submission (CD 15-2), registry concurrency (CD 15-6), and undertriage and overtriage monitoring (CD 16-7).

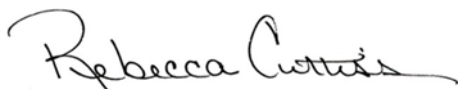
On May 24, 2021, a Survey Visit for verification was conducted and UnityPoint Health St. Luke's Sioux City failed to comply with criteria for Level III trauma care facility categorization, as evidenced by criteria deficiencies (CD) related to Performance Improvement and Patient Safety Plan (CD 2-1, 7-3, 8-6, 8-9, 11-37, 11-57, 11-60, 11-69, 16-2, 16-3, 16-5, 16-10, 16-11, 16-12, 16-13, 16-18, 16-19), surgical commitment (CD 2-2, 2-8, 6-8), physical resources (CD 2-3, 15-9), annual provider evaluations (CD 2-5, 5-11), transfer plans, multidisciplinary trauma peer review committee (CD 2-17, 2-18, 9-16, 16-15, 16-16, 16-17), overtriage and undertriage monitoring (CD 3-3, 16-7), surgeon involvement in bypass (CD 3-5), review of trauma cases (CD 4-3, 5-18, 5-21, 16-6, 16-14), specialty care agreements, meaningful use of the registry (CD 15-3), injury prevention initiatives (CD 15-4, 18-1), registrar training (CD 15-7), ICU collaboration (CD 11-53, 11-54, 11-58, 11-59), and trauma surgeon involvement with the disaster committee (CD 20-2).

Your probation shall be subject to the following terms and conditions:

- a. You shall provide electronic document resolution for all criteria deficiencies listed in the above paragraph and as outlined in the June 30, 2021 Final Report on or before the designated timelines.
- b. You shall make a personal appearance before the Bureau upon request. You shall be given reasonable notice of the date, time, and place of appearance.
- c. In the event the Trauma Care Facility violates or fails to comply with any of the terms or provisions of this probation, the Iowa Department of Public Health may initiate action to categorize UnityPoint Health St. Luke's Sioux City as a Level IV Trauma Care Facility or take other enforcement action as appropriate. The Trauma Care Facility will operate in compliance with Iowa code sections 17A.18 and 147A.23, and Iowa Administrative Code (I.A.C.) 641—134.3.

You have the right to request a hearing concerning this notice of disciplinary action. A request for a hearing must be submitted in writing to the Department by certified mail, return receipt requested, within twenty (20) days of receipt of this Notice of Proposed Action. The written request must be submitted to the Iowa Department of Public Health, Bureau of Emergency and Trauma Services, Lucas State Office Building, 321 East 12th Street, Des Moines, Iowa 50319. If the request is made within the twenty (20) day time limit, the proposed action is suspended pending the outcome of the hearing. Prior to, or at the hearing, the Department may rescind the notice upon satisfaction that the reason for the action has been or will be removed.

If no request for a hearing is received within the twenty (20) day time period, the disciplinary action proposed herein shall become effective and shall be final agency action.



July 13, 2021

Rebecca Curtiss, Bureau Chief
Iowa Department of Public Health
Bureau of Emergency and Trauma Services

Date

ENC: Final Report-Unity Point Health-St. Luke's Sioux City, June 30, 2021