Good morning.

I am Dr. Andrew Agwunobi, the Chief Executive Officer of UConn Health.

Joining me today is Jeff Geoghegan, Chief Financial Officer of UConn Health.

Like the President, I too have submitted a packet of documents to the Committee with information about UConn Health – our budget, the work that we do, and the status of Bioscience Connecticut. In the interest of time, I will not go through that material, but will provide some brief comments and then will gladly take your questions.

I want to begin by thanking you for your support of UConn Health. As you know, our mission is three-fold:

- providing outstanding **medical and dental education** to the next generation of doctors, dentists and biomedical scientists;
- Providing cutting-edge **basic science and translational research** that fosters innovation and spurs economic development; and
- Providing outstanding **patient care**.

Amidst the many challenges that our state faces, I want to assure you that the investments that you have made in UConn Health over the past 10 years have transformed it into an institution of which the State can truly be proud.

For example:

**In the area of Teaching:**

The UConn Schools of Medicine and Dental Medicine are currently educating almost 600 students to become the future doctors and dentists of Connecticut. 82% of the School of Medicine and 58% of the School of Dental Medicine first year students are
Connecticut residents. We also train nearly 800 residents (physicians and dentists who have graduated and are now specializing) at UConn Health’s John Dempsey Hospital and at Central Connecticut hospitals and clinics. While in residency, these professionals bring in $110 million annually in federal funds to Connecticut hospitals to support these important jobs. After their specialization, 37% of School of Medicine graduates, and 44% of School of Dental Medicine graduates stay and practice in the State. They pay taxes, they buy houses, they strengthen our healthcare sector and they take care of our citizens.

In the area of Research:

UConn Health brings in nearly $100 million in external research grants annually – these are primarily funds from the federal government, and private and non-profit organizations. Again, the vast majority of these funds are used to support good jobs in our state: PhDs, research assistants, lab technicians, and others, as well as scientists in training such as Master’s and PhD students and fellows. The exciting work of our researchers not only serves as a foundation for future medical breakthroughs, it is also a future economic driver for the state, spurring patents and spin-off start-up companies.

Some of those start-up companies are housed in UConn’s Technology Incubation Program (or “TIP”). TIP is a program that we were able to expand as part of Bioscience Connecticut, to help accelerate the growth and success of start-up bioscience and high-tech companies in our state. UConn Health’s TIP currently has 31 start-ups on-site, which have garnered $60 million in funding, half from venture capital and half from grants. These companies are creating an ecosystem of bioscience knowledge and commercialization in the State and the program is growing.

The partnership with The Jackson Laboratory is also growing and deepening. It includes collaborative hiring of a world-renowned pediatric endocrinologist, one of the world’s top researchers of a rare genetic liver disease, and a leading pediatric cancer researcher and a genomics pioneer. Twenty-five (25) joint grants have been awarded to date, totaling more than $28.5 million in external funding to advance biomedical research efforts.

Patient Care:

Our patient care enterprise is steadily growing due to a combination of the hiring of extremely high quality physicians, and the opening of our new hospital tower and outpatient pavilion. We have over 1 million outpatient visits and 9000 inpatient visits annually and this is growing rapidly. Our inpatient volume has grown this year by 9% and our outpatient volume by 3%. Our market share in Farmington valley is growing. Our hospital is frequently nearly full, and our Operating Room suites often run at maximum capacity.

This growth is good news because it has allowed us to internally manage the deep cuts that UConn Health experienced in FY18. Compared to FY17, state funding to UConn
Health fell by nearly $17 million in FY18, including cuts to our appropriation and the lapses taken after the state budget was set. Indeed, I am proud to say that despite deep cuts over the last 10 years, UConn Health has not asked the state for deficit funding for almost a decade.

I want to underscore that the state appropriation provides for approximately 22% of UConn Health’s operating expenses. All of those funds go to employee salaries, and they cover about 33% of our employees. All other salaries, and all other UConn Health expenses, are paid using our clinical revenues, external grant funds and other revenues.

In the last 4 years in particular, we have had a strict financial improvement plan in place that has significantly reduced our costs. We have reduced our staffing through attrition (indeed, today we have fewer FTEs than last year and the year before). We have undertaken extensive contract reviews and re-negotiations to reduce contract costs on medical devices, pharmaceuticals, lab supplies, and other items we purchase. We have taken on clinical initiatives to increase provider productivity and reduce hospital re-admissions. But at UConn Health, we cannot cut our way to success or financial stability; we need to grow. Therefore, our financial improvement plan has also included efforts such as growing revenues through revenue cycle improvements, hiring more faculty, and growing patient services and volume.

Although our operating income is still a negative number - in part due to high fringe benefit rates that we must pay - we have managed this internally and presented a balance budget each year. Fortunately, we have done this while delivering excellent quality. In fact, this year we again earned an “A,” the highest safety rating, from the national hospital rating group Leapfrog.

As you can imagine, finding new savings to address additional state cuts gets more difficult each year. For FY19, the adopted budget provides an appropriation of $11.5 million less than what we received in FY17 – or nearly $20 million less when we include the associated cuts to fringe reimbursement. The Governor’s budget proposes an additional cut of $3.3 million on top of that (an actual impact of $5.6 million when we include the fringe cuts). Internal cost-cutting and increasing patient revenues can only take you so far.

That is why our main plea is that you not ask us to absorb more cuts as we try to figure out how to deal with those already enacted.

This brings me to strategies for the future. In addition to continuing our growth, one of the ways we are working on strengthening UConn Health for the future is to explore possible partnerships with other entities. We are currently doing our homework in this regards and will be reporting progress to the legislature on April 1st.

In conclusion: The State has made tremendous investments in UConn Health that have turned us into a cutting-edge facility and a critical economic engine and partner for
the State. Your investments in and vision for UConn Health have also laid the foundation for a strong healthcare and bioscience economy for Connecticut’s future.

With this in mind, I ask for your support to protect the viability of your public academic health system and to do what you can to minimize cuts to UConn Health so that we can continue to deliver on the investments and provide Connecticut and its people with excellent service.

Thank you all for your leadership; I am happy to answer any questions that the Committee may have.
UConn Health – A Snapshot

- **Integrated 3-Part Mission**: Education, Research, Patient Care

- **UConn Health Includes**: the UConn School of Medicine; UConn School of Dental Medicine; the Graduate School (Biomedical Sciences, Public Health, Clinical & Translational Research, Dental Sciences); John Dempsey Hospital; UConn Medical Group (outpatient services); UConn Dental Clinics; Research Laboratories; and technology incubation facilities for start-up companies.

- **Budget**: Annual Operating Budget of > $1 billion

- **Employees**: Employing > 5500 full- and part-time individuals working as doctors, dentists, mental health professionals, nurses, residents, research assistants, technicians, and many other positions.
  
  - Most UConn physicians also serve as faculty members with responsibilities to teach students; some also serve as researchers and business entrepreneurs.

- **Serving the Underserved**: Single largest provider in the State of dental services to Medicaid recipients and the under- and un-insured; and nearly ¼ of inpatient hospital and outpatient visits are from those enrolled in Medicaid.

- **Medical & Dental Residency**: In addition to our Medical and Dental students, UConn Health sponsors a Medical and Dental Residency Program that places nearly 800 medical and dental school graduates in residency programs throughout Central Connecticut hospitals, addressing a critical workforce need and bringing in > $110 million annually in federal funds to CT hospitals to support these jobs.
UConn Health FY18 Budget

Total Operating Revenues $1,021.1M

Total Operating Expenditures $1,039.5M

Net Gain/(Loss) $(18.4)M

UConn Health has presented a balanced budget for FY18, notwithstanding a $18.4 M operating loss. Capital spending will be reduced by $18.4M to balance the budget.

UConn Health will not be seeking deficiency appropriations from the General Assembly this year; UConn Health has not sought deficiency appropriations from the state since 2009.

**Other Expenses** includes items such as Medical/Dental House Staff, Medical Contractual Support, Utilities, Insurance and Repairs/Maintenance.
State Budget Cuts

The Governor’s FY19 budget represents an additional $3.3M appropriation cut for UConn Health, bringing the total reduction in FY18 and FY19 to $31.7M ($52M with fringe and lapses) when compared to FY17 State funding.

For FY19, under the Governor’s proposal, UConn Health would receive $119.7M in appropriation + $107.4M estimated in fringe reimbursement, totaling $227.1M.

The State appropriation funds 22% of UConn Health’s budget. 100% of these funds are used to pay employee salaries – it covers 33% of UConn Health employees.

All other employee salaries and UConn Health expenses are paid using clinical revenues, external grant funds and other revenues.

The State reimburses UConn Health for fringe benefit costs incurred by UConn Health for those employees whose salaries are paid using the State appropriation (i.e. 33% of UConn Health employees).

STATE SUPPORT

UConn Health has sustained $59.4 million in reductions from appropriated amounts, lost fringe reimbursement and fund sweeps since FY10.

<table>
<thead>
<tr>
<th>Appropriation</th>
<th>Reduction*</th>
<th>Lost Fringe due to Reduction</th>
<th>Fund Sweeps</th>
<th>Total Cut</th>
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<tr>
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<td>119.0</td>
<td>(1.2)</td>
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<td>FY17</td>
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<td>(5.3)</td>
<td>(3.5)</td>
<td>-</td>
</tr>
<tr>
<td>FY18</td>
<td>122.4</td>
<td>(4.7)</td>
<td>(3.3)</td>
<td>-</td>
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<td>$13.6</td>
<td>$24.0</td>
<td>$59.4</td>
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</tbody>
</table>

*Reduction = lapses, rescissions and deficit mitigation cuts made after appropriations were adopted.
Extensive Cost Savings and Strategic Growth Initiatives

Extensive Cost Savings Efforts:

- FY 14-16 Total Savings $13.7m: Financial Improvement Project 1.0 (Berkley Research Group)
- FY 17 Total Savings $11.1m: Financial Improvement Project 2.0
  - Clinical Initiatives - Decrease Length of Stay in OB, Cancer, 30-day readmissions, C-sections, Partial hospitalization; Increase Provider Productivity, Use of Scribes, onboarding/ interview savings, coding and revenue enhancements
  - Revenue Initiatives - Coding & documentation optimization, collection process improvements, Managed Care Contract and revenue recovery efforts and revisions to Point of Collection policy
  - Workforce Initiatives - Workforce tracker implemented to review all clinical positions and Nursing staff grids using volume to approve positions
  - Non-Labor – Extensive contract improvements yielding savings on medical devices, pharmaceuticals, lab supplies, Surgery, Radiology
  - Workers’ Compensation – Program improvements; Incident Review

Future Cost Savings:

- FY 18 Total Estimated Savings $12.3m: Financial Improvement Project 3.0
  - Clinical Initiatives – Contract pharmacy revenue, provider productivity, contracts review, Scribe implementation
  - Workforce Initiatives - Restricted hiring to only vital positions
  - Non-Labor – Extensive contract improvements yielding savings on medical devices, pharmaceuticals, lab supplies, Surgery, Radiology
  - Workers’ Compensation – Incident Review

Strategic Growth Initiatives:

- 25 new Clinical Faculty Hires since July 2017
- Identified new patient revenue streams (Enhanced payments for physician services)
- Other new revenue generating initiatives (340B retail pharmacy contracts)

Our Key Differentiators

- Medical/Dental Education
- Research
  - ACADEMIC
- Bioscience Connecticut
- Campus & Infrastructure
  - Buildings, Parking, Geography, surrounding population
Key Challenges

- Our clinical cost structure
- Surrounding consolidation
- Small size
What Surrounding Consolidation Means for Academic Medical Centers Nationally

• “Consolidation among hospitals is creating larger integrated delivery systems.”

• Third-party payers are establishing new partnerships with these health systems, and are developing branded, limited network products.

Academic Medical Centers (AMCs) have four options:

1. Form a system (if they have capital and wherewithal to do so)
2. Partner with others in a collaborative network model
3. Merge into a system
4. Be prepared to shrink in isolation

Source: Advancing the Academic Health System for the Future - AAMC Advisory Panel for Health Care

Our Direction

• Leverage our strengths (academics, new facilities, campus, population) to explore public-private partnership(s) that will address the challenges of our clinical enterprise so that we can strengthen our academic differentiation.

• As we explore partnerships, grow and strengthen our clinical enterprise.

• Always focus on supporting the pre-eminence of our Academic mission.
What Do We Look Like in 5 Years?

- Regional academic and bioscience powerhouse

- Clinical enterprise stabilized and contributing financial support to the academic enterprise

- Even more robust campus than today

UConn Health

Who We Are
Connecticut’s Only Public Academic Health Center

**Education**
- School of Medicine
- School of Dental Medicine
- Graduate School

**Patient Care**
- John Dempsey Hospital
- UConn Medical Group
- University Dentists

**Biomedical Sciences and Research**

**Residency Training**
(Graduate Medical Education)

A Worthy Investment

**Critical Source of the State’s Health Care Professionals – Educating the Next Generation**
- 37% of School of Medicine graduates practice in the State
- 44% of School of Dental Medicine graduates practice in the State
- 82% of the School of Medicine and 58% of the School of Dental Medicine first year students this year are Connecticut residents
- Under-represented minorities comprise 22% of the School of Medicine and 16.7% of the School of Dental Medicine’s 2016 first year class

**Economic Driver for the Region and the State**
- Catalyst for new biomedical and biotech jobs, e.g. Stem cell, genomics and personalized medicine
- Generates nearly $1.5 billion in overall economic impact to the State
- State-of-the-art incubator space for small startup businesses
- Robust clinical enterprise

**Major Employer in the State**
Education

School of Medicine
- 411 Students
- 660 Residents

School of Dental Medicine
- 181 Students
- 106 Dental Residents

Highlights
- Shared Medical & Dental Curriculum in Years 1-2
- Early Clinical Exposure
- Curriculum Reform
- Team-Based Learning
- Outstanding National Boards Performance
- Outstanding Residency Placement
- Leadership in Undergraduate & Graduate Medical Education
- Continuing Medical Education – Accreditation with Commendation
- Statewide Community Partnerships & Community Outreach Programs

The Graduate School
- 150 PhD Students
- 146 Masters Students
- 19 Graduate Certificate Students

Programs
- Public Health (PhD, MPH)
  - Social & Behavioral Health
  - Occupational & Environmental Health
- Clinical & Translational Research (M5-CTR)
  - Masters Degree
- Biomedical Science (PhD)
  - Cell Analysis & Modeling
  - Cell Biology
  - Genetics & Developmental Biology
  - Immunology
  - Molecular Biology & Chemistry
  - Neuroscience
  - Skeletal Biology & Regeneration
- Dental Science (MDS)
  - Masters Degree

Combined Degree Programs
- MD
  - MD/PhD
  - MD/MPH
  - MD/MBA
- DMD
  - DMD/PhD
  - DMD/MPH
- PhD
  - PhD/MBA
Patient Care/Clinical Services

Key Service Statistics (FY17)
- 9,217 inpatient discharges
- 1,109,284 outpatient encounters
- 86,833 dental clinic visits at UConn Health sites

All UConn Health clinical care venues serve as sites for teaching and learning and are essential for attracting talented faculty who teach, do research and provide patient care.

- **John Dempsey Hospital (JDH):** an acute care university teaching hospital licensed for 234 beds
- **UConn Medical Group (UMG):** one of the region’s largest multi-specialty faculty clinical group practices
- **University Dentists and UConn Dental Clinics:** Connecticut’s largest single provider of dental care for the under- and uninsured

**Locations**
- In addition to the main campus in Farmington, UConn Health provides outpatient services in 8 locations: Avon, Canton, E. Hartford, Putnam, Simsbury, Southington, Storrs Center, and W. Hartford.
- UConn Dental Clinics are located in Farmington, West Hartford and Hartford; and our residents and faculty also provide services at 15 other sites across the state.

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An Essential Healthcare Provider to Connecticut’s Underserved Citizens

**UConn John Dempsey Hospital**
- Medicaid inpatient days as a percentage of total inpatient days comprised 23.3% (of 38,339 inpatient days)

**UConn Dental Clinics**
- Single largest provider of dental services to Medicaid recipients and the under- and uninsured
- 58% of patient visits to the UConn Health Dental Clinics are Medicaid clients (locations in Farmington, West Hartford and Hartford)
- In addition to the 3 UConn Health Dental Clinic sites, services are provided in 15 sites across the state (New Britain, East Hartford, Manchester, Middletown, Waterbury, New Haven, Farmington, Willimantic, Storrs, Bridgeport, and Torrington)

**Correctional Managed Health**
- UConn Health has also been providing medical, mental health and pharmacy services to inmates in Connecticut correctional facilities since 1997.

Service to Medicaid Patients FY17

UConn Medical Group
21.8% of visits were Medicaid patients

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Residency Training/Graduate Medical Education
Partner and Resource to Other Hospitals

- 766 residents (660 medical and 106 dental) who train and provide patient care in local hospitals and dozens of community settings in more than 20 communities across the state
- UConn Residency Programs are critical to ensuring the future medical and dental workforce in our State, contribute to the quality of healthcare service in the participating hospitals, and bring in additional Medicare reimbursement revenues to Connecticut

<table>
<thead>
<tr>
<th>Hospitals FY 16</th>
<th>Graduate Medical Education &amp; Indirect Medical Education Reimbursement</th>
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</thead>
<tbody>
<tr>
<td>CT Children’s</td>
<td>$3.0 million</td>
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<tr>
<td>Hartford Hospital</td>
<td>$45.5 million</td>
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<tr>
<td>Hospital of Central Connecticut</td>
<td>$7.4 million</td>
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<tr>
<td>UConn John Dempsey Hospital</td>
<td>$28.6 million</td>
</tr>
<tr>
<td>St. Francis Hospital</td>
<td>$28.2 million</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$112.7 million</td>
</tr>
</tbody>
</table>

UConn residents provide care in: Hartford, Bridgeport, New Britain, Middletown, East Hartford, Manchester, Waterbury, Norwich, New Haven, Derby, Willimantic, Putnam, Torrington, Farmington, West Hartford, Meriden, Suffield, Cheshire and Newington

A Resource to the Community and the State

Community Service
UConn physicians, dentists, residents, medical and dental students provide thousands of hours of free healthcare to Connecticut’s most medically vulnerable citizens, for example:
- Migrant Farm Worker Clinic
- South Park Inn Medical Clinic (Hartford)
- South Marshall Street Homeless Clinic (Hartford)
- YMCA Adolescent Girls Medical Clinic (Hartford)
- Camp Courant Dental Screening Program
- Covenant House (Willimantic)
- Urban Service Track/AHEC Scholars (Provides 60+ community-based programs annually throughout CT)

Building and Developing the Healthcare Provider Pipeline
Initiatives to grow the number of under-represented minorities enrolled in healthcare education and increase the number of healthcare professionals practicing in urban settings and other areas across the state:
- AETNA Health Professions Partnership Initiative
- Area Health Education Center program (AHEC), based in Farmington with 4 regional centers providing services throughout CT. Five offices – Hartford, Norwich, Shelton, Waterbury and Willimantic
- CT AHEC Network Pipeline Programs: Youth Health Service Corps, Collegiate Health Service Corps, AmeriCorps
- Veterans’ and Mental Health First Aid
- State Innovation Model Grant support – Community Health Worker Workforce Development
- Urban Service Track/AHEC Scholars – promoting primary care and public health for health professions students with a passion for vulnerable underserved communities (urban and rural)
Bioscience Connecticut (P.A. 11-75)

Making Connecticut a Leader in Bioscience

Goals:

• Stimulate short and long term economic activity/job creation
• Spur bioscience innovation
• Meet healthcare needs of Connecticut's future
• Provide access to state-of-the-art care

Through September 2017, Bioscience Connecticut facilities and infrastructure projects are 93% complete.

All projects are expected to be completed in 2018.

Facilities and Infrastructure

Construction Jobs

• 6,170 jobs created through September 2017
• 3,044,921 hours worked on the project through September 2017
• 83% of construction contracts awarded to CT companies - valued at $371.2 million
• Veteran worker participation – 3% (41,855 hours worked)

Small/Minority Participation:

<table>
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<tr>
<th>HOSPITAL CONSTRUCTION</th>
<th>REQUIREMENT</th>
<th>PROJECTED</th>
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<tbody>
<tr>
<td>Small Businesses</td>
<td>25%</td>
<td>38%</td>
</tr>
<tr>
<td>Minority/Women's/ Disadvantaged Businesses</td>
<td>6.25%</td>
<td>23%</td>
</tr>
</tbody>
</table>
New Hospital Tower

- 169 private rooms
- New and expanded Emergency Department
- New Operating Rooms
- Opened: May 2016

Research Space Renovation

- Renovating 205,000 SF of 238,000 SF of existing UCH research facilities
- Two Projects, all work completed May 2017
- 28,000 sq. ft. incubator lab addition to Cell & Genome Sciences Building to foster new business start-ups: Completed January 2016

Outpatient Pavilion

- 306,000 sq. ft., state-of-the-art, multispecialty outpatient clinical building on lower campus (opened in January 2015)
- 1400 car parking garage (opened in November 2013)
- Private financing through TIAA-CREF $203M

Education Construction

- Allows for growth in Schools
- Supports new, modern curriculum, including Team Based Learning
- Addition and Renovations to Academic Building
- Construction completion: Addition - Summer 2016; Renovations – May 2017
Jackson Laboratory for Genomic Medicine

- Internationally renowned research leader
- New building on lower Health Center campus dedicated to personalized medicine
- Collaborating with universities and hospitals in the region
- Opened October 2014

Facilities and Infrastructure Timeline
UConn Health
Connecticut’s Only Public Academic Medical Center
Teaching Tomorrow’s Doctors, Dentists and Researchers
An Economic Driver for Connecticut
Cutting-Edge Care for Patients, Many of whom are Underserved

Teaching the Doctors and Dentists of Tomorrow
- Affordable tuition for Connecticut residents combined with top-rated education provides Connecticut’s future doctors, dentists and scientists – ensuring access to top-quality healthcare services for our citizens
- 600 students in UConn’s Medical and Dental Schools
- 300 students enrolled in graduate degree and certificate programs
- UConn’s Dental School among top in nation, and is the only Dental School in CT
- UConn’s Medical School is Ranked 34th Nationally for Primary Care (Yale is ranked 44th)*
- 80-85% of UConn Medical School students are Connecticut residents
- 50% of all practicing dentists in CT have connections to UConn Dental School (as students, residents and/or educators)
- Home to the UConn Medical and Dental Residency Programs, with over 660 residents annually providing critical healthcare resources to several Metro Hartford area hospitals and community facilities throughout the State

An Economic Driver for Connecticut
- Nearly $100 million in research grants and contracts from outside the State
- UConn Health sponsored residency program drives >$110 million in federal funds annually to hospitals throughout Central Connecticut
- UConn’s Technology Incubation Program (TIP) enables start-up biotech companies to commercialize their discoveries and medical device products, helping to fuel CT’s bioscience industry and revenue base and improving medical care for all
- Providing a skilled workforce for healthcare, bioscience and biotech companies located in or looking to locate in Connecticut
- Forming a hub for bioscience & biotech research and education, and company and product development, along with industry partners such as The Jackson Laboratory
- More than $1 billion in economic impact for the region and the State

Serving Patients & the Community, Including Thousands for Underserved Citizens
- UConn Health’s John Dempsey Hospital is the state’s only public hospital, providing cutting-edge patient care supported by academic research, outstanding faculty and award-winning safety ratings
- Over 1 million patient visits annually, 1 in 4 of which provided to Medicaid recipients
- Over 132,000 dental visits per year; single largest provider of dental services to Medicaid recipients and the under- and uninsured (nearly 60% of all patient dental visits)
- UConn physicians, dentists, residents, medical and dental students provide thousands of hours of free healthcare to Connecticut’s most medically vulnerable citizens, i.e.: Migrant Farm Worker Clinic, South Park Inn Medical Clinic (Hartford), homeless clinics, Camp Courant Dental Screening Program, Covenant House (Willimantic)
- UConn’s Urban Service Track instills in its health professions students the commitment to serve Connecticut’s medically underserved, and provides ~ 50 community based programs annually throughout the State.

*US News & World Report 2018