



STATE OF CONNECTICUT
DEPARTMENT OF PUBLIC HEALTH
Office of Health Care Access



TABLE OF THE RECORD

APPLICANT: Greater Waterbury Health System, Inc. and Vanguard Health Systems, Inc.

DOCKET NUMBER: OAG 13-486-01 and OHCA 13-31838-486

PUBLIC HEARING: October 15, 2014 at 1:00 p.m.

PLACE: Courtyard by Marriott Waterbury
Grand Ballroom
63 Grand Street
Waterbury, CT 06702

| EXHIBIT | DESCRIPTION |
|----------------|---|
| A | Letter from Waterbury Health System, Inc. and Vanguard Health Systems, Inc. (“Applicants”) dated January 22, 2013 enclosing CON Determination forms proposing the creation of a joint venture to purchase the assets of Greater Waterbury Health Network, Inc, received by the Office of Health Care Access (“OHCA”) on January 22, 2013. (7 pages) |
| B | Office of the Attorney General (OAG) and Office of Health Care Access’ (OHCA) letter to the Applicants determining that approval is required pursuant to Conn. Gen. Stat. §19a-486 et seq. (14 pages) |
| C | Designation memo dated May 23, 2013 designating Steven Lazarus to sign the completeness letter in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| D | Letter from Greater Waterbury Health System, Inc. and Vanguard Health Systems, Inc. (“Applicants”) dated May 3, 2013, enclosing the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, proposing the creation of a joint venture to purchase the assets of Greater Waterbury Health Network, Inc., received by the Office of Health Care Access (“OHCA”) on May 3, 2013. (960 pages) |
| E | OHCA’s letter to the Applicants dated May 23, 2013, requesting additional information and/or clarification in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (13 pages) |

An Equal Opportunity Provider

(If you require aid/accommodation to participate fully and fairly, contact us either by phone, fax or email)

410 Capitol Ave., MS#13HCA, P.O.Box 340308, Hartford, CT 06134-0308
Telephone: (860) 418-7001 Fax: (860) 418-7053 Email: OHCA@ct.gov

| | |
|----------|---|
| F | Applicants' responses to OHCA's letter of May 23, 2013, dated June 11, 2013, in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on Jun 11, 2013. (261 pages) |
| G | Letter from the Applicants to OAG and OHCA dated July 1, 2013 confirming that the pending Tenet Transaction will not alter the terms of the transaction described in the application. (1 page) |
| H | OHCA's and Attorney General's Office ("AG") letter to the Applicants dated July 1, 2013 deeming the application complete as of June 11, 2013 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| I | OHCA's request for legal notification in the <i>Waterbury Republican</i> regarding receipt of the proposal in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, dated July 3, 2013. (2 pages) |
| J | Designation letter dated August 5, 2013 designating Kevin Hansted as hearing officer for OHCA in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| K | Letter from Tom Swan and Ellen Andrews to Commissioner Mullen dated July 26, 2013 requesting reconsideration of determination in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on August 6, 2013. (1 page) |
| L | OHCA's letter dated August 7, 2013 responding to Tom Swan and Ellen Andrews' letter dated July 26, 2013 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| M | Office of the Attorney General (OAG) letter dated July 29, 2013 responding to Tom Swan and Ellen Andrews' letter dated July 26, 2013 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on August 7, 2013. (3 pages) |
| N | Letter from Carmody and Torrance dated August 9, 2013 noticing their appearance on behalf of the Applicants in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on August 15, 2013. (2 pages) |
| O | Letter of support from Brenda Marks Fuller dated August 25, 2013 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |

| | |
|----------|--|
| P | Petition of Massachusetts Nurses Association dated August 26, 2013, requesting intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on August 29, 2013. (1 page) |
| Q | Letter from the Carmody and Torrance on behalf of the Applicants dated September 24, 2013 requesting tolling of the review period in order to submit supplemental information in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| R | AG's and OHCA's response to Applicants' letter dated September 24, 2013 agreeing to extend the review period dated September 24, 2013 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| S | Letter from OAG and OHCA to the Applicants dated October 18, 2014 correcting a publicly reported statement in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| T | Email from the Applicants dated November 8, 2013 requesting an extension of the 120 day review period in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) Hardcopy received on November 12, 2013. |
| U | OAG and OHCA letter to the Applicants dated November 13, 2013 approving the extension of the review period in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| V | Email from the Applicants dated February 5, 2014 requesting an additional time extension for the review period in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on February 5, 2014. (2 pages) Hardcopy received by OHCA on February 8, 2014. |
| W | OAG and OHCA letter to the Applicants dated February 7, 2014 approving the extension of the review period in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| X | Letter from the Applicants dated April 25, 2014 regarding timeline in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on April 25, 2014. (2 pages) |
| Y | OHCA's letter dated April 29, 2014 to the Applicants responding to their letter of April 25, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |

| | |
|-----------|---|
| Z | Applicants' letter to OAG and OHCA dated June 6, 2014 submitting first supplement in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on June 6, 2014. (5 pages) |
| AA | Letter from Pullman & Comley, LLC to OAG dated June 12, 2014 noticing their appearance on behalf of Vanguard Health System, Inc. in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on June 12, 2014. (1 page) |
| BB | OAG and OHCA's letter to the Applicants dated June 12, 2014, requesting additional information and/or clarification in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (5 pages) |
| CC | Applicants' responses to OAG and OHCA's letter of June 12, 2014, dated June 27, 2014, in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on June 27, 2014. (619 pages) |
| DD | Letter from CHCA dated July 2, 2014 expressing their opposition in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on July 3, 2014. (1 page) |
| EE | Petition of Connecticut Health Care Associates (CHCA) dated July 3, 2014, requesting intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on July 7, 2014. (3 pages) |
| FF | Letter from CHCA dated July 9, 2014 re-confirming their opposition in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on July 10, 2014. (3 pages) |
| GG | OAG letter to the Applicants dated July 28, 2014 enclosing the first set of interrogatories and requests for production in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (8 pages) |
| HH | OHCA's letter to the Applicants dated July 29, 2014, requesting additional information and/or clarification in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (7 pages) |
| II | Email from the Applicants dated August 1, 2014 regarding the financial condition of Waterbury Hospital in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on August 1, 2014. (2 pages) |

| | |
|-----------|--|
| JJ | Applicants' response to OHCA's letter of July 29, 2014 dated August 18, 2014, in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on August 19, 2014. (76 pages) |
| KK | Applicants' response to OAG's letter of July 28, 2014 dated August 18, 2014, in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (31 pages) |
| LL | OAG's letter to the Applicants dated August 19, 2014 regarding schedules for completion of hospital conversion in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (5 pages) |
| MM | OAG and OHCA's response to CHCA letters of July 2, 2014 and July 9, 2014 dated August 25, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| NN | Letter from the Applicants to OAG and OHCA dated August 25, 2014 submitting revisions to their August 18, 2014 responses in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on August 26, 2014.(9 pages) |
| OO | OAG's letter to the Applicants dated August 29, 2014 enclosing second set of interrogatories and requests for production in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (4 pages) |
| PP | Applicants' response to OAG's letter of August 29, 2014 dated September 5, 2014, in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on September 5, 2014.(20 pages) |
| QQ | Letter from the Applicants dated September 5, 2014 revising their correspondence dated August 25, 2014 regarding OAG interrogatories in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on September 5, 2014. (7 pages) |
| RR | Petition of Massachusetts Nurses Association (MNA) dated September 5, 2014, requesting intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on July 7, 2014. (3 pages) |

| | |
|-----------|---|
| SS | Applicants' letter dated September 5, 2014, revising their correspondence dated August 25, 2014 regarding OHCA supplemental questions in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on September 5, 2014. (6 pages) |
| TT | OAG and OHCA's Notice to the Applicants of the public hearing scheduled for October 15, 2014 and requesting prefile by October 9, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486 dated September 10, 2014. |
| UU | OHCA letter dated September 10, 2014 enclosing interrogatories in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (6 pages) |
| VV | Letter from CHCA to OAG dated September 16, 2014 regarding their continued interest in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| WW | Applicants' letter to OHCA dated September 23, 2014 objecting to request of Connecticut Health Care Associates for intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on September 23, 2014. (18 pages) Hardcopy received on September 26, 2014 |
| XX | Applicants' letter to OHCA dated September 23, 2014 objecting to request of Massachusetts Nurses Association for intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on September 23, 2014. (16 pages) Hardcopy received on September 26, 2014. |
| YY | CHCA letter to OHCA and OAG dated September 26, 2014 responding to the Applicants objection and reiterating the need for intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on September 26, 2014. (2 pages) |
| ZZ | OAG's Rulings on the Petitions of Connecticut Health Care Associates and Massachusetts Nurses Association to be granted intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, dated September 29, 2014. (4 pages) |

| | |
|------------|---|
| AAA | Letter of support from Frank A. Sherer, Jr. to OAG and OHCA dated September 30, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| BBB | OHCA's Rulings on the Petitions of Connecticut Health Care Associates and Massachusetts Nurses Association to be granted intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, dated September 30, 2014. (4 pages) |
| CCC | Letter of support to OHCA dated September 30, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on October 2, 2014 (2 pages) |
| DDD | Letter from Livingston, Adler, Pulda, Meiklejohn & Kelly, P.C. dated October 3, 2014 noticing their appearance on behalf of Connecticut Health Care Associates in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on October 3, 2014. (3 pages) hardcopy received on October 6, 2014 |
| EEE | OAG's letter to the Applicants dated October 3, 2014 enclosing third set of interrogatories and requests for production in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (7 pages) |
| FFF | Petition of the National Association for the Advancement of Colored People (NAACP) dated October 2, 2014, requesting legal status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on October 6, 2014. (7 pages) |
| GGG | Letter from the Massachusetts Nurses Association enclosing Prefile Testimony dated October 6, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on October 6, 2014. (4 pages) |
| HHH | Letter from the Applicants dated October 6, 2014 requesting a time extension for responding to interrogatories until October 7, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on October 6, 2014. (1 page) |
| III | Letter from Connecticut Health Care Associates enclosing Prefile Testimony dated October 6, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on October 6, 2014. (12 pages) |

| | |
|------------|---|
| JJJ | Letter from the Applicants to OHCA dated October 7, 2014 enclosing responses to OHCA's interrogatories dated September 10, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, received by OHCA on October 7, 2014. (215 pages) |
| KKK | Applicants' letter to OAG and OHCA dated October 7, 2014 regarding the request of National Association for the Advancement of Colored People for legal status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on October 7, 2014. (10 pages) |
| LLL | OHCA's letter to the Applicants dated October 7, 2014 granting time extension for filing responses to OHCA's interrogatories until 5:00 p.m. on October 7, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| MMM | OHCA's email to the Applicants dated October 8, 2014 noting that "page 14" was missing from the responses to OHCA's interrogatories received on October 7, 2014 in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| NNN | Applicants' letter dated October 9, 2014 enclosing "page 14" in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (1 page) |
| OOO | OHCA's letter to the Applicants dated October 8, 2014 enclosing rulings on the Applicants objection to request for status by Massachusetts Nurses Association and the Connecticut Health Care Associates in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (2 pages) |
| PPP | Email to Pullman & Comley, LLC dated October 8, 2014 enclosing OHCA's ruling on the Massachusetts Nurses Association and the Connecticut Health Care Associates request for Intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486. (4 pages) |
| QQQ | OHCA's Rulings on the Petition of National Association for the Advancement of Colored People to be granted intervenor status in the matter of the CON application under Docket Number: OAG 13-486-01 and OHCA 13-31838-486, dated October 8, 2014. (2 pages) |
| RRR | Letter from the Applicants enclosing Prefile Testimony dated October 9, 2014 in the matter of the CON application under Docket Number OAG 13-486-01 and OHCA 13-31838-486. Received by OHCA on October 9, 2014. (182 pages) |