



REPORT OF THE PRESIDENT

PRESENTED BY
MANTOSH DEWAN, MD

2019-2020



STATE UNIVERSITY OF NEW YORK

UPSTATE
MEDICAL UNIVERSITY

SUNY Upstate Medical University

Report of the President:

2019-2020 Academic Year

Presented by: Mantosh Dewan, MD

OVERVIEW AND PRESIDENT'S REMARKS

SUNY Upstate Medical University has continued to thrive despite a year unlike any other in history.

Before the pandemic, SUNY Upstate was poised to be on track and even exceed our financial projections in the latter half of 2019. Our hospital was thriving and increasing in both inpatient and outpatient visits, the number and complexity of surgeries increased, our research portfolio grew, and our medical class sizes expanded.

When the world changed in March of 2020, SUNY Upstate closed all but the very essential health services and immediately focused on managing the devastating effects of the virus and the unknown fears that came with it. We instituted our Incident Command structure which lasted for 53 days. Led by Dr. Stephen Thomas, an infectious disease expert with 20 plus years of military experience, Upstate was in very good hands. Under the University team and hospital leadership, the incident command group quickly addressed the significant public health issues that we were facing, developed and implemented plans to reduce the COVID spread, thereby keeping our hospital, students and researchers safe and lending our medical, public health and research expertise to our regional community.

As the region's only academic medical center, SUNY Upstate Medical University was looked to by our local government and community – as well as all of the other hospitals in the area – to develop surveillance models to predict transmission rates and potential spread. The modeling was updated daily and shared with the community and the State of New York, so a comprehensive approach to battle COVID could be instituted.

The community listened to our health care providers on how to stay safe and, when needed, came to Upstate for outstanding care. Our researchers stepped up to provide convalescent plasma treatments, started vaccine and monoclonal antibody trials and

developed both a novel pooled saliva COVID test and a wastewater surveillance program that would eventually come to serve and benefit all of the SUNY campuses.

As a leader in health care, Upstate volunteered to send more than 50 nurses, physicians, technicians, and other medical personnel to help out our sister hospital at Stonybrook and also to lead the efforts at the Javits Center in NYC during the peak of the pandemic.

Incident Command concluded when Central New York began to see a significant drop in COVID cases and Governor Cuomo approved phased re-opening. Following this, the difficult recovery phase was instituted and SUNY Upstate began to emerge a stronger, more resilient institution.

Today, all our students are back, our hospital is overflowing with patients and our research laboratories are busy discovering scientific breakthroughs with renewed urgency, many focused on COVID clinical trials.

The following pages in this annual report show a snapshot of what SUNY Upstate was pre-COVID, how resilient we were during COVID, and our plans for future.

At the end of the 2019-2020 academic year, SUNY Upstate:

- Has a significant but manageable financial deficit;
- Offers strong, fully accredited academic programs with record enrollment;
- Has slightly increased research expenditures of \$35.2 million (the fifth year of increases) and, despite the shutdown, record new grants of \$41.4 million — \$5.4 million more than last year; and 1,384 publications — 619 more than the previous year;
- Provides excellent clinical services, many of which are the only ones of their kind in the region, and we continue to recruit outstanding specialists;
- Has earned the strongest support and respect of the local, regional and state-wide communities.

The pandemic highlighted the critical importance of SUNY Upstate as a public academic medical center, with its range and depth of specialists and researchers all working to serve the community. The year 2020 has shown a dimension of SUNY Upstate that we all can be very proud of.

We are Upstate Strong and now Upstate Stronger!

Mantosh Dewan, MD

Interim President, SUNY Upstate Medical University

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EDUCATION

ACADEMIC AFFAIRS

Lynn Cleary, MD – *Vice President for Academic Compliance & University Accreditation*

The Office of Academic Affairs, led by Dr. Lynn Cleary, is responsible for Accreditation and Compliance; Evaluation, Assessment and Research; the Clinical Skills Center; Interprofessional Education; and the University Simulation Center. It serves as the primary academic liaison with SUNY, with the Middle States Commission on Higher Education (MSCLE) and the Liaison Committee on Medical Education (LCME). The office supports a series of faculty committees to identify honorary degree recipients, distinguished professors, and SUNY Chancellor's and Upstate President's Awards, and, in coordination with the President's Office, plans and coordinates Fall Faculty Convocation. Staff in the office lead or support multiple additional faculty, staff and student committees and organizations.

Since March 2020, the office has had significant roles coordinating and supporting the academic/campus response to the COVID 19 pandemic, working in collaboration with the Incident Command and subsequently the Renewal and Resilience working groups.

This Office supports 10 of the 15 university-wide Tier 1 Strategic Objectives: increase reputation for excellence; improve efficiency and accountability; grow programs and partnerships; improve quality; enhance innovation; increase integration; increase diversity, equity, access and inclusion; improve culture of trust; increase workforce; and optimize technology and support services.

This Office also supports three of previous SUNY Chancellor Johnson's four priorities: individualized education, innovation and entrepreneurship (including scholarship and research), and partnerships. Highlights from 2019/20 and plans for 2020/21 are on the following pages.

Academic Accreditation and Compliance

- Submitted annual accreditation updates to MSCHE and LCME.
- Coordinated and submitted the LCME Status Report on progress in areas requiring follow-up: enhance student, faculty and staff diversity; strengthen curricular preparation for clerkships, improve quality of formative feedback, enhance career advising, mitigate student debt, and update policies (also see College of Medicine section for more detail).
- Supported infrastructure for continued accreditation compliance (monitoring standards, collecting and providing data to multiple internal committees, maintaining and supporting a continuous quality improvement process).
- Supported several academic program planning processes in coordinating campus planning with SUNY and NYSED requirements (e.g., new Global track for the MPH and MD MPH programs; new Masters in Respiratory Therapy).
- Implemented a redesign and renewal process for 189 policies across Upstate's four colleges and in Student Affairs and uploaded these into Upstate's MCN policy management system. Worked with Student Affairs to restructure the web-based Student Handbook to develop consistency in policy structure across the four colleges. Instituted a mechanism to ensure that all policies will be reviewed and reapproved at a minimum of every two years and a single process for implementing new and revised policy documents.

Evaluation, Assessment, and Research

- Led the Student Learnings Outcomes Committee (SLOC) in reviewing academic programs (Radiation Therapy, Doctor of Nursing Practice, Respiratory Therapy).
- Participated in and/or supported three successful accreditation site visits (MPH program accreditation by the Council on Education for Public Health, and the Med Tech and Med BioTech programs by the National Accrediting Agency for Clinical Laboratory Science-NAACLS) and prepared for a fourth that was postponed due to COVID 19 (DNP). SLOC was cited as a strength by NAACLS.
- Updated Learning and Educational Assessment Plans for all colleges and the university to include changes based on assessments within the past two years (<https://www.upstate.edu/academic-affairs/assessment-program-evaluation/index.php>)
- Updated web presence and Blackboard site which stores all program level assessment plans and review data according to principles of universal design.
- Updated student achievements websites.

- Provided consultation, project management, and faculty and staff development in all colleges and multiple residency programs (e.g., developing grant proposals, assessing changes in response to COVID 19).
- Managed large-scale data projects for the Registrar's Office and Clinical Skills Center (calculated all MD program GPAs for AOA, Alumni scholarships and Medical Student Performance Evaluation letters including modeling impact of COVID-related changes on class rankings; re-designed all MD program standardized patient encounter scoring checklists to enable remote clinical skills testing and taught Clinical Skills team how to validate the tools and extract data).
- Provided guidance to expand institutional research including building and analyzing a ten-year retrospective outcomes report for the MD program.
- Implemented plans designed to reduce bias in assessments, including a collaborative project between Upstate and Northwestern to create/implement an intervention on all workplace-based assessment in the 3rd year of medical school, and teamwork at Upstate with students and colleagues to use a Bias Checklist (created by an Upstate faculty member) on all licensure prep questions.

Interprofessional Education (IPE)

- Maintained all previous IPE offerings which included the addition of virtual components to several sessions to engage remote learners.
- Sustained faculty, program and student participation rates from the previous year while transitioning to virtual platforms due to COVID 19.
- Updated IPE Strategic Plan with input from key stakeholders.
- Piloted two faculty development workshops on small group facilitation (including IPE small groups) in anticipation of providing annual workshops.

University Simulation Center and Clinical Skill Center

- Resolved a series of technical issues for Simulation Center A/V infrastructure.
- Sponsored grand opening and participated in media events and center tours.
- Initiated programming for all colleges and hospital teams.
- Provided virtual training sessions and journal clubs on simulation-related topics.
- Developed COVID 19 related safety protocols, incorporated distancing and PPE for the simulation center.
- Moved all standardized patient activities to virtual platforms in March 2020.

Partnerships and Collaboration

- Advanced knowledge and skills of the university-wide Student Learning Outcomes Committee with faculty and staff from all colleges, and established a systematic and periodic review of the assessment and evaluation process for all academic programs.
- Continued integration of IPE, the Clinical Skills Center and the University Simulation Center under coordinated management for greater cost efficiency, with increasing focus on patient safety, quality improvement, and interprofessional teamwork.
- Supported and collaborated with faculty governance committees and leadership on several academic affairs initiatives; provide staff support to Faculty Council and the Medical College Assembly Executive Committee.
- Worked with President's Office and COM Dean's Office to identify opportunities for staff efficiencies in view of budget cutbacks.

Scholarship, Research and Service

- Participation on the following internal committees:
 - University: Task Force on Diversity, Equity and Inclusion; Student Learning Outcomes Committee; Upstate Simulation Advisory Board; Distance Learning Committee; Deans Committee; Task Force on Clinical Placements; COVID 19 Incident Command and Recovery/Resilience Teams; Working Group on Joint Faculty Appointments
 - College of Medicine Dean's Executive Committee, Dean's Committee on Diversity and Inclusion, MD Curriculum Committee, MD Phase 1 and Phase 2 Committees, MD Clinical Skills Committee, MPH Outcomes Committee
 - College of Graduate Studies Curriculum Committee
 - College of Nursing Outcomes Committee
- The office provides staffing for two faculty governance organizations: the Upstate Faculty Council and the COM Medical Executive Committee.
- The office provides support for two student honor societies (Alpha Omega Alpha and the Gold Humanism Honor Society) and their related programs and events.
- Members of the office are significantly involved in service to a number of professional organizations and programs, including the Harvard Macy Institute, the Society for Simulation in Healthcare, the National Board of Medical Examiners, the Association of American Medical Colleges, the national Alpha Omega Alpha organization, and the American College of Physicians (in the latter, supporting regional and national efforts in physician and student wellness).

- IPE scholarship: two manuscripts submitted, one on cross-SUNY campus collaboration in IPE in the health professions and the other with students on a student-led IPE session (Carboni).
- Assessment/Evaluation Scholarship: one multi-institutional manuscript published on evaluating the effectiveness of undergraduate clinical education programs; seven abstracts accepted or presented spanning topics in evaluation and assessment on topics including grading rubrics, virtual reality in IPE student education; compensatory vs. conjunctive weighting on performance and grading; structural determinants of health best practices in bedside teaching; grading and interviewing. One workshop presented at the MSCHE annual meeting on a Systems Approach to MSCHE Standard V. Several faculty development sessions presented at Upstate. (Germain, Suser).
- Working with two programs on two new microcredentials.

University Faculty Recognition and Awards Programs

- Coordinated and supported committees for President's and Chancellor's Awards, SUNY Distinguished Professorships, Faculty Convocation and Honorary Degrees.
- Established a new and successful Exceptional Moments in Teaching initiative in the College of Medicine. Over 300 students submitted descriptions of over 200 faculty and resident teachers from 23 departments who provided an exceptional educational experience.

Activities related to COVID 19

- Participation in the Incident Command Team and subsequently the Recovery/Resilience Team to support cross-university coordination of COVID 19 mitigation efforts.
- Worked with college deans and colleagues in Research Administration, Graduate Medical Education, Infection Prevention, Infectious Diseases, Physical Plant, Environmental Services, Procurement Office, Employee Student Health and Educational Communications to develop policies and practice related to student, faculty and staff safety, resumption of campus activities, entrance screening, off-campus quarantine housing and other issues.
- The efforts above led to policies, guidelines, submission of revised programs to NYSED, responses to SUNY inquiries, site visit consultations for educational programs, development of programming for GME marketing and to support virtual recruitment and interviews, town halls for faculty and students, and other activities.
- Collaborated with colleagues at SUNY Oswego, Onondaga Community College and Binghamton University on several projects (Oswego produced face shields for Upstate; OCC provided access to quarantine housing; we collaborated with Binghamton on a research project they are coordinating on mask sterilization).

Academic Affairs: Plans for the 2020-2021 Academic Year

- Sustain ongoing efforts outlined above despite decreased staff support and expanding programming and consultative needs.
- Based on increasing needs and as soon as the budget allows, add staff in Evaluation and Assessment, in Simulation, hire a new Director of Institutional Research and replace two positions vacated by staff departure and retirement in 2019-20.
- Expand University Simulation Center programming for the hospital and campus.
- Explore and support financial, supply, and equipment donations in support of the Simulation Center to offset operational costs.
- Advance support for efforts in diversity, equity and inclusion (IPE sessions on social justice and bias; modification of eligibility and elections processes for AOA; introduce DEI as topic in student leadership course).
- Increase support for institutional research; collaborate with IT and other functional areas to develop an academic data warehouse.
- Lead the working group on educational research for the Research Strategic Plan.
- Resume activities of the Committee on Institutional Effectiveness.
- Finalize standardized MOUs for outpatient clinical placement sites for the College of Medicine through coordination with general counsel and the contracts office.
- Expand Leadership education for students/residents.
- Expand education in Quality Improvement/Patient Safety (QIPS).
- Consider expanding the Exceptional Teacher Initiative across colleges.
- Establish 2-4 new micro-credentials across the university.
- Lead the working group on educational research for the University Research Strategic Plan.

COLLEGE OF MEDICINE

Lawrence Chin, MD – *Dean, College of Medicine*

Dr. Lawrence Chin was appointed Dean of the College of Medicine in January 2020.

Dr. Chin's priorities have been to focus on Diversity, Equity and Inclusion in the College of Medicine, particularly as it pertains to the recruitment of students and faculty; implementing an education model that reflects modern medicine; improving physician and student wellness, and robust faculty development. The College of Medicine graduating seniors had a successful year culminating in a residency match rate of 100% with the majority staying in New York state and pursuing a primary care specialty. The COM currently has 724 medical students between its two campuses and 619 residents who are training in one of our 47 accredited programs.

COVID Student Response: In mid-March students were removed from patient contact and academic buildings. The University quickly made preparations and arrangements for students to complete their courses remotely, and to have a "virtual graduation." Students who met the graduation requirements, and who were interested in working in the hospital in support of the COVID response, were allowed to graduate early. The goals of the last several months have been focused on preparing for the safe return of students to their classrooms and clinics. The necessary modifications to the academic setting and schedule have been implemented and all medical students have returned to campus. Instruction will consist of a hybrid model of online lectures and small group discussions, but in-person, small group anatomy and case-based learning. All classes will be done with appropriate physical distancing and PPE protection. Students on clinical rotations must take a COVID-19 preparation course prior to their rotations, and all students are asked to attest to a code of conduct that includes observing universal masking among other interventions to minimize virus spread. Appropriate testing, contact tracing, and quarantine response will be managed by Upstate Student Health Services.

LCME accreditation: The LCME conducted a survey visit on March 24-27, 2019 and the final report was sent to Upstate on October 29, 2019. The LCME determination was to continue full accreditation of the medical education program at Upstate for an eight-year term. The next full survey visit will be conducted during the 2026-27 academic year. During the 2019 site visit, the LCME found Upstate to be in compliance with 9 of the 12 standards. Two standards were found to be in compliance with a need for monitoring, and one standard was found to be in noncompliance. The LCME required follow up by the school in the form of a Status Report due on August 17, 2020.

Areas requiring follow up included improving diversity among students, faculty and staff; enhancing the pre-clerkship curriculum, provision of formative feedback and system of career advising; monitoring student debt and advising students on debt management strategies; and revising selected policies, including the student advancement and appeal process. The Office of Accreditation and Compliance (within University Academic Affairs) continues to coordinate the effort to collect supporting evidence of compliance with the Offices of the Dean, Undergraduate Medical Education, Student Affairs, and Faculty Affairs.

100% National Residency Matching Program (NRMP) rate: Vigorous mentorship and advocacy by the COM leadership and faculty led to outstanding results. Embedded in our 100% match rate, was a strong commitment to advising and supporting our students of color. In addition to our academic and career advising efforts, the student affairs team successfully renewed our CSTEP grant. In the previous five-year cycle of the grant, we were able to support 75 students. The current award will support 160 students. This reflects our steadfast commitment to — and success — in admitting, retaining, and graduating 100% students of color into good residencies. It should be noted that we continue to be the only medical school in receipt of this grant.

Curriculum renewal: A curriculum plan that incorporates modern medical practice, integrates new and improved educational models, provides a three-year option, and offers a flexible fourth year plan, is under development. The new curriculum will keep Upstate competitive with medical schools making a similar transition and will encourage students to stay in Central New York for residency training as a requirement for the three-year plan. It is anticipated that the new curriculum will begin in Fall 2022.

BS+MD partnerships: Upstate has BS+MD partnerships with colleges within SUNY (ESF, Poly, Albany, Purchase), in New York (Adelphi, Albany College of Pharmacy and Health Sciences, Bard, Colgate, Hamilton, Rochester Institute of Technology, Syracuse University, Yeshiva), and with historically black colleges and universities (HBCUs—Hampton University and Spelman College).

Leadership development: The previous Upstate Scholars Program for Leadership and Career Development has been revamped to focus on supporting faculty career leadership development, serving as an extended introduction to leadership within the university. The “Faculty Leadership Grand Rounds,” will have a strong curriculum in project management leadership and a theme of supporting faculty productivity. The program is focused on junior faculty, particularly underrepresented minorities.

New Chairs: Dr. Chin appointed Dr. Xiuli Zhang chair of Anesthesiology, Dr. Sri Narsipur chair of Medicine, Dr. Satish Krishnamurthy interim chair of Neurosurgery, Dr. Bill Paolo interim chair of Emergency Medicine, and Dr. John Nosovitch interim chair of Ob/Gyn.

Assistant Dean of Wellness: In May, Dr. Kaushal Nanavati was announced as the Assistant Dean of Wellness in the College of Medicine. This appointment is in keeping with Dr. Chin's priority of wellness in the College of Medicine, particularly in light of the COVID pandemic. The Assistant Dean of Wellness is responsible for improving the overall health and well-being of Upstate students and employees (faculty and staff) participating in the education mission.

Diversity & Inclusion: In June, Upstate appointed a new Chief Diversity Officer, Daryll Dykes, PhD, MD, JD. Dr. Dykes continues to serve on the faculty at Upstate in the Department of Orthopedic Surgery. The strong leadership offered in the area of Diversity and Inclusion provides an opportunity for synergistic opportunities between the University's Office of Diversity and Inclusion and College of Medicine. This includes a proposal for anti-bias education and training for Upstate's faculty, staff and students that we plan to launch this fall. Upstate sponsored the second annual pre-admission workshop (PAW) for 20 Native American students from across the nation that was the largest in the East Coast since a similar initiative in Boston in 2000. The COM affirms that racism will not be tolerated and will institute an online bias reporting system in addition to many other programs that promote inclusion and belonging. Social determinants of health will receive increased attention in the curriculum and all curricular content will be reviewed for materials and information that perpetuate racial stereotypes and bias.

Research: The College of Medicine overwhelmingly remains the research powerhouse of Upstate with 172 actively-funded research faculty (clinical and basic science). This year, those faculty were awarded \$41.4 million in external grants, the highest ever and \$5.4M higher than last year. 261 grants were submitted for a total ask of \$248M (direct plus indirect costs) and 58 agreements were completed. Total currently awarded grants are \$174.4M which predicts continued robust growth in research expenditures. Research faculty published 1,384 papers, a striking 619 more than last fiscal year.

Total research expenditures for fiscal year 19/20 was \$35.2M, slightly up from last year capping off five years of continuous growth. Pre-COVID shut-down, we were on a trajectory for a 2% increase in total expenditures. Notably, indirect cost recovery increased 7% from the prior fiscal year. Expenditures are up 16% in the first month of this fiscal year.

Faculty were very aggressive in developing new COVID-19 research projects including surveillance in vulnerable populations, waste-water surveillance in collaboration with New York State counties, development of new PCR-based tests that are being used to re-open SUNY campuses, convalescent plasma, a vaccine and a Remdesivir trial, pandemic surveillance dashboards with real-time data and deep analysis of immunological response in infected and recovering patients.

Scholarships: This year there were two UUMAS scholarships available and one person was awarded \$216,000. In addition, a private donor is supporting one of our DACA students, for a total of \$100K. This is in addition to the five full scholarships supported by Upstate and numerous partial scholarships through the Medical Alumni Foundation.

US News & World Report: For the first time in over fifteen years, Upstate COM submitted information for ranking in USNWR. The COM ranks #84 for research and #94-122 for primary care. There are 191 institutions: 155 LCME accredited MD institutions and 36 DO accredited institutions.

College of Medicine: Plans for the 2020-2021 Academic Year

- **Diversity, Equity, and Inclusion:** A major reorganization of our efforts is taking place that involve a new Office of Diversity and Inclusion at the University level. The COM will transition to programs through Dr. Dykes and eliminate the college specific offices. This will allow greater collaboration with the other colleges at UMU and strengthen our programs for all faculty and students. New efforts to recruit more URM faculty and students will be established.
- **Institute of Global Health and Translational Science (IGHTS):** The COVID-19 pandemic has raised the profile of the COM in part through the work of the clinician-scientists in IGHTS. Drawing on faculty from diverse departments such as Medicine, Microbiology, and Public Health and Preventive Medicine, the IGHTS will pioneer new vaccine trials and continue ground-breaking research including work in the new Vector Biology Lab, which is directed by recently recruited EIP scholar Dr. Thangamani.
- **Leadership recruitment:** Two COM leadership searches will be completed. The ENT chair search has been ongoing since 2019 and is now in the finalist interviewing stage. The Cancer Center Director search has just started and is expected to conclude in 2021.
- **Learning Communities:** The LCs underwent a redesign in 2020 and have expanded to seven LCs named after illustrious Upstate faculty and alumni with themes including Medical Education (Weiskotten), Global Health (Feldman), Clinical Quality (Numann), Ethics and Law (Threatte), Health Advocacy (Blackwell), Wellness (Jacobsen), Urban and Rural Medicine (Loguen-Fraser). There will be more integration of advising with the curriculum and events highlighting the themes.

COLLEGE OF NURSING

Tammy Austin-Ketch, PhD, FNP, FAANP – *Dean, College of Nursing*

Under the leadership of Dean Tammy Austin-Ketch, the College of Nursing (CON) has continued to strive toward fulfillment of its established mission, vision and values. These steps have been possible through the actualization of priorities under the strategic plan that was collaboratively developed in 2018. In AY 19-20, the CON had 389 students and 137 graduates. The CON offers the region's only Doctor of Nursing Practice program, in addition to the area's premiere Master's level programs preparing Family, Pediatric, and Psychiatric Nurse Practitioners.

CON Strategic Plan: Strategic activities were undertaken this year in the three priority areas of the CON Strategic Plan: workforce satisfaction; optimizing technology, facilities and support; and improving quality. A new departmental organizational structure was enacted in fall 2019, establishing important intermediary leadership roles in both faculty and staff. The College of Nursing took important steps to upgrade and optimize the use of technology, including the addition of new hardware, software, and other resources. Multiple courses were reviewed and revised to improve quality.

Personnel: As part of the strategic internal department organizational realignment, two new intermediary leadership roles were created and filled with experienced internal faculty and staff: Associate Dean of Academic and Faculty Affairs and Director of Operations. These roles serve as a liaison to the Office of the Dean, providing ongoing day-to-day operational leadership and improved efficiencies. Through faculty turnover and retirement, two new tenure track faculty and three clinical faculty were hired. New leadership was appointed at the program director level for the PNP, FPMHNP, and undergraduate programs. Three clinical faculty roles and one support staff role remain vacant and under recruitment, although unable to further interview or select candidates due to hiring freeze. All roles have an impressive slate of candidates for consideration when possible.

Technology: Through additional support from the University and use of grant funds, two conference rooms were networked and appropriately outfitted with technology for proper video meeting space. Additional upgraded computers were procured for the department, in preparation for upcoming initiatives in the next year as we transition as an organization to Office 365. These technology upgrades were pivotal in navigating the COVID transition challenges.

Grant Activity: The College of Nursing submitted multiple grant proposals to a variety of external private, consortia, and federal funding sources. A grant to USDA is currently under review, and two significant funded projects commenced this year from HRSA. One project serves FNP students in rural and underserved primary care settings, and the other serves FPMHNP students in opioid and substance use disorders, for a combined total of over \$3.5m in funding. The CON is also a sub-awardee in partnership with Bassett Healthcare in their HRSA funded Nurse Practitioner Residency program. In combination with the previous HRSA Behavioral Health Workforce and Education Training grant the CON received in 2017, these programs supported over 35 students with stipend funds in this academic year. Six employee roles through the RF are supported at the CON, and important salary support for faculty and staff have been allocated through IFR mechanisms via these programs.

Partnerships: The CON built important relationships with external organizations through both grant efforts and clinical affiliate site partnerships. Multiple area nonprofit organizations engaged with the CON, enhancing the network of partners and improving our image in the community. More than 40 new clinical affiliate sites and preceptors were added to the available options for NP students across New York State.

Program Updates: In collaboration with marketing, all programs spent a significant amount of time reviewing and revamping recruitment plans. Retention, quality, and course updates were made in all programs, including full reconstruction of the PNP program and necessary updates to the RN to BS and DNP programs.

COVID-19: One of the most significant challenges of AY 19-20 came in March, with the onset of the COVID-19 pandemic. With the important work of technology upgrades, program reviews, and organizational realignment completed in the first three quarters of the AY, the CON was well positioned to support students, faculty and staff during the uncertain times. Faculty and staff moved effectively to a telecommuting arrangement. Coursework transitioned seamlessly to an online format, which was well received by students. Unfortunately, completion of remaining clinical hours became problematic, with many sites refusing students. Through collaboration with internal Upstate resources and alternative options developed by faculty, an alternative plan was successfully submitted to and approved by NYSED, which provided a pathway for students to graduation in the absence of traditional clinical hours. The COVID-19 pandemic also caused cancellation of the CCNE accreditation site visit for the DNP program planned in late March.

College of Nursing: Plans for the 2020-2021 Academic Year

Grants: With a track record of successful grant submissions, the CON continues to seek opportunities for both student stipends and financial support to important departmental initiatives. Curriculum developed as part of each of the funded projects will be incorporated into existing courses. Microcredential options are being considered for sustainability, and dissemination opportunities in professional conferences will be pursued.

Scholarly Faculty: Through the ADAFA role created in 2019, faculty have access to ongoing mentorship in research and scholarship. A concerted effort continues to be made to enhance the volume and quality of scholarly submissions from the CON, with a focus on moving faculty through promotion ranks to tenure when eligible.

Accreditation: The DNP program site visit for reaccreditation was originally scheduled in March 2020, but was cancelled due to COVID-19. This visit will now be held in early 2021.

Faculty and Staff Recruitment: With multiple vacant positions that are under a hold status due to budgetary constraints and COVID implications, recruitment of qualified candidates will be an important activity this academic year if the CON is to successfully achieve.

COLLEGE OF HEALTH PROFESSIONS

Katherine Beissner, PT, PhD – *Dean, College of Health Professions*

In 2019, 375 students were enrolled in CHP programs, including 170 new matriculates. While enrollment increased slightly over the prior year, overall applications were down by ~5%. This was driven predominantly by a decline in applications to the DPT program, reflecting a national trend and the expansion of DPT programs in the state.

In response to the pandemic faculty and students responded quickly and creatively to remote learning, using a combination of synchronous and asynchronous instruction, online simulation programming, and small group engagement with clinical partners to maintain and advance clinical skills.

While the pandemic delayed graduation for students in some degree programs, a slight majority of students graduated on time, and those who were delayed will complete their programs by the end of October. Thus far, performance on credentialing exams is consistent with prior years, with 95-100% passing these exams on the first attempt. Job placements are slower in some fields (e.g., diagnostic ultrasound and MR) due to reduced patient volume associated with the pandemic.

CHP Strategic Plan progress:

Efforts in the College are directed by the strategic plan. The following highlights summarize the major efforts and accomplishments in 2019-20.

Increase Faculty, Staff and Student Diversity - Admissions:

Our holistic admissions process was fully implemented in 2019. The PA and DPT programs achieved substantially improved diversity, with URM students comprising 31 and 33% of the incoming classes, respectively. Overall, ~22% of CHP students are URM. High School Outreach: A new summer enrichment program for Syracuse high school students, Jump Into Health Care, was funded by a local foundation. Due to the pandemic, the program was canceled and funds were redirected to manualize the program curriculum, including pilot testing by 5 students from the target population.

Improve Affiliation Agreement Processing:

With the hire of a new Affiliation Agreement (AA) coordinator and newly streamlined template and approval process, the backlog of agreements is largely resolved. Since November 2019 the AA processing rate has improved by 229% resulting in a 91% increase in the number of active agreements, from 205 to 391.

Optimize Facilities, Technology and Equipment:

Planning for Silverman Hall renovation continues; new research equipment has facilitated growth in scholarly output, particularly grant-seeking; and implementation of an online clinical education management system for physical therapy has reduced staff time spent on clinical placements by over 40 hours, with greater efficiencies anticipated in the coming years.

Grow Scholarship:

CHP faculty published 27 peer-reviewed journal articles and, despite conference cancellations due to the pandemic, made 28 peer-reviewed presentations at professional conferences. Of the 10 extramural research grants submitted, 3 small grants were funded and 1 well-scored R01 (in collaboration with a CON faculty member) is in final review. Five of the 6 submitted internal grants were funded.

In summary:

Despite the COVID-19 pandemic, considerable achievements in 2019-2020 have laid the foundation for ongoing program development, research initiatives, and infrastructure development.

College of Health Professions: Plans for the 2020-2021 Academic Year

- **Strengthen and Expand Partnerships:** the availability of clinical placements for our students is the most critical challenge in 2020-2021. Due to the pandemic, a substantial number of clinical sites have suspended clinical rotations. Ongoing and increased efforts will be made to increase/strengthen our clinical partnerships to ensure sufficient quantity and quality of clinical learning experiences.
- **Improve Efficiency, Accountability and Transparency:** We are working to redistribute support staff workload to accommodate at 2.0 reduction in staff lines, exploring opportunities to collaborate with the College of Nursing to create efficiencies where possible, and expanding the use of advanced technologies (e.g., clinical education management programs) to increase efficiency.
- **Increase Faculty, Staff and Student Diversity:** In addition to increasing our diversity numbers, in alignment with institutional programming, CHP will pursue programming to combat racism and other challenges to inclusion. A new Upstate Foundation Fund has been established to support CHP diversity initiatives, and a new advisory group will direct programming in this area. In addition, the five-week summer program for high school students will be offered in 2021.
- **Grow Scholarship:** investments in faculty and equipment position in the past years lay the foundation for a focus on increasing submissions for extramural funding.
- **Develop New and Enhance Existing Programs:** We are seeking approval for the MS in Respiratory Therapy, beginning marketing and course development for the microcredential in Post-Acute Respiratory Care; beginning online BPS programs in Medical Imaging Sciences; and exploring a potential doctoral program in Health Care Leadership, with tracks for administration and education.

COLLEGE OF GRADUATE STUDIES

Mark Schmitt, PhD – *Dean, College of Graduate Studies*

The College of Graduate Studies has excelled under the leadership of Dean Mark Schmitt. It has 126 students in seven programs of study. On average, each PhD student's research is published in 3.7 papers and each study is cited by 23 other scientists; predictably, these students are highly sought after for competitive positions upon graduation. The CoGS also organizes the following:

- Annual Biomedical Sciences Retreat
- Annual Beyond the Doctorate Day with the Office of Graduate Medical Education
- Annual Student Research Day
- Annual MD/PhD Alumni Distinguished lecture
- Annual Graduate School Distinguished Alumni Talk

The CoGS matriculated 19 students into the PhD program in 2019 and four into the MD/PhD program, matching our goal. We are expecting 15 PhD students this year, two MS students and three MD/PhD students who recently matriculated. GRE, GPA and MCAT scores for matriculated students continue to stay high.

In March we converted nearly all classes to online-only, and shut down most of the university laboratories. We have now reopened labs to about 90% capacity. This did slow progress for a number of our students, but most have continued to thrive and graduate on time. The switch over to videoconference dissertations and seminars has actually been so well-received that we will continue a hybrid model even after large gatherings once again are allowed. Classes in the fall of 2020 follow a hybrid model.

Summer Undergraduate Research Fellowship: The SURF program, which had a June start date unfortunately was cancelled this year. We were able to offer the program to three students that were local and did not require a dormitory room.

Career Development Workshops were enhanced and improved, leading to another strong series of workshops. We have moved them virtually this last spring, with excellent attendance.

NIH Grants: We had several students apply for F30 and F31 grants from the NIH. Four students – two MD/PhD and two PhD – received fellowship awards in the last year.

1000 Girls, 1000 Futures Program: We have continued to partner with the New York Academy of Sciences on this successful program, and several of our students are serving as mentors for female teen students.

Upstate Grad Update: This newsletter outlines student, postdoc, alumni and faculty achievements over the last quarter.

Nanoscience: We have continued to develop a total of 23 [nanocourses](#) in the graduate school. These have become very popular with faculty and students.

Recruitment: We recruited 19 new faculty into the college since January 2019, and named Dr. Amit Dhamoon the new director of our MD/PhD program.

College of Graduate Studies: Plans for the 2020-2021 Academic Year

- Continue adapting to the new and evolving COVID normal in educational delivery and student research.
- Continue to work on curriculum reform that was stopped because of COVID.
- Increase student recruitment in the new year to boost the number, quality and diversity of applicants.
- Continue to train new staff members to form a strong and cohesive team.

RESEARCH

David Amberg, PhD – Vice President for Research

As of June 2020, Dr. David C. Amberg returned to his position of Vice President for Research after a two-year commitment as Interim President of SUNY ESF. This year, 172 tenured research faculty were awarded \$41.4 million in external grants (the highest ever; \$5.4M higher than last year), 261 grants were submitted for a total ask of \$248M (direct plus indirect costs) and 58 agreements were completed. Total currently awarded grant dollars total \$174.4 million which predicts continued robust growth in research expenditures. Research faculty published 1,384 papers, a striking 619 more than last fiscal year.

Upstate researchers have been active and productive

- Total research expenditures for fiscal year 19/20 was \$35.2M, slightly up from last year capping off five years of continuous growth of 34%. Prior to the COVID-19 shut-down, we were on a trajectory for a 2% increase in total expenditures. Notably, indirect cost recover increased 7% from the prior fiscal year.
- Submitted over \$248 million in proposals last year.
- Currently have over 500 clinical trials — 25% growth over last year.
- Received our 3rd MIRA (R35) grant to Dr. Alaji Bah.
- Dr. Andras Perl was awarded over \$7M for a NIH UO1 Cooperative Agreement for a multi-center Clinical Trial in collaboration with Cedars-Sinai Medical Center and the University of Rochester. This is the first UO1 awarded to Upstate.
- Faculty in the Sepsis Interdisciplinary Research Center submitted for a \$11 million CDMRP Focused Program Project grant.
- Development of the Dengue 3 Human Infection Model has begun by Upstate's Institute for Global Health and Translational Science, funded by the DoD.

Areas of Research Strength

There are significant areas of research strength at Upstate including: neuroscience, cancer, endocrine/metabolic disorders, basic research on the mechanisms of disease, vision, immunity and autoimmunity, global health, infectious disease and most recently research on SARS-CoV2 and COVID-19 (see below).

Vector Biology Lab

Progress continues to be made in the final construction of this cutting-edge facility. Originally imagined to focus on the mechanisms of ticks, mosquitoes, and other vector organisms in transmitting diseases such as Lyme, Powassan, and West Nile Virus to humans, while also identifying potential new avenues for treatment, we now recognize how critical an asset this facility will be for COVID-19 research including with live SARS-CoV2 virus.

COVID-19 Research

- Four covid-19 surveillance projects have been initiated including in family units (funded by SUNY), refugee populations, and in migrant worker populations. Also, in collaboration with SUNY ESF, Syracuse University, and Quadrant Biosciences we are providing wastewater surveillance for early detection of community spread throughout the state in collaboration with New York state counties.
- Dr. Frank Middleton, working with Quadrant Biosciences has developed a high-throughput, extremely sensitive, accurate, affordable and quantitative covid-19 PCR test that is currently close to EUA approval by the FDA. This test has been adapted for pooled testing (pools of 12-24) and is currently being used under a NYSDOH-sanctioned surveillance protocol to screen all students at 11 SUNY campuses, Syracuse University and Utica College to support re-opening and ongoing surveillance.
- We have established our own ability to isolate convalescent plasma for transfusion into very sick patients coupled with research on the details of the immunologic response (humoral and cellular) to understand the clinical heterogeneity of this disease.
- We have enrolled several hundred study participants in the vaccine trail sponsored by Pfizer conducting the study for BioNTech.

Research: Plans for the 2020-2021 Academic Year

- We will be initiating and completing a new research strategic plan.
- Complete and validate the new vector biology lab.
- Submit a U01 proposal in cancer.
- Velos eResearch is the CTMS being implemented to replace Merge. Velos has the capacity for future integration with IRBNet and WIRB.
- Implement to full functionality TriNetX platform.

RESEARCH ADMINISTRATION

Research Administration, led by Vice President for Research, David Amberg, effectively supports the research enterprise. That office:

- Initiated the Research Foundation Operations profile on campus to identify and quantitate research efficiency on campus.
- Transitioned to a new, more user friendly CTMS system, Velos, an offering of WIRB Copernicus Group extending our partnership with WCG.
- Launched a revamped, user friendly website: upstateresearch.org.
- Hosted a biannual NIH grant writing workshop attended by over 100 faculty, staff and students; and supported ongoing consultation for faculty to improve their NIH submissions.

CENTRAL NEW YORK BIOTECH ACCELERATOR

The Central New York Biotech Accelerator (CNYBAC) is a critical element in promoting public–private partnerships and commercializing intellectual capital. The CNYBAC Executive Director, Kathi Durdon, reports to the VP for Research and has been very successful in growing the CNYBAC, keeping it productive and becoming self-sustaining.

- CNYBAC has licensed all available space in seven wet/dry labs. Many clients started in the collaboration lab setting, providing the ability for these small businesses to concentrate on product development and investment. Two such companies have since expanded into their own 900+ square foot lab. Zetagen Therapeutics has completed their Series A funding round and has been accepted into FDA’s Emergency Use Authorization for their product submission. Quadrant Biosciences has been working with Upstate faculty member, Dr. Frank Middleton to promote their first product, Clarifi and are working as well on COVID-related diagnostic needs. Additional clients include Acumen Detection, ANDRO Computational Solutions, Aptamatrix, Complex Bio, Expressive Neuroscience, LifeUnit, Ilgen, and Repair Biotechnologies.
- CNYBAC has also increased virtual tenancy, adding five new clients.
- In June, our grant-funded Medical Device Innovation Challenge (MDIC) Review Committee selected five phenomenal teams innovating in the areas of:
 - Fetal monitoring (nurse innovator/founder)
 - Smart respiratory masks (Cornell student team)
 - Catheter technology to reduce infections
 - Concussion diagnostic app
 - Infant mobility device (Ithaca College/SUNY Binghamton team)

The teams are mentored by subject matter experts who provide coaching in regulations, product development, team formation, intellectual property/patents, and additional commercialization process. CNYBAC serves to match resources to teams based on their program goals. At the end of their six-month program, they will participate in a judged pitch program, usually held in January.

- The event space at CNYBAC had been very active pre-COVID but has been and will continue to be on hiatus for the remainder of 2020.
- Fortunately, much of the programming that CNYBAC supports in late summer/fall has been moved to virtual platform. A recently held two-day Manufacturing Workshop had over 120 registrations. The upcoming Concept to Commercialization Virtual Series will be held September through December encompassing 13 presentations. While the NEXT Innovation Conference planned for October to include keynote Dr. Robert Atkinson, will be rescheduled to May 2021.
- CNYBAC also serves as the coordinating center for the NYS Chapter for the Society of Clinical Research Associates (SOCRA), of which many SUNY Upstate research coordinators and associates are members. The programs provide educational attendance hours toward professional certification.
- CNYBAC continues to expand their industry partner and collaborative innovation networks, presenting at various educational programs, exhibiting, hosting educational programs and serving as a small business resource for Upstate innovators.

Research Administration: Plans for the 2020-2021 Academic Year

- We are pursuing support for new instrumentation to support our faculty including a MALD-TOF MS, new capabilities for the super-resolution microscope in the CVR, and new sequencing technology in the SUNYMAC that will lower sequencing costs to our research labs.
- Continue to develop Sponsorship office.
- Velos eResearch is the CTMS being implemented to replace Merge. Velos has the capacity for future integration with IRBNet and WIRB.
- Implement to full functionality of the TriNetX platform.
- A research administration re-organization plan that will elevate key staff, increase efficiencies and capacities has been submitted to HR. This has been on hold due to the COVID-19 crisis but we would like to reinvigorate this effort ASAP.
- Work to advocate for state funding of a new COE on Tick Borne Diseases to support EIP faculty member Dr. Saravanan Thangamani.
- Create and distribute process maps to provide clarity for establishing and administering clinical trial agreements to create a shared understanding for efficient operations.
- Restart active EIP searches in Environmental Health and Environmental Medicine, Alzheimer's, and addiction.
- Develop Upstate's role in the Governor's initiative on medical health disparities in COVID-19, a collaboration with SUNY Albany and SUNY Downstate.
- Develop a new faculty research administration education program that would be required of new research faculty.

PATIENT CARE

UPSTATE UNIVERSITY HOSPITAL

Robert Corona, DO, CPE, MBA, FCAP, FASCP – *CEO, Upstate University Hospital*

The Upstate University Hospital system consists of University Hospital (Downtown), Upstate Community Hospital, Upstate Golisano Children's Hospital, and the Upstate network of ambulatory services. It is led by a superb team including the CEO, Dr. Robert Corona, CFO Stuart Wright, CMO Dr. Amy Tucker, CNO Nancy Page, CAO Nancy Daoust, CSO Susan Furtney and CIO Mark Zeman.

Their efforts are supported by the hospital's four strategic pillars:

- Quality
- Patient and employee satisfaction
- Technology/innovation
- Sustainability/growth

Quality

- 22 successful accreditation /certification surveys in 2019, including triennial CMS hospital accreditation survey
- Reorganized the hospital quality program and hired Dr. Dinesh John as Chief Quality Officer
- Implemented the iQueue analytic platform to optimize Operating Room utilization and staffing
- Adopted the SwipeSense RFID Hand Hygiene System to improve hand hygiene compliance and allow accurate contact tracing for potentially exposed staff
- AHA Gold Plus Award for Heart Failure, AHA Honor Roll for Type 2 Diabetes
- Early Recovery After Surgery (ERAS) program- colorectal program showed improvement (reduction) in key metrics: mortality from 9% to 4.6%; readmission from 13.3% to 10%; UTI from 4.5 to 0.92%; SSI from 14.8% to 6.5%. Contribution margin of ERAS program is \$494,650 due to improved operational efficiencies in the colorectal program.
- Blue Distinction from Blue Cross/Blue Shield award for both Hip and Knee programs, January 2020
- IDSA Center of Excellence Award for Antimicrobial Stewardship

- Upstate University Hospital was recognized as a meritoriously performing American College of Surgeons (ACS) National Surgical Quality Improvement Project (NSQIP) hospital. Based on the July 2019 ACS NSQIP SAR data (covering calendar year 2018), our hospital has been identified as achieving a High Risk meritorious composite quality score based on a combination of eight surgical outcomes.
- COVID Transitions of Care Clinic was rapidly implemented to prevent admission and re-admission of COVID-positive patients.
- Introduced the Cooling Cap program in Cancer Center for hair loss prevention from treatment.
- Consistent improvements in nursing sensitive indicators hospital acquired pressure injuries, falls with injuries, door to thrombolytics, central line infections and catheter associated urinary tract infections to exceed national data base for nursing quality indicators national benchmark of >50% of units.
- Golisano Children's Hospital Solutions for Patient Safety Efforts yielding >3 years without pressure injuries and 5 years without central line or catheter related urinary tract infection for large pediatric medicine unit.
- Environmental Services implemented multiple, high-touch-point cleaning times throughout the day in response to COVID. Purchased and implemented additional UV cleaning devices for maximal safety with >188 UV cleans in April 2020 alone.
- Supported deployment of 46 RNs, 2 pharmacists, 5 pharmacy techs and 2 respiratory therapists to SUNY Stonybrook during their COVID surge. One nurse served as Chief Nursing Officer and a physician served as Chief Medical Officer at the hospital set up in the Javits Center in NY City.

Patient/Employee Experience and Satisfaction

- Meds-to-Beds program was implemented to provide patients with their medications at discharge. Readmission rates for patients receiving Meds-to-Beds service is 7.35%.
- Implemented Home Delivery Program for medications to serve patients with mobility or transportation challenges.
- Embedding a Hospice of CNY social worker at Upstate, development of a metrics dashboard, creation of hospice and palliative care education materials and improved processes for early identification of pre-comfort care patients.
- New Chief Ambulatory Officer position created to focus and drive initiatives for ambulatory growth, efficient operations and ensuring a positive patient experience.
- COVID call line was rapidly implemented in March with more than 20,000 calls in the first three months, and an equal number of people using the chatbot in that time period.

- RN turnover remains below national average, currently 15.1% YTD which is 2.9% below the national rate.
- Environmental services staff retention at Community Hospital is 83.8% representing a 15.3% improvement.
- RN GEO adjustment with positive effect on hiring with Upstate nursing 60 RNs ahead of usual hiring in last quarter.
- Received \$100,000 in funding from NYS Standard for right track patient curtain systems to improve environmental services worker safety during curtain change/cleans.
- Patient satisfaction scores with consistent increases across all settings.
- Patient satisfaction scores highest in region, 95th percentile for cleanliness of environment.

Advance Teams and Technology/Innovation

- Upstate strengthened our relationship and partnership with Microsoft Corporation in 2019-2020 with the launch of the COVID-19 ChatBot on March 20 – a secure, confidential online coronavirus assessment tool to enable users to assess their symptoms and determine whether they should seek testing.
- Upstate is engaged as an early participant and in the New York Center for Smart Cities initiative. The initiative is a component of the “Syracuse Surge” strategy, in which the City of Syracuse is cultivating a “smart cities” innovation hub to focus on new public-private partnerships and technology development
- Implemented program and policies for expanded use of point-of-care ultrasound for inpatient care and clinician education
- Upstate’s Moonshot Team, in collaboration with Upstate Public Health & Preventive Medicine, SUNY System, and NYSDOH, created the Reopen SUNY dashboard, which provided SUNY schools across the state with tools to assist in planning for reopening and active monitoring through the upcoming academic year amidst the COVID-19 pandemic.
- Implemented Nuance voice recognition solution for 1,800 providers in both inpatient and outpatient areas and the ED.
- Designed and implemented a solution utilizing iPads as video monitors in COVID rooms to reduce use of scarce PPE. Also provided iPads throughout inpatient units to enhance the patient experience and provide entertainment and virtual meeting capabilities with families during social distancing restrictions.
- Implemented a robust ambulatory telemedicine solution, which generated an average of 1,047 weekly healthcare visits (51% increase) during COVID-19.

- ChiME HealthCare's Most Wired Designation – Received recognition for the fourth year in a row and achieving a score of 100% (Level 10) in the category of Analytics/Data Management.
- Epic's Honor Roll – Awarded Magna Cum Laude status in Version 3 of the Good Maintenance Grant Program. This comes with a \$318K credit on future invoices.
- Avasure video monitoring system implemented for bedside safety watches resulting in annual \$1M savings in labor cost.
- Telehealth visit utilization rapidly implemented and embraced in all ambulatory settings.
- Sani Sport technology, loaned from the Syracuse Crunch NHL hockey farm team, sanitized personal protective equipment for re-use during COVID to prevent shortage of supply.

Sustainability and Growth

- Focused effort to optimize capacity and throughput. Launched a Throughput Operations Center to improve bed management and patient logistics. Admissions increased by 640 between 2018 and 2019.
- Created an intra-facility transport service to allow load balancing between the University and Community Hospitals, creating additional bed capacity at the University Hospital for 1,398 patients, representing an estimated \$10M in new admissions.
- Opened a Discharge Hospitality Center, creating over 1,500 inpatient bed hours for additional inpatients.
- Increased Medical/Surgical inpatient capacity at Upstate Community Hospital with the addition of one inpatient ward capable of adding 20 additional beds and a 25% increase in the Hospitalist service.
- Neurology: Expanded Access and growth of additional 6 Neurologists for Ambulatory clinic and inpatient services. During COVID times, expanded and spearheaded the Tele-health services. Outpatient clinic Volumes for 2020 135% of 2019 volumes in combination of both in-person and Tele-health visits.
- Neurosurgery: Transitioned Private Neurosurgery clinic to Hospital PB clinic at Community Hospital. Upstate Brain and Spine Center added 3 Neurosurgeons with distinguished experience to initiate Innovative Neuro oncology, Neuro Ortho spine program and Neuro ICU services.
- New Adolescent Psychiatric unit opened on 7W. NYS Operating certificate as of March 2020 reflects highest capacity ever—a total of 752 beds (438 UH and 314 CH)

- Upstate University Hospital received eight (8) external grant awards* totaling over \$1.5M in funding. Includes:
 - ✓ \$618,402 in Regional Economic Development funding to support the development of a Throughput Operations Center.
 - ✓ \$232,638 to address social determinants of health and reduce health disparities in diabetes care in Upstate's Family Medicine clinic.
 - ✓ \$224,431 to improve diabetes outcomes in Adult Medicine's refugee and immigrant patient population.
 - ✓ \$75,000 to establish a Healthcare Emergency Preparedness Coalition Clinical Advisor position for the CNY region.
 - ✓ \$6,500 to support nurses in achieving Ambulatory Care Certification.
 - ✓ \$5,400 to support nurses in obtaining Perioperative Certification.
- Executed a Memorandum of Understanding (MOU) with Auburn Community Hospital on January 30, 2020, establishing a clinical affiliation and expanding on our existing clinical service line collaborations.
- Entered into a clinical affiliation with River Hospital on March 31, 2020. River Hospital and UMU have been working collaboratively to enhance service delivery in the North Country for several years and have now expanded to increase our academic and training program alignment.
- Executed a Letter of Intent (LOI) with Claxton-Hepburn Medical Center on August 27, 2019 and Carthage Area Hospital on September 5, 2019 to explore clinical affiliations, expansion of training programs and a more integrated relationship to support patient needs across both facilities.
- Upstate Medical University expanded and strengthened our relationships with regional partners in 2019-2020 to increase our market share and access for patients across our region.
- Established Discharge Hospitality Center to expedite discharges, prevent ED diversion and maximize admissions saving 200 bed hrs./month.
- Opened region's first acute inpatient mental health unit for adolescents in January 2020 with 8 beds.
- Unified Bed control implemented across hospitals maximizing transfers between University and Community Hospital averaging 120 patients/month.
- Upstate branded ambulance service established for inter/intra facility transports with >260 transports/month.
- Conversion of Oswego Hematology/Oncology to Article 28 facility with potential for \$1.5M in Pharmacy 403b revenue. 25% increase in Cancer Center volume related to movement of private MSG patients from Hill Building.

- Nursing's \$400M budget finished strong at 3% favorable to FY20 plan for FTEs & operating expense.
- Very positive financial results prior to COVID: Bottom line profit through February of \$12.5M vs planned loss of \$36.6M.
- Year-end total loss of \$67.1M versus planned loss of \$51.0M due to four months of COVID related losses.
- Revenue: Total revenues were \$1.2B and exceeded plan by \$18.7M despite COVID.
- Cash position remained strong with an ending cash balance of \$215M (approximately 61 days cash on hand) however, this included a \$70M advance from Medicare that will be repaid beginning in August 2020.
- Hospital Admissions: Up 935 or 4% from last year prior to COVID. COVID period (Mar-Jun) admissions declined by 2,363 or 20% versus last year.
- Outpatient Visits: Up 34,293 or 6% from last year prior to COVID. COVID period (Mar-Jun) visits declined by 78,870 or 27% versus last year
- Initiated the STAR program which ensures all surgical patients are at the appropriate level of care by identifying those procedures that should be completed as an Inpatient rather than an Outpatient. Through June of 2020 achieved impact of over \$1M.
- Realized a Case Mix Index (CMI) of 1.7424 In June which has an annual impact of over \$10M when compared to the CMI of June 2019. This increase is in part due to the diligence of the CDI department.
- Achieved cash collections of \$885 million in FY20 which represents a \$31M increase over FY19 despite the impact of COVID.
- Outpatient Pharmacy achieved 380% growth over the previous year with revenue and contribution margins of \$44.0 and \$14.4 million, respectively.
- 340B contract pharmacy generated revenue of \$67.7M in FY 19-20, hospital based 340B savings for the same period was \$37.0M.
- Earned 2019 Blue Distinction Centers for Knee and Hip Replacement – Downtown and Community Campuses.
- Earned 2019 Blue Distinction Centers for Spinal Surgery – Downtown Campus.

Potential Barriers to Achievement

- Bed capacity and procedural space challenges exist for operating rooms, interventional radiology procedures, cardiac services, emergency services, adult medical surgical/ICU, psychiatry adults/adolescents/children and Golisano Children's Hospital preventing ability to accept all regional transfers and grow services.
- ED boarding hours continue to escalate with July FY21 being highest on record, a key indicator of lack of capacity.
- Overburdened Human Resources processes to hire and onboard new staff can result in loss of high-quality candidates for nursing and environmental services.
- Inability to respond to competitive market rates for salary for many categories of staff resulting in prolonged vacancies and short tenure in roles.
- Supply chain distribution of supplies such as Purell and Provon for hand sanitizing and cleaning, isolation gowns and others continues to be tenuous, difficult and time consuming.

University Hospital: Plans for 2019-2020 Academic Year / FY20-21

- The most significant concerns are the loss of all state support and possible reduction or elimination of DSH. In spite of significant ongoing financial challenges stemming from unfunded mandates and the absence of any state support, Upstate is aggressively pursuing strategic growth opportunities and other endeavors to improve financial margins and preserve our mission to serve our communities.
- Our strategic focus for FY21 targets four domains: Quality, The New Upstate Experience, Innovation and Sustainability. Our goal is for Upstate to be recognized nationally in these four areas.

FACULTY PRACTICE PLAN (UUMAS)

Luis Mejico, MD – *Chair, UUMAS*

Upstate University Medical Associates at Syracuse, Inc. (UUMAS) is a 501(c)3 university faculty practice corporation, which serves as the umbrella organization of the 19 clinical departmental practices – **Medical Service Groups (MSGs)** – within the College of Medicine. In total, UUMAS has an annual budget of \$385 million.

Each MSG practice includes providers of the clinical specialty and sub-specialties of the department. UUMAS includes physicians and advanced practitioners who provide patient care in coordination with academic and research responsibilities.

UUMAS leadership, supported by a central office, works closely with MSG chairs and medical directors, as well as business, practice and billing managers to assure and assist with:

- Good business standards and coordination of clinical services;
- Management of third-party payor contracting, and compliance on regulations;
- Clinical and financial systems development and use;
- Incentive and quality programs, including electronic health records;
- Close and collaborative efforts with University Hospital and the COM Dean's Office;
- Other operations and functions to support our academic medical center.

Revenues for UUMAS during this period total about \$385 million, which includes over \$25 million in federal support in response to COVID through June 2020. Actual clinical collections were down from previous year by 8.7% or \$13 million as of 6/30/2020. The loss is more severe given that our faculty and providers increased to 759 providers, from 627. The federal support enabled our groups to retain most of their work force aided by the Payment Protection Program. Initial recovery has begun but some groups are lagging behind with regard to patient visits activity and thus revenue generation.

Use of telemedicine has expanded greatly during the COVID shut down period and our providers are now continuing its use interspersed with in-person visits. From minimal telehealth billing prior to March, to a peak of over 25,000 visits in April, we are now leveling at about 20,000 visits per month. Working with IMT, we look forward to a standardized, patient-friendly platform that is integrated in our EHR.

As a collaborative effort of UUMAS, Campus and University Hospital (UH), the contracts between UH and the MSGs are more up to date as significant improvement in the process has been realized, as well as a reconciliation settlement which addressed back logged commitments. Continued efforts focus on opportunities to further improve the flow of funds across the medical center in support of our missions.

UUMAS has earned DSRIP funds as a partner with UH in CNYCC by fulfilling responsibilities and meeting measures. The Board designated \$400,000 to support primary care clinical outreach pilot programs based in Gen Peds, Adult Med and Fam Med. \$250,000 is supporting a COM scholarship awarded to a student interested in primary care. Another scholarship with UH support will be directed to an under represented candidate next year, an effort directed by our Diversity Officer. UUMAS granted \$200,000 to add to UH's financial support of the development of a Family Medicine practice in our new satellite location.

As planned, UUMAS opened a new Upstate practice location in the western suburbs – Upstate University Medicine at Township 5 – in November 2019. The primary care and multispecialty practice were on the trajectory of growth when COVID19 virtually shut down in-person patient visits, but activity has resumed. Our new primary care Family Medicine practice with one MD and one NP provider resulted in 1,030 new patients added to the Upstate Health System. In September, 2020 another MD will be joining the practice enabling continued growth and expansion.

Significant effort went towards working with the Hospital in developing a Cancer Center satellite program and facility design for the Eastern suburbs, which is expected to be fully functional by early 2022. UUMAS leadership actively participates in the Hospital Strategy Council and engages in coordinated efforts to partner with regional hospital systems by providing clinical services.

The UUMAS Finance & Budget Committee/Joint Dean's Advisory Group has been more actively engaging in departmental/MSG financial and operational reviews of groups in chronic economic deficit. The work group is made up of members from the Offices of the Dean and UUMAS and Hospital Finance with direction from the UUMAS Treasurer and the College of Medicine Dean.

UUMAS, with the Dean's Office and Campus Internal Audit initiated the engagement of the independent auditors to review and update UUMAS' expenditure guidelines and business procedures and assist in refresher training for Chairs and Business Managers, and the development of a program to on-board new managers and assure continued training.

UUMAS: Plans for 2020-2021 Academic Year / FY21-22

- Financial survival and clinical growth through innovation (telehealth), flexibility, and increasing regional relationships.
- Increase focus on processes and structure to facilitate funding across entities within Upstate Medical University based on better coordination of analysis, goals and execution of collaborative programs.

UPSTATE MEDICAL UNIVERSITY

CAMPUS FINANCES

Eric Smith, CPA, MBA – *Senior VP for Finance and Administration*

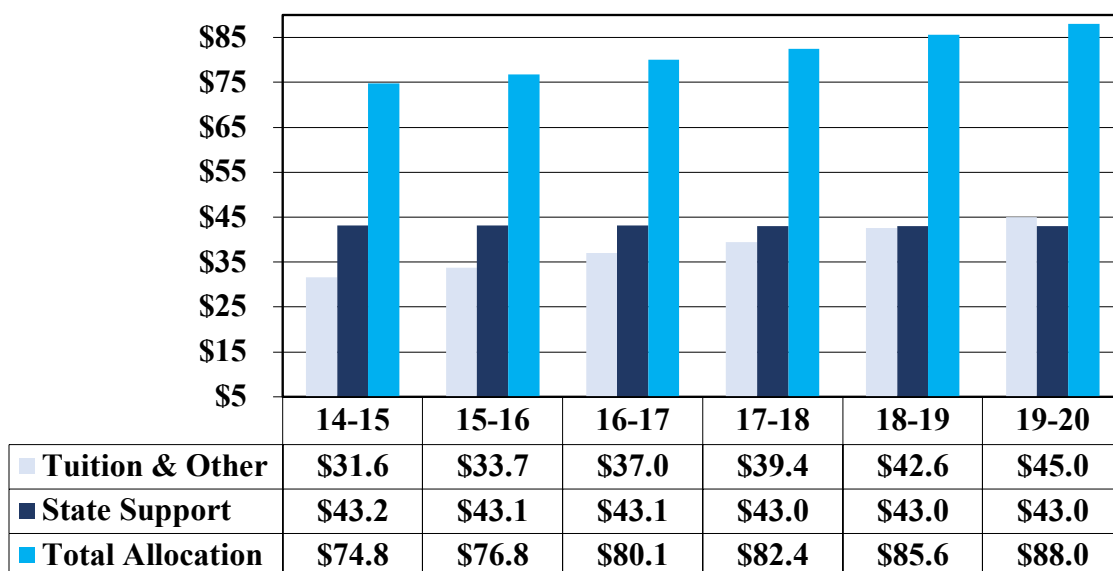
Campus Budget

The revenues generated in support of Campus operations in 19-20 was comprised of state tuition and interest revenues generated by its four colleges (\$45M), State support (\$43M), the Research Foundation (\$35M), and the CAO Fund (Dean's tax from the Clinical Practice Plan) (\$17M).

Collectively, total revenues exceeded the budgeted financial plan for FY20 assuming the Campus receives approximately \$5M of state support due to be distributed to Upstate for 19-20. All other areas either remained flat in comparison with the prior year (sponsored research expenditures) or experienced modest growth (tuition, investment income, and CAO revenues).

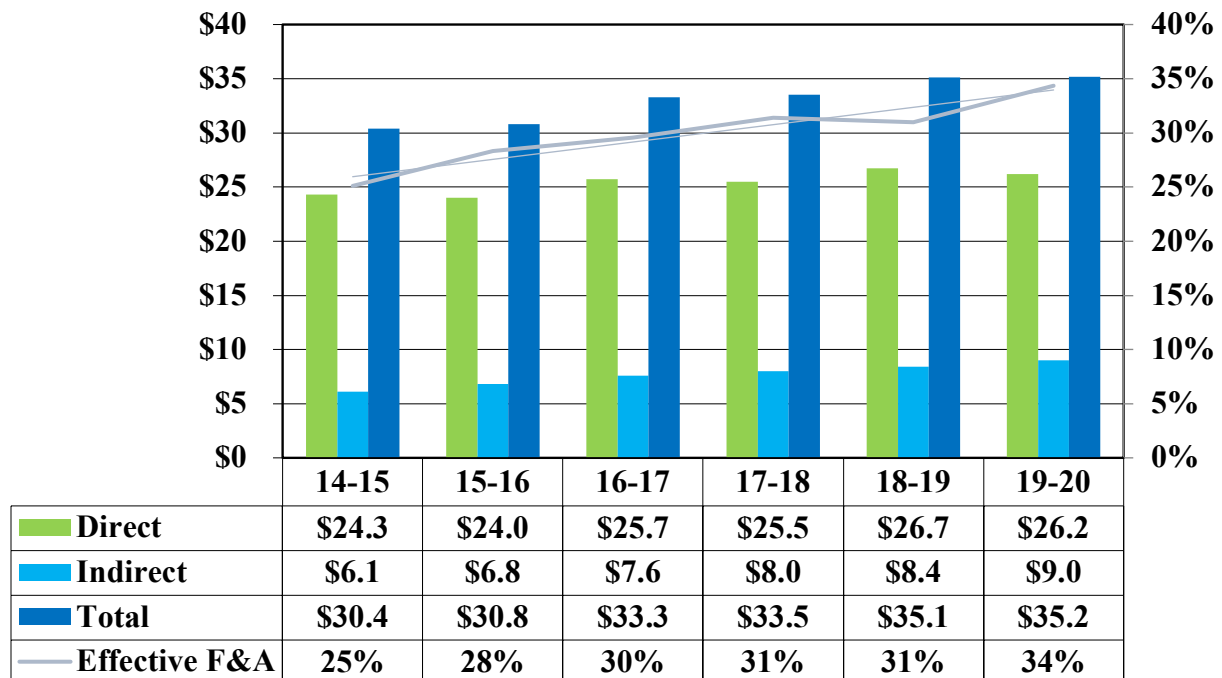
A summary of tuition revenue and state support trends in Chart 1 shows an increase of \$11M (35%) in tuition but flat state support over the last five years:

Chart 1 – Tuition Revenue and State Support, 2014-2020 (*in millions \$*)



A summary of sponsored research activities in Chart 2 shows an increase of \$5M (15%) over the last five years, \$3M of which was an increase in the recovery of indirect expenditure reimbursement (F&A) (a 48% increase over the last 5 years), in addition to an increase in the effective F&A rate (from 25% to 34%):

Chart 2 – Sponsored Research Revenue, 2014-2020, (*in millions \$*)

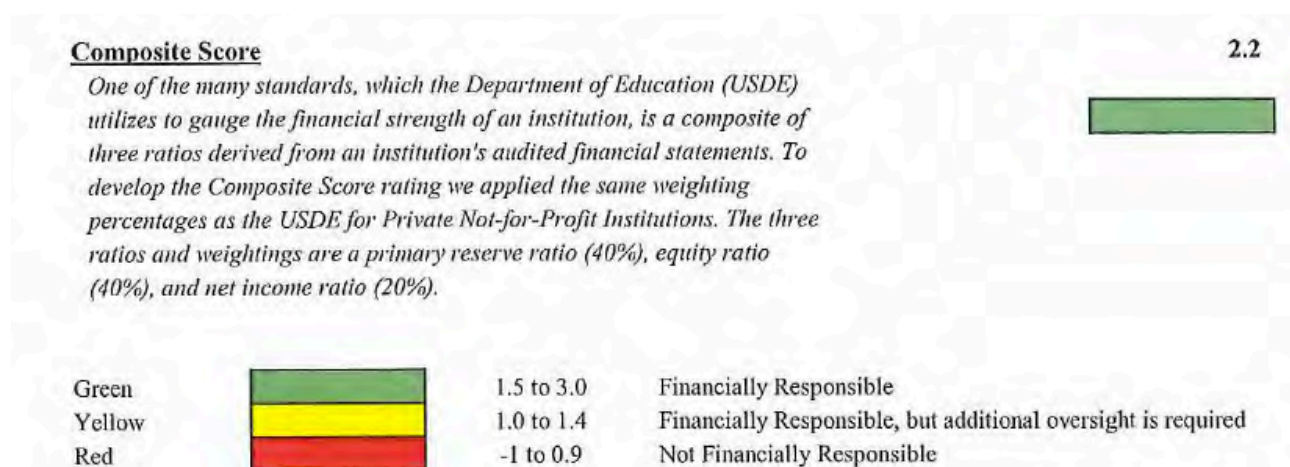


The revenue growth, combined with expense management strategies, was sufficient to fund operating cost needs while also allocating funding for strategic initiatives, including key academic/research specific recruitment needs, investments in facilities and equipment, and funding for mandatory cost increases, including UUP negotiated salary increases.

In addition, one-time funds have been generated annually from a combination of attrition and disciplined budget processes which have been used to establish cash reserves for operations and to support future faculty and chair recruitment needs in a variety of areas. Furthermore, multi-year budget discipline has also resulted in increases in cash balances held in State and non-state funds producing sufficient reserves for Campus operating purposes and financial uncertainties that may occur in the future. State cash balances were at or above the 25% of operating expense targets set by SUNY throughout FYE 19-20 demonstrating a healthy financial position for Upstate.

Lastly, based on recent financial metrics provided by SUNY as of FY19 Upstate is considered to be in strong financial health and ranks as “Fiscally Responsible” as shown in Figure 1 below. This is a result of some of the improvements in financial position noted on the previous page.

Figure 1 – Financial Risk Accountability Ratings, 2019



Also, based on similar institutional monitoring reports provided by the Research Foundation for SUNY (Financial Risk Accountability Ratings Report) during FYE 20, Upstate was noted as being stable/strong financially by scoring 2.3 out of a possible 3.0, ranking 8th among all SUNY campuses. The ranking would have been in the top 5, however pending State contracts due to certain Medical Service Groups (MSGs) caused delays in funding agency accounts and large temporary deficit balances resulting in lower scoring as a result.

Global Budgeting and Joint Investment Efforts

During FY2017, Upstate implemented a new global budgeting and joint investment initiative between the Campus, the Hospital, and UUMAS. The initiative was intended to improve financial discipline and business planning in order to integrate the capital / business plans and operating budgets and funds flows of the main components of Upstate, including its relationships to UUMAS, ensuring alignment with the broader strategic plan.

Significant improvements were made in the FY18 – FY20 budget process in areas of engagement and transparency, especially around prioritization and planning of new clinical investments with UUMAS, leading to improved alignment and integration.

Other Finance-Specific Accomplishments in FY20 (State, RF and Related Entities):

- Successfully refinanced the Geneva Tower debt resulting in present value savings of \$5M, annual savings of ~\$250K, and less restrictive covenant compliance requirements.
- Completion of the transfer of TU3 and 4 Buildings from OMH to Upstate in the Spring of 2020 and similar due diligence on other properties that did not result in a transaction (ie. land for future parking needs).
- Planning and starting the \$3M HVAC upgrade at Geneva Tower for improved performance, reliability, and overall student satisfaction.
- Finalized the Economic Impact Study – Tripp Umbach – Upstate's \$2.5B economic impact to NYS – and presented the report to various state and local elected officials.
- Completion of the SUNY 2020-funded Upstate Simulation Center and IPE and continued positive progress on other important projects including Nappi Longevity Institute and the Vector Biology Lab.
- Positive financial statement audit results for UMU and its related entities – UPD, FSA, Upstate Foundation, FSA, CAO Fund, Clinical Practice Plan, etc.
- Partnered with the Upstate Foundation and the Department of Pediatrics to secure a \$3M gift for the Center for Special Needs from Mr. Golasino.
- Partnered with Quadrant Biosciences, SUNY, and the RF to respond to COVID testing needs (pooled saliva testing) of SUNY and others in the community.
- Continued coordinated budget and planning efforts between UH, Campus, and UUMAS (and SUNY) in proposing and implementing a number of funds flow initiatives to settle pending clinical obligations.

- Coordination of COVID specific funding (CAREs Act) to the Campus and purchase of COVID specific equipment for SUNY saliva testing needs.
- Coordination of Presidential search process with SUNY, Upstate Council, and Contracts office.

Other Finance and Administration Accomplishments:

- Human Resources
 - COVID response to executive orders, including interpretation, providing guidance, etc.
 - Supported external OSC audit efforts on HR practices
 - Process improvements specific to ODI / Office of Institutional Equity Reorganization (reorganization), F-1 application and Page Up implementation, recruitment process, and others
- Contracts and Purchasing
 - Implemented online requisition system
 - Streamlined MSG contracts process with MOUs, templates, and leveraging of C-tracks
 - Reorganized department and transferred contracts administrators from UH Purchasing to Campus purchasing for workflow improvements
 - Scanning of AP invoices and viewing made available through Self-Serve
- University Police
 - Completion of master security plan and card access upgrades in buildings
 - Transition of dispatchers from contract to state employment for cost savings and improved operations.
 - Community engagement, support of peaceful protests, etc.
- Physical Plant
 - Reorganized to create engineering services department
 - Combined community campus with downtown for effectiveness
 - Filled open positions to improve the responsiveness to work orders, preventative maintenance and other needs
- Parking
 - Transitioned to a new parking management contractor resulting in cost savings and improved performance
 - Completed parking demand study for future parking facilities planning
 - Planning efforts to create new surfaced parking at Loguen Crossing

- Planning, Design and Construction
 - Nappi Building moving forward working w/ SUNY and SUCF
 - Strategic Planning Retreat in Fall of 2019, Facilities master plan initiated in 2020, and other building specific plans (Weiksotten Hall).
 - Closed-out of old, outstanding projects from prior years and reorganization of department relating to creating an engineering services department (see above).
- Environment Health and Safety
 - Support of COVID fit tests
 - Various other process and policy improvements – 911 Center Response, Hazardous drugs, etc.
- Environmental Services
 - Expansion of services in response to COVID needs and new space, including TU3, TU4, and new UH clinical programs.
 - Improvement in quality measures and benchmarks in comparison w/ peer group
 - Improvement in employee retention at the Community Campus of over 20% from prior year.

OFFICE OF DIVERSITY AND INCLUSION

Daryll Dykes, PhD, MD, JD – *Chief Diversity Officer*

The goal for accountability in the areas of diversity, equity and inclusion—collectively what we refer to as BELONGING—remains a priority at SUNY Upstate Medical University and connects with policies including:

- *Expanding Diversity, Equity and Inclusion Governor's Call to Action: A SUNY Diversity Update Report* of August 15, 2018;
- The new Electronic & Information Technology Accessibility Policy, unanimously adopted by SUNY Trustees on June 11th, which is now in effect for all campuses;
- The "Upstate Strategic Diversity Plan, 2017-2022"; and
- The "One University Roadmap — OUR Upstate Strategic Plan"

Collectively, these policies direct us to continually increase diversity, equity, access and inclusion; improve our culture of trust; and improve workforce satisfaction.

Reorganization of the Office of Diversity and Inclusion (ODI)

Recognizing significant dysfunction within ODI, including high staff turnover, unfilled positions, and a backlog of cases needing to be investigated, we coordinated with SUNY College of Environmental Science and Forestry (ESF) to appoint Dr. Malika Carter to a 50% role as Interim Chief Diversity Officer (CDO) at Upstate. Dr. Carter had been CDO at SUNY ESF since August 2017. Serving both campuses in this shared service model, Carter undertook significant efforts to synergize and strengthen the contributions of both campuses in state and federal reporting, training and professional development, and increasing diversity, equity, access, and inclusion for workforce, students, and community members who engage SUNY Upstate and SUNY ESF.

To further improve ODI efficiency and responsivity, Upstate established a new Office of Institutional Equity (OIE) under the leadership of Dr. Carter as Interim Institutional Equity Officer (IEO), reporting directly to the Senior Vice President for Finance and Administration. This office is responsible for overseeing all investigations of discrimination, harassment and

Title IX complaints, as well as conducting campus-wide anti-discrimination and anti-harassment training. In addition to investigations and training and investigations, this office ensure compliance to SUNY policies. To further advance these efforts, OIE also recruited a full-time investigator and optimized collaborations with the Office of the General Counsel. We are now in the final stages of selecting a permanent IEO from a pool of highly qualified and enthusiastic applicants.

In May 2020, Daryll C. Dykes, PhD, MD, JD, was named CDO to lead the remaining functions of ODI, including the Minority and Women Business Enterprise (MWBE), recruitment and retention, and affirmative action activities, as well as the ongoing assessment of the campus diversity climate, diversity programs, and community-based diversity initiatives. In this role, Dr. Dykes reports directly to the office of the president and maintains a close working relationship with the SUNY Office of Diversity, Equity and Inclusion in Albany.

Further Activity of the Office of Diversity and Inclusion (ODI)

In addition to guiding the campus through an unprecedented reckoning with structural racism manifested through the unjustified killing of Black Americans at the hands of police and vigilantes, Dr. Dykes led the campus through an intensive examination of diversity, equity and inclusion issues on our campus. ODI led a 6-week, multi-stakeholder task force examination of these issues on our campus, resulting in a 163-page report detailing 65 discrete action items to be considered for implementation at Upstate. The action items are generally organized into five categories:

- Education and Training
- Policy, Bias Reporting and Mitigation
- Recruitment and Retention
- Patient, Community and Alumni Services
- Diversity Organization and Messaging

We have since organized “Implementation and Oversight Tiger Teams” (IOTTs) comprised of students, staff members and faculty members having subject matter expertise, job responsibilities, or interests related to each category. A tiger team is a specialized, cross-functional team brought together to solve or investigate a specific problem or critical issue. The term “tiger team” originates from the military and was made famous by NASA who deployed a tiger team during the Apollo 13 mission in 1970. These teams are further prioritizing the action items recommended by the task force and beginning the work of taking Upstate in a bold direction toward an improved culture of BELONGING at our University. A highlight of this effort is our development of a web-based diversity initiative reporting system to provide an easy method to track and report on diversity focused initiatives in the Institution. This will provide a “living” report card on our progress and assure transparency and accountability in our efforts.

To ensure meaningful, measurable improvements, numeric targets will be set for diversity amongst students (recruitment and graduation rates), staff, faculty, MWBE contracts, etc and tracked via a dashboard.

OFFICE OF EXTERNAL RELATIONS

Linda Veit, MPH – *Interim Chief of Staff & Assistant VP of Community Relations*

Reporting to the President, Upstate's Office of External Relations is the public voice of the University, nurturing relationships with key stakeholders and decision makers to advance Upstate's mission, vision and goals. The office's divisions and leaders are comprised of Community Relations (Linda Veit), Government Relations (Jonathan Archey), and Public and Media Relations (Darryl Geddes).

SUNY Upstate Medical University, as a public trust, is committed to the public good in the community and is actively involved in many ways.

As Central New York's only Academic Medical Center, Upstate also is the largest employer with nearly 11,000 employees residing in 30 counties. Upstate has a major annual economic impact: a \$1.2 billion direct impact and \$2.5 billion total (direct and indirect) contribution for the region. Upstate's payroll adds purchasing power to the area and fuels economic growth. We also have a responsibility to serve the health needs of our community, and Upstate has played a number of important leadership roles addressing COVID-19 for the region and the state.

While SUNY Upstate Medical University provides the entire range of medical services, it is the region's only Academic Medical University, Children's hospital, Level 1 Trauma Center, Comprehensive Stroke Center (including tele-stroke with 11 partner hospitals), Pediatric ICU and Emergency Department, and is a NYS designated Center for Stroke, AIDS, Trauma, and Burn Care. Upstate also is the region's only Level 4 Epilepsy Center, NYS Center of Excellence for Diabetes, Adult and Pediatric Cancer Center, as well as housing the only NYS designated Poison Control center for 54 counties.

COMMUNITY RELATIONS

Linda Veit, MPH – *Interim Chief of Staff & Assistant VP of Community Relations*

Community Relations continues to be led by Linda Veit and her dedicated outreach team.

SUNY Upstate Medical University is a powerhouse in the region and the experts for medical education, research and health care. Our specialized medical programs, many one of kind, provide not only high-level, superior health care, but fuel economic growth in the area. Our mission to serve the community has never more evident as it has in the past year, during COVID-19. Upstate rose to the challenge with our public health and infectious diseases experts to address a frightened community, working hand in hand with our city and county government to reduce people's fears and assist with education, testing, and research around COVID-19.

While we dealt with COVID we also kept focused on other needs in the community and continued on with community programs to address such things as wellness, prevention, early disease detection, education and promotion of Upstate's services and educational pipelines into health professions.

With an emphasis on health disparities among races, we continued to develop educational sessions and programs to help close the gap that is often seen in healthcare and in education in people of lower socio-economic means. As a trusted partner, Upstate has a responsibly to improve the health of all and has done so through such programs as **She Matters** for breast cancer education and screening, **We Matter** for colon and lung cancer, **Stroke Awareness, Healthy Hearts, Healthy Neighbors Partnership** with public housing residents, **Mobile Mammography Van** outreach and screening to the rural and urban populations. A mixture of in-person for pre-COVID and virtual platforms were used to engage members of the community.

Project ECHO (Extension for Community Healthcare Outcomes) is a teleconferencing, case based, platform for primary care providers to increase knowledge and expand treatment and management skills for all types of medical issues for the patients they treat. It gives providers weekly access to Upstate Medical experts. Housed under Community Relations,

Project ECHO was vital to updating primary care providers in the region about COVID-19 and how to treat their patients. We even utilized ECHO to speak with the medical team at Union Hospital in Wuhan, China on two separate occasions. COVID ECHOs focused on a number of different topics including SARS CoV-2 pediatric and adult virology, vaccinations, medications, and mental health. Some ECHO clinics had over 150 participants from all over the state (39 counties) and 5 counties outside of NYS, looking for information and answers to better help care for their patients.

Corporate social responsibility is important to Upstate Medical University. Through **"Team Upstate"**, many of our employees and students give their time and talents to support causes where they work and live. A selection of the highlights of the past year include: A virtual food drive for the Food Bank of CNY which raised \$8,727; Upstate's annual toy drive which collected more than 400 toys and hundreds of books; and participation in Salvation Army Christmas Bureau, in which 85 of our employees and family members volunteered. Upstate was proud to receive the American Heart Association of CNY award as the top fundraising company for the 2020 Heart Walk. We had over 280 participants and raised more than \$24,500 in the fight against heart disease and stroke.

The SUNY Upstate Community Giving Campaign, through the United Way, raised \$569,789 for community agencies that help to fight poverty, addiction, homelessness and food insecurity.

Community Relations: Plans for the 2020-2021 Academic Year

- Focus on developing stronger partnerships with underrepresented groups and determining how best Upstate can assist and meet the various needs in the community with health care programming, health care access and education all while remaining culturally sensitive and respectful.

GOVERNMENT RELATIONS

Jonathan Archey, MA – *Assistant Vice President of Government Relations*

NY State

In concert with SUNY Admin, HANYS, Downstate, Stony Brook, and other partners, we:

- Secured in state budget temporary civil and criminal liability protections for health care facilities and professionals during height of COVID-19 in NYS.
- Secured in state budget the full state match funding for offsetting SUNY hospitals' costs of providing care to the indigent and uninsured (DSH). Impact: **\$149m** to reimburse such care provided at Upstate.
- Secured capital support for Upstate. Impact: **\$50m** in new spending authority.
- Secured critical maintenance of Upstate facilities. Impact: **\$4m** to Upstate.
- Successfully lobbied for managed care reforms to simplify and streamline medical claims processing and reduce frivolous lawsuits.
- Successfully lobbied to expand allowable telehealth services and modalities to safely continue providing needed care during the pandemic.
- Closely coordinated with Governor's COVID response task force to keep Albany informed of developments, needs and emerging challenges in the region.
- Worked closely with Governor Cuomo's team on multiple occasions to serve as host site for the Governor's televised COVID briefings.

US Federal

- Coordinated daily with the region's congressional offices to help develop COVID relief legislation, liaise with executive agencies, secure vital supplies and equipment, and keep the public informed on the evolving public health crisis.
- Secured reimbursement of approximately 49% of total lost revenue due to COVID (\$33.7m of \$69m) – as of June 30, 2020 – in COVID Provider Relief for the SUNY Upstate hospital campuses.
- Secured continued federal funding for the Upstate Poison Centers.

- Secured strong bipartisan support of New York’s congressional delegation in calling to:
 - Eliminate scheduled cuts to Disproportionate Share Hospital payments
 - Add 15,000 resident physician slots nationwide by 2024
 - Add 5,000 resident physician slots specializing in addressing opioid misuse by 2025

CNY Local/Regional

- Hosted Syracuse Mayor Ben Walsh’s 2020 State of the City Address, showcasing SUNY Upstate to more than 360 local citizens and civic leaders.
- Coordinated daily with city and county officials from across Central New York to ensure Upstate’s clinical, public health, and research experts could most effectively contribute to – and in many cases help lead — the COVID response.

Government Relations: Priorities for the 2020-2021 Academic Year

NY State:

- Prevent further erosion of direct state financial support for SUNY Upstate’s academic enterprise and funding of benefits for all Upstate employees.
- Secure budget line-item and grant funding for Upstate’s strategic clinical, research, and academic priorities (e.g., addressing juvenile mental health needs in Central New York, REDC and ECRIP grants, etc.).
- Oppose proposed policies that would catastrophically increase Upstate’s costs (nurse staffing ratios, medical liability reforms, etc.), decrease our reimbursement (Medicaid cuts) or disadvantage us (vis-a-vis health plans, competitors, etc.).

US Federal:

- Oppose adoption of federal policies that would curtail SUNY Upstate’s negotiating balance vs. health plans and other business partners.

- Delay or eliminate cuts to Medicaid and Medicare scheduled under current law.
- Secure reimbursement for 100% of losses incurred due to COVID-19.
- Secure FDA approval of COVID tests and treatments developed by Upstate.
- Maintain/increase funding for training of physicians, nurses, researchers and other health professionals.

CNY Local/Regional:

- Support public health, employment and economic development initiatives in concert with local officials.
- Ensure SUNY Upstate's concerns and priorities are heeded as I-81 demolition and construction plans continue to be developed.

Perennial Priorities:

- Anticipate, monitor and address emerging public policy issues not listed above
- Continue building strong, pro-active relationships with elected officials.
- Continue cultivating advocacy partnerships with our fellow SUNY campuses, trade and professional societies, and coalitions.

MEDIA AND PUBLIC RELATIONS

Darryl Geddes – *Assistant Vice President for Public and Media Relations*

Upstate Medical University continues to work with media and social media outlets and other communication methods to help tell its story to the wider community. Below are some of the stories that attracted media attention and helped build awareness and support for the university. In total, they tell the story of an engaged institution on the forefront of research, teaching and patient care with a prominent faculty eager to share its expertise with the broader community.

At the conclusion of this listing is a special entry related to our COVID outreach strategy. This report focuses on stories and outreach through June 2020, and the COVID pandemic is still present in our community.

Parkinson's research and the gut: Upstate researcher Frank Middleton and Start-Up New York company Quadrant Biosciences captured media attention with the publication of a paper linking Parkinson's disease with the gut microbiome, a link that could pave the way for a simple saliva swab detecting the disease in its earliest stages.

Blood bank connection: Syracuse media announced the addition of Crouse Hospital to the list of Upstate Cord Blood Bank partners. Moms delivering at Crouse Hospital are now able to donate their newborns cord blood to the Upstate Cord Blood Bank. Cord blood is rich with blood-forming cells that can be used for research or for medical treatments. Upstate continues to work on securing other hospitals for its donation pool.

Accelerated Scholars get fast tracked: Upstate secured some downstate media coverage with the announce that SUNY Poly and Adelphia University became the latest institutions to sign on with the Accelerated Scholars Program, a guaranteed medical school acceptance program for undergraduates that meet specific criteria. Syracuse University, SUNY Environmental College of Science and Forestry and Spelman College also signed on.

Upstate shines light on bladder cancer: Syracuse media heralded the announcement of Upstate's new blue light technology that helps identify tiny cancer tumors in the bladder.

Blue Light Cytoscopy with Cysview was offered previously by Upstate in a clinical trial. Thanks to favorable patient response, the technology is now widely available to patients at Upstate.

Heart group joins Upstate: Business press covered the announcement that one of the area's most comprehensive cardiology practices joined Upstate, in what is considered a major step in Upstate's establishment of its Heart Institute. The Cardiovascular Group of Syracuse, now under the Upstate umbrella, sees more than 20,000 patients yearly.

Simulation Center opening: Area media were on hand to cover the opening of Upstate's \$11 million teaching center that will simulate real-time responses to medical emergencies in the ICU, labor and delivery, the operating room and in any setting where health care is delivered. The facility includes state of the art exam rooms and patient robots.

Happy Birthday, Upstate Golisano Children's Hospital: Upstate Foundation received a \$3 million gift from Tom Golisano that was announced a press conference. The funds will be used to establish the Golisano Center for Special Needs. The gift came as the children's hospital celebrated its 10th birthday.

Upstate, OCC, CCC ink deal: Upstate inked a dual admission pathway for nursing with SUNY institutions Onondaga Community College and Cayuga Community College that guarantees admission in a four-year nursing degree program and an opportunity for local employment.

College of Nursing gets grants to aid outreach, opioid help: The College of Nursing has received a four-year, \$2.7 million grant to support students who are interested in working in rural or underserved areas after graduation. It also received a three-year \$660,000 federal grant to creation of a new supplemental curriculum to train psychiatric mental health nurse practitioner students—a graduate level program in the College of Nursing—on how to treat patients with opioid and substance abuse disorders; and monetary stipends to the students who pursue the training.

Prostate cancer breakthrough: An Upstate Medical University professor published a study in an international journal, addressing a breakthrough discovery of how a common gene may affect aggressive prostate cancer. Leszek Kotula, MD, PhD, an associate

professor of urology, biochemistry and molecular biology at Upstate, has long been a leading researcher of the ABI1 adaptor protein, which is found in most cells in the human body. Kotula's recent research has found that ABI1 may play a significant role in how prostate cancer spreads.

Upstate startup lands NIH grant: An Upstate Medical University professor is the lead investigator on a recently awarded National Institutes of Health grant to study how manipulating a gene could help people better tolerate and recover from chemotherapy. William Kerr, PhD, is a professor of microbiology and immunology, biochemistry and molecular biology as well as pediatrics at Upstate. Kerr has spent much of his career studying the SHIP1 enzyme, which can affect how an immune cell detects and kills cancer cells. He is a co-founder of Alterna Therapeutics, a private biotechnology company. Kerr, Alterna Therapeutics and a Syracuse University professor are the recent beneficiaries of the one-year \$225,000 NIH grant.

Schumer taps Upstate expertise on MS in Syracuse: In a press conference at Upstate Medical University, U.S. Sen. Charles E. Schumer shed light on a new study that found a high incidence of multiple sclerosis (MS) in Central New York, and called on the Centers for Disease Control and Prevention (CDC) to work with Upstate to get to the bottom of it. MS is a disease with no known cause or cure that attacks the central nervous system, damaging or destroying nerve fibers in the process.

Upstate study says one-third of ticks found to be carrying disease: Upstate Professor Saravanan Thangamani, PhD, released the findings of his successful Citizen Science Tick Testing Program, revealing that about one-third of the ticks sent to his lab were carrying disease. Thangamani encouraged the public to send him ticks by mail so his lab could test them for disease. From July through late October, the lab received sometimes 70 samples per day, with 1,921 total submissions from nearly every county in New York state. Using the samples from across the state, Thangamani's lab tested each tick for several diseases including Lyme, Babesia, Ehrlichia and several others. The researchers found that 26.14 percent of ticks sent in by the public were carrying Lyme disease and 32 percent in total were carrying some sort of disease.

Money for sight: Samuel A. Herberg, PhD, received a \$300,000 Research to Prevent Blindness (RPB) Career Development Award to support his glaucoma research that focuses

on the trabecular meshwork, an important tissue located in the anterior chamber angle of the eye between the cornea and the iris. The trabecular meshwork regulates the outflow facility of the aqueous humor and thus controls intraocular pressure. Dysfunction of the trabecular meshwork is the principal cause of elevated intraocular pressure that is associated with irreversible vision loss in primary open-angle glaucoma.

Student success: Upstate doctoral student Hannah Phillips was awarded a competitive and prestigious fellowship from the National Institutes of Health to continue her work studying the second most common form of dementia. Phillips was awarded a two-year, Ruth L. Kirschstein Predoctoral Individual National Research Service Award (NRSA) from NIH (called an F31) to study frontotemporal dementia (FTD), which is the second most common form of dementia after Alzheimer's disease. The fellowship is competitive nationwide and requires a lengthy application. Only five Upstate students have been awarded an F31 grant in the last 10 years and Phillips is the only student from the PhD program to receive one.

Clinical affiliation with River: River Hospital in Alexandria Bay and Upstate Medical University in Syracuse announced that they are pursuing a clinical affiliation. The affiliation would include both institutions working together on numerous efforts aimed at developing clinical programs that promote prevention, wellness and continuity of care, throughout the River Communities.

A spit test for autism: Quadrant Biosciences Inc., a developer of novel diagnostic solutions, announced the release of Clarifi ASD™, the first ever epigenetic test for autism spectrum disorder (ASD). Clarifi ASD™ is designed to aid the diagnosis of autism in children 18 months through six years of age. Quadrant Biosciences, a StartUpNY company headquarter at Upstate collaborated with researchers from Upstate and Penn State to create this groundbreaking biological test that is based on regulatory RNAs and microbes in the saliva.

Upstate Economic Impact Study: Upstate contributed \$2.5 billion to the state and local economy and supported, directly and indirectly, more than 18,321 jobs across New York in fiscal year 2018, according to a recent [study](#) and report by a national consultant. The substantial economic impact figure—which has grown 50 percent in a decade—includes capital improvements, Upstate expenditures and salaries to employees who spend their

income on housing and services in Central New York. Additional dollars are generated by students, patients and visitors to Upstate, according to consultant Tripp Umbach.

Upstate opens inpatient adolescent psychiatric unit: Upstate opened its first inpatient unit dedicated to adolescents requiring acute psychiatric care. The eight-bed unit is staffed with child and adolescent psychiatrists, nurses, mental health therapists and more, and will focus on the treatment of children 12 to 17 years of age. The average length of stay is expected to last five to seven days. The Adolescent Psychiatry Inpatient Unit, designed for acute admission and stabilization, uses Dialectal Behavioral Therapy (DBT) as the key component of treatment.

Upstate hosts mayoral address: Upstate welcomed hundreds of city leaders and residents to its campus as it hosted the 2020 State of the City Address by Syracuse Mayor Ben Walsh. Media provided live coverage event from Upstate's Academic Building.

Campus grows with longevity institute: With gold-painted shovels, Upstate broke ground on the Nappi Longevity Institute, a \$158 million project that will offer greater access to critical care and medical advancements in brain health for Onondaga County and the surrounding Central New York region. The Institute will feature five floors, totaling 209,615 square feet, with the option to add up to three floors if expansion is necessary. Funding for the project came from a \$70.6 million grant as part of the State Department of Health's Capital Restructuring Financing Program and Essential Health Care Provider Support Program, matching bonds from the state and a gift from Sam and Carol Nappi.

Upstate tests nicotine to improve Alzheimer's disease: The Memory Improvement Through Nicotine Dosing (MIND) study currently being conducted by researchers at Upstate Medical University's Center of Excellence for Alzheimer's Disease, is testing whether nicotine in patch form is effective in improving memory and functioning in adults diagnosed with MCI. In an earlier study, adults with MCI who were prescribed the nicotine patch for six months, had improved attention and memory, and there were no serious side effects or signs of nicotine withdrawal. These results were encouraging and justify this larger study, funded by the National Institute on Aging.

A million plus to research key health issues: An Upstate professor has been awarded a \$1.6 million four-year research project grant from the National Institutes of Health to

identify strategies to treat inflammation, obesity, diabetes and cardiovascular disorders. George G. Holz, PhD, says these disorders underlie a "metabolic syndrome," which affects 1 billion people around the world.

Research sheds new light on HIV replication process: When activated, CD4 T cells lead the body's immune system in fighting off infection. But not so with HIV, the virus that causes AIDS. HIV overtakes these activated CD4 T cells, disarming their ability to fight the invading infection. What's puzzling for scientists is why HIV prefers to replicate in these active CD4 T cells and not in resting CD4 T cells. This puzzlement has just been solved. In a just published paper in Cell Reports, Harry Taylor, PhD, assistant professor of microbiology and immunology at SUNY Upstate Medical University, offers this finding: "We have now discovered that only activated CD4 T cells have the required resources to fuel the intracellular steps necessary to support HIV replication factory lines at full throttle."

Keep them locked up: The Upstate New York Poison Center in partnership with Upstate University Hospital Department of Pharmacy with funding provided by the Advocates for Upstate and the Upstate Foundation have created a program to provide free medication lock boxes to some adult patients and children being discharged from the hospital as a means to protect children from unintentional drug poisonings

Upstate professor lands federal grant to continue kidney cancer research: The \$400,000 grant will support work by Mehdi Mollapour, PhD, vice chair for translational research for the department of urology, and his lab as it continues a decade-long research project into understanding kidney cancer biology and to develop novel therapeutic strategies to treat patients. Mollapour, professor of urology, molecular biology and biochemistry, is also the director of kidney cancer biology at Upstate.

COVID-19 News

There has been significant media coverage of all of Upstate's Covid-19 work, including the send-off of nurses to Stony Brook, Upstate experts working at the Javits Center and Upstate's Covid-19 research, including numerous clinical trials. Helping to highlight Upstate prominence in its Covid-19 response were two visits by Governor Cuomo to campus, where he held two of his daily Covid-19 briefing. Lt. Gov. Huchul has also visited Upstate. Each visit has helped highlight work being done here at Upstate

Infectious Disease Chief Stephen J. Thomas, MD, has been Upstate's lead expert on university preparations for Covid-19 talking to the press about all matters Covid-19. Since the Covid-19 outbreak began in China, he has been on local television several times a week, including national TV appearances, along with other Upstate health care professionals.

Below is a sampling of some of the Covid-19 -related stories that were placed on social media and covered by the press:

Upstate launches online coronavirus assessment tool

Upstate experts share advice on COVID-19 using Project ECHO; next session March 26

Upstate seeks healthy people exposed to COVID-19 to participate in national study

CNY Ronald McDonald House temporarily opens doors to front-line health care employees from Upstate University Hospital

Upstate's Outpatient Pharmacy offering free home delivery for COVID-19 patients to limit community exposure

Three from Upstate play crucial role in managing emergency COVID-19 hospital at Javits Center in New York City

Upstate University Hospital nurses to Stony Brook Hospital: "We're on our way."

Two area women are among the first to donate blood plasma in an emergency clinical trial to help treat severely ill patients battling COVID-19

Upstate students' effort helps homeless during pandemic

New COVID Transitions Clinic provides resources, daily telehealth calls with Upstate doctors for patients recovering at home

Upstate's Mammo Van to be used for mobile COVID-19 testing site

Upstate's Department of Public Health and Preventive Medicine mobilizes response team for behind-the-scenes COVID-19 mapping, support and planning

Students reach out to patients isolated by pandemic

Those with IDD more likely to die from COVID-19, says SUNY Upstate, SU study

PHILANTHROPY

THE UPSTATE FOUNDATION

Eileen Pezzi, MPA – *Vice President for Development*

Founded in 1976 as a 501(c)3 not-for-profit corporation, the Upstate Foundation is a public charity designed to receive and administer gifts and bequests exclusively for charitable purposes with a focus on (1) the provision of patient health care, (2) the education of health care providers, (3) scientific research, and (4) community health and well-being. The Upstate Foundation also is the primary vehicle for receiving and distributing philanthropic gifts for Upstate Medical University.

The Foundation has 24 full- and part-time staff members, who, with a 44-member board of directors, manage more than 1,000 funds; conduct multi-year, million-dollar endowment campaigns; capital campaigns; administer alumni associations for the Upstate colleges of Nursing and Health Professions; implement named giving and planned giving programs; run annual campaigns for Upstate University Hospital, Upstate Golisano Children's Hospital and the Upstate Cancer Center; and sponsor several major fundraising events, and many third-party events annually. In addition, the Foundation is home to the local chapter of the Children's Miracle Network Hospitals. The Foundation is largely self-supporting. Highlights for the past year include:

- **4th overall** in funds raised by SUNY-affiliated fundraising entities (2018-2019, excluding Cornell), **despite having a pool of alumni less than 11% the number of either the 1st or 2nd-highest SUNY campuses.**
- **Total Foundation assets = \$209 million (7/31/20)**

Grateful Patient & Family Program (GP&F) for Upstate's 2 hospitals and regional outpatient services

Total of \$570,787 raised through GP&F Program, exceeding goal of \$500,000.

- 135 physicians recruited for Physician Philanthropic Council, exceeding goal of 120.
- 128 healthcare providers and staff recruited for Upstate Philanthropic Council, exceeding goal of 125.

Golisano Center for Special Needs Campaign

\$6.4M campaign (2019-2022) to expand this valuable regional resource, which is an extension of our Golisano Children's Hospital. The new center (space and staff) will allow for an additional 563 evaluations per year.

- Tom Golisano made a leadership gift of \$3 million
- Silent phase of the campaign will end 12/31/20. \$4M has been raised to-date.
- Construction on the Center has begun
- Identified an outstanding campaign leadership team and 12 grateful families to support this important project.

Response to the COVID-19 Emergency

- To-date have raised over \$400,000
- The Upstate Foundation immediately provided \$10,000 to open the Support of Upstate Employees Fund which aids employees with unmet needs such as childcare, eldercare and food.
- Assisted the Office of Patient Experience with the fundraising and purchase of 66 iPads, along with additional donations, for patients who have limited contact with loved ones.
- Exceeded a \$50K challenge match offered by the SUNY Impact Foundation to raise emergency funds for students who have experienced temporary set-backs and need aid.
- Provided K-cup machines and coffee for all nursing units.
- Assisted staff with the cost to quarantine.

Comprehensive Planned Giving Program Implementation

- Expansion of the Legacy Advisory Committee to 21 members. Members are leading advisors in the community who provide referrals for legacy gifts
 - Advisory Committee meets twice a year
 - Write articles for the legacy giving newsletter
- Following up on results of 3 surveys, which provided leads for interest in legacy gifts as well as commitments made

Donor Advised Funds

- The Donor Advised Funds program was established in 2019
- Nine Donor Advised Funds have been established to-date

Scholarships

- Set up 2 full ride scholarships for the College of Medicine and 1 for the College of Nursing

Call In For Cancer

- Held the first Radiothon for the Upstate Cancer Center and have plans to repeat it this Fall

Upstate Foundation: Plans for 2020-2021 Academic Year

- Expand the Donor Advised Fund program which is the fastest growing area of philanthropy; there are few local options in our county.
- Implement the community phase of the Golisano Center for Special Needs campaign
- Support Sam Nappi's outreach to raise funding for the Upstate Nappi Longevity Center. Ground breaking ceremony took place this Spring.
- Implement the new branding campaign for the Upstate Foundation this Fall, with our new slogan: **Where your gift impacts the health of our entire region.**

SUMMARY AND LOOKING AHEAD

The 2019-2020 academic year has dramatically tested SUNY Upstate Medical University. We have proven our resilience, our capacity for innovative growth — even in the face of overwhelming challenges — and our vital importance to the SUNY system and to the State of New York.

With an annual operating budget of approximately \$1.8 billion, Upstate is the region's largest employer with approximately 10,100 employees and generates more than \$2.5 billion in economic impact for the State of New York. Despite net COVID-related losses totaling more than \$35 million through June 30, 2020, we are aggressively pursuing opportunities to augment revenue and grow.

Through our missions of Education, Research, Patient Care and Service, Upstate's many planned undertakings in the 2020-2021 school year will continue to support the intersecting elements of our existing strategic plan.

As we look ahead, we build upon the strides we have made this year:

- All of our academic programs are fully accredited;
- Research revenues and opportunities are growing;
- Our clinical enterprise is more integrated than ever;
- We have achieved markedly improved internal morale and relations with the community and regional SUNY schools; and so
- We are optimistic about the future!