

# LEVELS OF CARE CERTIFICATION PROCESS GUIDE

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# Levels of Care Certification Process Guide

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The Levels of Care Certification Process Guide is provided to assist delivering facilities to complete the legislative perinatal hospital certification process. Each delivering facility is assigned a lead chief nurse consultant/surveyor to assist the facility with the certification process. If the facility does not know their assigned chief nurse consultant, please contact the ISDH Maternal Child Health division [PerinatalLOC@isdh.IN.gov](mailto:PerinatalLOC@isdh.IN.gov)

## **Delivering Facilities**

Each delivering facility that provides birthing services in Indiana must be certified for a level of care based on the services provided.

Facilities should only accept mothers and newborns appropriate to the facility's level of care except in case of emergency. Risk appropriate care requires consideration of maternal risk factors and the gestational age and risk factors of her unborn infant.

Obstetrical and Neonatal requirements build from Level I requirements through Level IV requirements. This meaning that Level II facilities must meet level I requirements, plus Level II requirements, Level III facilities must meet the Level I, Level II, and Level III requirements, and Level IV facilities must meet Level I through Level IV requirements. All delivering facilities must meet additional rules including Laboratory, Universal Education, Staffing, Performance Improvement, and Policies and Procedures requirements.

## **Notification to department**

A hospital shall notify the department via email [PerinatalLOC@isdh.IN.gov](mailto:PerinatalLOC@isdh.IN.gov) if any of the following occur in the obstetrical unit, neonatal unit, or both:

1. Full or partial replacement of the physical unit.
2. Addition or renovation to the physical unit
3. Operational changes.
4. Administrative changes that may affect compliance with this article.

## **Opening New Services**

Facilities that open new obstetric or neonatal services after the effective date of this rule must apply for certification not later than six (6) months prior to offering services. A formal certification survey will take place not later than six (6) months after the facility begins providing obstetric or neonatal services.

## **Communication to the department**

Communication may occur through the Perinatal Levels of Care email at ISDH Maternal Child Health division [PerinatalLOC@isdh.IN.gov](mailto:PerinatalLOC@isdh.IN.gov) or directly with the assigned nurse

consultant/surveyor. If the facility is unsure of its lead consultant/surveyor, please reach out to ISDH through the email address provided. Open communication and collaboration are encouraged with the nurse consultant/surveyor to assist with the preparation of supporting evidence and the submission of application.

## Process Preparation

To start the process preparation, have the following documents available:

1. Access to legislation 410 Article 39 is located at ISDH Maternal and Child Health, Indiana Perinatal Levels of Care Program, [Perinatal Hospital Services](https://www.in.gov/isdh/28472.htm) <https://www.in.gov/isdh/28472.htm>
2. Levels of Care Certification Process Guide
3. Levels of Care Application. (Appendix A)
4. Initial Supporting Evidence (Appendix B)

## Process Overview

- Complete and submit LOC application. (refer to Appendix A)
- Submit Initial Supporting Evidence. (refer to Appendix B)
- Continued ongoing communication between facility and surveyor.
- Schedule certification survey dates with surveyor.
- Complete an on-site certification survey.
- The surveyor submits a written report to ISDH leadership.
- Communication from ISDH to facility within 30 days of completing of the onsite certification survey.
- Delivering facility must post Levels of Care certificate conspicuously on premises in an area open to, and frequently accessed by patients.
- Recertification is required every 3 years.

## Step 1 - Electronic Submission of Application (Appendix A)

Each delivery facility completes a fillable **PDF** application, requires Adobe Acrobat to complete. Some responses are choices provided in drop down boxes.

## Step 2 - Electronic Submission of Initial Supporting Evidence (Appendix B)

The organization of supporting evidence (*electronic files or printed materials*) is at the discretion of each facility. The review of evidence by ISDH surveyors, *will primarily be completed offsite, by electronic documents*. Documents can be submitted either to [PerinatalLOC@isdh.IN.gov](mailto:PerinatalLOC@isdh.IN.gov) or directly to the assigned Chief Nurse Consultant/surveyor. Open communication and collaboration are encouraged with the nurse consultant/ surveyor to assist with the preparation of supporting evidence and submission of application.

### **Step 3 - Scheduling the Perinatal Level of Care Certification Survey**

The on-site certification will take two consecutive days in the same calendar week. An agenda will be individualized to reflect the Level of Care for which each delivering facility is applying. Agendas serve as a general guide for the certification days and may be modified based on organizational need and or reviewer discretion.

### **Step 4 - While on-site the certification survey objectives include:**

- Opening and closing remarks.
- Review of remaining supporting evidence.
- Review of hospital Medical Credentialing and Privileging process.
- Tour of obstetrical and neonatal areas.
- Complete remaining provider and staff interviews that were not completed remotely.
- Review of discharged obstetrical and neonatal patient's electronic medical records.
- Review of perinatal employee files that include evidence of:
  - Licensure and certifications as required by facility (examples: BLS, ACLS, NRP, S.T.A.B.L.E.)
  - Perinatal Department Orientation
  - Annual department competencies / Education
  - Annual Universal Education
    - Team Communication
    - Lactation
    - Clinical drills & debriefs
    - Standardized terminology for fetal monitoring as applicable to position
    - Identify specific triggers for responding to changes in the vital signs and clinical condition of the mother, fetus, and newborn

### **Step 5 – Post survey communication**

Communication from the ISDH to the facility is within 30 days of completing of the on-site certification survey per legislative rules Article 410 IAC 39. Additional time may be needed based on findings if extra time is necessary ISDH will communicate this information within the initial 30-day timeframe. An application for recertification must be submitted not later than 3 months before the expiration of the current certification.

### **Titles of the Level of Care Rules**

The title of each rule is listed below. The 410 IAC 39 Indiana Perinatal Hospital Services rules can be found in their entirety at <https://www.in.gov/isdh/28472.htm>

Rule 1: Definitions

Rule 2: Levels of Care Certification

Rule 3: Birth Center Requirements

Rule 4: Obstetrical Levels of Care Requirements

Section 1: OB Level I Requirements

Section 2: OB Level II Requirements

Section 3: OB Level III Requirements

Section 4: OB Level IV Requirements

Rule 5: Neonatal Levels of Care Requirements

Section 1: Neonatal Level I Requirements

Section 2: Neonatal Level II Requirements

Section 3: Neonatal Level III Requirements

Section 4: Neonatal Level IV Requirements

Rule 6: Obstetrical and Neonatal Universal Standards

Section 1: Laboratory Requirements

Section 2: Education Requirements

Section 3: Staffing Requirements

Section 4: Performance Improvement Requirements

Section 5: Policy and Procedure Requirements

Section 6: Reporting Requirements

Rule 7: Transport Requirements

Section 1: Interhospital Transfer Requirements

Section 2: Receiving Hospital Requirements

Rule 8: Perinatal Centers

Section 1: Qualifications for Perinatal Centers

Section 2: Perinatal Collaboration

Section 3: Training for Affiliate Hospitals

Section 4: Quality Assurance

Section 5: Support Services

Section 6: Back Transport

Section 7: Neonatal Intensive Care Unit Transition and Developmental Follow-up

Section 8: Memorandum of understanding between the perinatal center and affiliate

Rule 9: Matters Incorporated by Reference

## Appendix A Application

<https://www.in.gov/isdh/28650.htm>

## Appendix B Initial Supporting Evidence

### Scopes of Service / Provision of Care Documents:

*All Levels:*

- Nursing Leadership Organizational Chart
- Obstetric Scope of Service
- Neonatal Scope of Service
- Radiology/Ultrasound Scope of Service
- Laboratory Scope of Service, including Blood Bank
- Anesthesia Scope of Service
- Pharmacy Scope of Service
- Respiratory Therapy Scope of Service

*If applying as Obstetric Level III or IV add:*

- Social Services / Case Management Scope of Service
- Intensive Care Scope of Service
- Rehabilitation Services (PT/OT/ST) Scope of Service
- Dietary / Nutrition Services Scope of Service

### Policies/Protocols/Guidelines/Order Sets for the following:

*All Levels Obstetrical*

- Labor & Delivery Admission Order Set
- Postpartum Admission Order Set
- Emergent Cesarean Delivery
- Massive Transfusion Protocol (including the emergency release of uncrossmatched blood)
- Blood Bank Minimum Inventory
- Obstetric Hemorrhage
- TOLAC/VBAC
- Induction less than 39 weeks gestation (39 weeks "hard stop")

*All Levels Neonatal*

- Newborn Admission Order Set
- Safe Sleep
- Policy / Criteria for additional personnel attending high-risk deliveries
- Newborn Screening Policy (including hearing screen, CCHD, heel stick)

*All Levels Obstetrical & Neonatal*

- Process/plan for consultation and transfer of patient to a higher level of care
- Staffing Guidelines (for LD, MB/PP, and newborn nursery / SCN/ NICU as applicable)
- Lactation consultant names and FTEs
- GBS policy/protocol/order set
- HIV policy/protocol/order set

**Resume or Curriculum Vitae for each of the following:**

*All Levels:*

- Nursing Managers/Directors of Perinatal Services (*obstetric and neonatal*)

*If applying as Obstetric Level II, III or IV:*

- Medical Director of Obstetric Services

*If applying as Neonatal Level II, III or IV:*

- Medical Director of Neonatal Services

*If applying as Obstetric or Neonatal Level III or IV:*

- Perinatal Educator (s)

*If applying as Obstetric Level III or IV:*

- Director of Anesthesia Services
- Medical Director of Maternal-Fetal Medicine

*If applying as Obstetric or Neonatal Level IV (or Level III Perinatal Centers):*

- Advanced Practice Registered Nurse available to staff for consultation, education, and support on nursing care issues