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UConn  
2000

33

REPORT



University of  
Connecticut



Thanks in good measure to UCONN 2000, the University continues to attract scores of the state and nation's best and brightest students to Connecticut, most of whom live and work in the Nutmeg State after commencement.

**UConn 2000**

**REBUILDING, RENEWING AND ENHANCING  
THE UNIVERSITY OF CONNECTICUT**

**October 2011**

**The Thirty Third**  
in a series of reports to

Governor Dannel P. Malloy  
and the  
Connecticut General Assembly

UNIVERSITY OF CONNECTICUT

## **UCONN 2000: THE UPDATE**

This is the thirty third in a series of semi-annual reports to the Governor and the General Assembly pursuant to the provisions of Sections 10a-109 through 10a-109y of the Connecticut General Statutes, originally An Act to Enhance the Infrastructure of the University of Connecticut, now known as UCONN 2000. These reports have been issued each October and April since passage of UCONN 2000 on June 7, 1995. The law also requires a four-year progress report, which was filed on January 15, 1999, as well as two five-year performance reviews which were submitted January 15, 2006 and January 15, 2011.

## **UCONN 2000: PROGRAM IMPROVEMENT**

During this reporting period the requirements concerning UCONN 2000 contained in Public Act 06-134 continue to be implemented. The Construction Management Oversight Committee (CMOC) meets on a regular basis to review reports from the Office of Construction Assurance, who monitors project management, procurement policies and procedures and is headed by a full-time Construction Assurance Officer, who reports directly to the CMOC. CMOC also reviews the status of major projects and remaining code correction programs.

Per Public Act 06-134, the University has conducted annual independent audits of the UCONN 2000 program. The firm Marcum, formerly UHY, completed audits for the years 2005 to 2009 and did not identify any material weaknesses in the administration and related construction of the UCONN 2000 program.

The University employs building and life safety inspectors who review and sign off on all University construction plans and conduct field inspections to ensure that construction work meets all state building and life safety codes. The University inspectors work closely and effectively with the State Building Inspectors to ensure cooperative decision-making with respect to determining whether a building project involves a “threshold” or “non-threshold” building.

## **UCONN 2000: STATUS REPORT**

### **MASTER PLANNING, DESIGN AND MANAGEMENT**

The University’s Master Plan provides a template for the development of the university’s physical plant and infrastructure. The 1998 Storrs Campus Master Plan was updated in 2006 to reflect the extensive physical changes on all the campuses resulting from the UCONN 2000 and 21st Century UConn initiatives. The Master Plan update was necessary to assist the University in prioritizing and managing its capital resources. The Master Plan updates data of the physical plant, assesses current and projected space needs relative to available facilities; assesses the overall parking and transportation system including its financial and operational aspects. The planning effort includes the Regional campuses. It should be noted that the Master Plan will be modified throughout the project planning, design and construction process of UCONN 2000. As part of the Technology Park initiative, an update to the North Campus Master Plan will be included to delineate various site, vehicular and pedestrian pathways, utility corridors, and landscape improvements to facilitate the future development of that part of campus.

The Board of Trustees, at its June 23, 2011 meeting, approved the FY12 Capital Budget totaling \$157,200,000 as shown in Attachment A. This amount reflects \$82,500,000 for Storrs and the Regional Campuses and \$74,700,000 for the University of Connecticut Health Center.

In May of 2011, Governor Dannel P. Malloy introduced Bioscience Connecticut, a bold \$864 million plan to reinvigorate all three areas of the Health Center’s mission – research, education and clinical care – and at the same time, use the Health Center as a cornerstone for reinventing Connecticut’s economy by generating long term sustainable economic growth based on bioscience research, innovation, entrepreneurship and commercialization. The plan was approved by the General Assembly in June of 2011. Of note, the project also calls for short-term economic activity through a surge of construction-related jobs that will expand and renovate the Health Center’s clinical and research infrastructure.

Bioscience Connecticut is a multifaceted plan that will strengthen our state's position as a national and global center for bioscience innovation and improve access to quality health care for Connecticut citizens, while simultaneously securing the UConn Health Center's future as a top tier academic medical center.

Construction components of Bioscience Connecticut include:

- Renovating and modernizing, for the first time in its history, the Health Center's original research facilities on the Farmington campus. This will include expanding space for start-up bioscience businesses.
- Constructing a new patient care tower
- Renovating the John Dempsey Hospital
- Constructing, with private financing, a new ambulatory care center on the lower campus

Programmatic components of Bioscience Connecticut include:

- Recruiting 100 new faculty, including clinician-scientists, basic scientists and clinicians to increase healthcare access and double federal and industry research awards
- Doubling existing business incubator space
- Expanding the School of Medicine and School of Dental Medicine class sizes by 30 percent
- Implementing a loan forgiveness program for UConn medical and dental school graduates who pursue careers in primary care in Connecticut

Partnering with local hospitals and health care organizations to address pressing health care needs. The General Assembly, led by the efforts of Senate President Pro Tempore Donald Williams, also passed legislation which was embraced by Governor Malloy that provided \$172.5 million in funding to create a Technology Park on the Storrs campus. The new Tech Park, like Bioscience Connecticut, will be a critical component of Connecticut's plan to stimulate long-term economic growth by supporting innovation, new technologies and the creation of new companies and high-paying, sustainable jobs. Twenty-first century tech park models emphasize invention, incubation and entrepreneurship. UConn's Tech Park will hit the mark by promoting academic and industrial partnerships and by providing physical and intellectual capacity to foster discovery.

The following is a brief description of the named projects included in the FY12 Capital Budget or previous budgets, which are currently in planning, design or construction.

## **Storrs & Regional Campuses**

### ***Arjona and Monteith (New Classroom Buildings)***

These two original classroom buildings, are perhaps the most visible on campus, and were constructed in 1959 with each having 68,600 square feet of space on four levels. Connected to the Monteith building is the 4,000 square foot Schenker Lecture Hall. These two buildings are the most heavily used classroom facilities on the Storrs campus. They also contain offices for many of the departments within the College of Liberal Arts and Sciences. It was anticipated within the UCONN 2000 program that these buildings would be renovated; however, the University could not take critically important existing classroom space off-line. The current project includes the construction of two new classroom and departmental office buildings.

The West Building, on the site of the former Pharmacy Building, consisting primarily of classrooms and auditoria, was completed in summer 2011 and opened for the fall academic session. The East building, on the site of the former UConn Co-op, will contain departmental offices and classrooms. Construction began in September 2010 and all underground utilities and structural steel installations are complete. Internal systems and the exterior envelope are in process with an anticipated completion date of summer 2012.

### ***Avery Point Campus Undergraduate and Library Building***

During Phase I of the UCONN 2000 program, the need for research space was addressed with the new Marine Sciences building, as well as construction of a new facility for Project Oceanology. With the repairs to the Branford House, the needs for administrative space were met when new infrastructure was installed. However, the remaining significant need is for undergraduate program space, currently housed in the WWII era former Coast Guard facilities. This project will support new or renovated undergraduate co-curricular space as well as plan the demolition of certain of the Coast Guard R&D facilities. The architectural/engineering team completed assessment and programming and are working on schematic design drawings and construction specifications. Other projects include replacement of the existing roof and repair of exterior masonry of the library, as well as reconfiguration of the interior of both the library and undergraduate building. Mechanical system upgrades of piping and equipment and demolition of building 58 are currently underway.

### ***Benton State Art Museum Addition***

This project built a 6,500 square foot gallery space with support spaces for a café, museum shop and space for general orientation which was completed in January 2004. The original museum was constructed in 1920 and ongoing improvements have included roof replacement, parapet and exterior wall re-pointing, reconstruction of deteriorated entry walls and foundation systems to prevent water infiltration. Recently, the University replaced the mechanical systems and installed a new sprinkler system in the original museum allowing the museum to apply for reaccreditation.



Building 3, part of the  
Biobehavioral Complex.

### ***Biobehavioral Complex Replacement***

The Biobehavioral Sciences Complex was constructed in the Horsebarn Hill quadrant of campus between 1965 and 1974. This complex is primarily comprised of prefabricated metal buildings that have been used as research laboratories. In 1994, an annex was constructed adjacent to the 1974 Biobehavioral Science Building #4 providing an additional 23,300 gross square feet of research space. The original project plan involved construction of a centralized facility and, upon completion, demolition of the old buildings. Based on evaluation of the complex, renovation now appears to be a more cost-effective approach than replacement. The current plan provides funding for building envelope repairs, mechanical system improvements, and interior room modifications which are in design. The University will renovate portions of the complex to accommodate the Center for Environmental Science and Engineering (CESE) laboratory, office, and research collaboration spaces, as well as temporary offices for programs displaced by construction and renovation projects elsewhere on campus. Construction is anticipated to start in fall 2011.

### ***Bishop Renovation***

The Merlin D. Bishop Center was completed in 1971 and houses the Center for Continuing Studies. This 36,000 square foot facility has offices and meeting rooms which are among the most heavily used on campus. On the roof is a brick penthouse that houses the boiler room for servicing the facility.

Natural gas is piped to the penthouse supplying the boilers. Electricity is supplied to an electric vault on the ground floor. The vault is accessed through the main electric room on the ground floor. Electricity is then fed upward to electric panels in electric rooms on each floor and the boiler room. Primary water service also comes in through the ground floor and is accessed through the janitor's closet on the ground floor. A study of the mechanical systems and elevators was completed and various options have been analyzed in order to start design drawings.



### ***Deferred Maintenance/Code/ADA Renovation Lump Sum***

The 2007 amendments to the law define the “deferred maintenance” portion of the project name as “repair of an infrastructure or structure that was not maintained, repaired or replaced in the usual course of maintenance and repair.” In general, projects fall into one or more of the following categories:

- Safety, code and ADA required improvements
- Roof and exterior repairs
- Building mechanical system improvements
- Utilities repairs and upgrades
- General building renovations
- Roads, walk and grounds
- Environmental Remediation
- Lump sum funding to supplement named project budgets to cover specified renovation/code activities

The Phase III project budget now stands at \$247.7 million.

### ***Engineering Building***

The School of Engineering is located in several buildings, five on the main Storrs campus and four at the Depot Campus. The three oldest and least renovated buildings on the main campus were built between 1959 and 1987 and can no longer support emerging interdisciplinary engineering programs such as bioengineering and nanotechnology. A planning study was prepared to identify program components for a new building. Site evaluation and building configuration studies and utility assessment activities are underway. Deferred maintenance projects including code upgrades, mechanical improvements and interior renovations are ongoing in all engineering buildings.

### ***Equipment, Library Collections & Telecommunications***

The enhancement of the University's infrastructure includes its instructional and scientific equipment. The equipment replacement category permits the University to replace outmoded items with state of the art laboratory devices and computers. The funding encompasses seven major categories: management information systems, computers, research equipment, instructional equipment, furnishings, operational and public safety support and library materials. Library materials are no longer purchased with UCONN 2000 funds; this expense is part of the operating budget. The total Phase III Equipment, Library Collections & Telecommunications budget is now projected at \$82.6 million.

### ***Fine Arts Phase II***

Numerous planning and design efforts since 1991 have evaluated the needs of the School of Fine Arts. In light of the changes in these programs, the Storrs Center initiative, and the dispersal of the School of Fine Arts (SFA) facilities throughout the Storrs and Depot campuses since 1991, a revised Master Plan has assessed the condition of the current facilities, updated the program requirements of the School, and made draft recommendations to guide the use of UCONN 2000 funds for the School. The final Master Plan recommends a multi-phased approach to the expansion and renovation of the entire SFA complex. Recent improvements include continued code compliance and upgrades to the ventilation system in the photography labs. The University is soliciting proposals from multi-disciplinary teams to develop a phased program of renovation activities including mechanical, electrical, and plumbing systems, building envelope repairs, window replacement, acoustical and ADA improvements.

### ***Floriculture Greenhouse***

This facility is located on Route 195, south of the Towers Dormitories. Constructed in 1953, it contains 23,750 square feet of headhouse and greenhouse space. The headhouse has both classroom lab space and support space for the greenhouse. The original materials used to construct this facility require a large amount of annual maintenance given the significant impact of a greenhouse environment. Construction began in late summer 2011 to renovate the headhouse, provide updated mechanical infrastructure, resolve outstanding ADA and code issues, and increase curriculum support spaces. A new research greenhouse will provide a critically needed sponsored research and curriculum support facility.



The Floriculture Greenhouse

### ***Gant Building Renovations***

This complex, which includes the Institute of Materials Science, Physics and Math buildings, was completed in the early 1970's. The complex has a total of 238,000 square feet of space with offices, research labs, classrooms and computer facilities. The original design of the building was so flawed that the past 30 years have been an exercise in addressing those shortcomings. A major renovation of the space is required to address the physical deterioration caused by design flaws, to update the facilities and to meet changed program requirements. This would include repair of the building envelope (roofs, windows and masonry), improvement of fire alarm and fire suppression systems, and upgrade to mechanical, electrical and plumbing systems. An architecture and engineering team has been selected and the pre-planning work is underway. A new fire alarm was installed throughout the complex as well as roof replacement of the Math Science wing.



### ***Grad Dorm Renovations (Connecticut Commons)***

This project was part of the University's accelerated plan for the installation of sprinklers in residence halls as approved by the Board of Trustees in 2001. At the same time this work was undertaken, other repairs such as roof replacement, façade repairs, and interior improvements were completed by August 2003. Recently, the university designated this residential complex an important component of its Honor's Program and completed an upgrade to the facility to accommodate undergraduate students by creating suites, converting the older central bathrooms and showers to suite type bathrooms and installing common rooms. This work was completed in Summer 2011.

### ***Intramural, Recreational and Intercollegiate Facilities (with CPIA and Fields)***

This project will construct facilities to meet a broad range of activities, including scholastic support to student athletes, indoor practice space for intercollegiate and intramural team sports and individual recreational activity, and outdoor athletic and recreational fields (soccer, football and softball). Recently the university undertook a planning study to identify recreation and club sports programmatic needs for a new recreation and wellness facility, evaluate site options and delineate construction and operating costs associated with a new facility.

### ***Koons Hall Renovation/Addition***

Benjamin Franklin Koons Hall was constructed in 1915 and houses the Allied Health programs. It is 28,600 square feet on five levels with classrooms, offices and labs. Within the past ten years, the following construction activities were undertaken: roof repairs, masonry repointing and installation of an elevator. The building is in need of general renovation work including HVAC, lighting and utility upgrades, window and door replacements, and new interior finishes. A construction project to replace the windows and repair the exterior masonry has commenced and will be completed in 2012.



### ***Mansfield Training School Improvements, Phases II & III***

This project, in its two phases, will stabilize the facilities that comprise the former Mansfield Training School. Funding to date has been used for renovations in the Longley building (for Engineering research functions and Technology Incubator Program), the Thompson building (for Fine Arts functions), Merritt Hall (for research incubator technology programs and other administrative activities), a campus-wide high voltage electrical system, mechanical and electrical system improvements to various cottages, roof repairs and the construction of new student recreation fields. The university is currently designing improvements to Merritt Hall to accommodate administrative and academic programs currently lacking in sufficient space to meet their needs. Additional renovations, electrical improvements and demolition of uninhabitable buildings will be included in later years of the program.

### ***North Hillside Road Completion***

This project provides for the extension of Hillside Road by 5,300 lineal feet to Route 44. The project also provides for related utilities including gas, electrical, water, sewer and telecommunications to the new extension. The project will enhance access to the Storrs campus directly from Route 44 and provide sorely needed relief from traffic congestion on Route 195. Additionally, both the road and accompanying utilities will permit future development of this important area. The North Campus is envisioned as the primary area of expansion for the main campus, permitting new university buildings, residential capacity, and public/private partnerships such as incubator space including the Innovation Partnership Building which is the first building of the UConn Technology Park and other initiatives. The Town of Mansfield is supportive of the road project. UCONN 2000 funds will be augmented by \$6.1 million in federal funds granted to the University for this project. This project is expected to move forward when the University has obtained the necessary environmental permits for the project.

### ***Psychology Building Renovation/Addition***

The Weston A. Bousfield Psychology Building contains 87,000 square feet and was constructed in 1974. Its three levels contain offices, classrooms, research laboratories and animal care facilities. Previously in the UCONN 2000 program, the animal care facilities were renovated and roofs and plazas re-built. The programs of the Psychology Department are in increasingly high demand with expanded enrollment and rapidly increasing research activity. An addition and selected renovations to the building are essential. The new addition will provide improved laboratories for various clinical and research programs and other improvements include new sprinklers, new roof, and repair of leaking concrete walls as well as electrical and acoustical upgrades. A team of architects and engineers has nearly completed construction drawings. Selection of the Construction Manager at Risk has been completed and construction is anticipated to start in spring 2012.

### ***Residential Life Facilities***

This named project represents the overarching authorization to undertake activities to provide housing and dining facilities for the University's students. Although the quantity and the diversity of campus living arrangements were expanded under the first two phases of UCONN 2000, much remains to be done. Some renovations of the older dormitories, with code improvements and sprinkler installations, were accomplished. However, a number of the older facilities still await renovation such as the West Campus complex, which has remained essentially untouched (except for sprinkler/safety improvements) pending a final residential facility plan. This project provides funds for renovation and construction activity as deemed appropriate by the Board of Trustees. Multiple projects are underway or completed for the installation of sprinkler systems, replacement of elevators, as well as windows and roofs in various residential facilities.

### ***Storrs Hall Addition***

The School of Nursing is housed in the 35,000 square foot Storrs Hall completed in circa 1908 and a recently demolished 4,000 square foot modular building. Earlier in the UCONN 2000 program, Storrs Hall underwent some renovation. This project provides for an addition to Storrs Hall to accommodate offices, classrooms and clinical simulation laboratories, as well as building envelope repairs and renovations for faculty offices in Storrs Hall. Construction renovations to the existing building were completed in August 2011. The construction of the addition is in progress with underground infrastructure complete and foundations and footings in process. The addition is anticipated to be complete in 2012.



### ***Student Union Quad***

This project includes the phased planning, design and construction of landscaped walks and other improvements for the large grassy area behind the Student Union including the area previously occupied by the old School of Pharmacy buildings which were demolished during the winter of 2006. Phase I is complete. The construction of a new terrace behind the Student Union to replace the original one displaced by the expansion of the Student Union, a new ADA compliant sidewalk to Glenbrook Road and other site improvements were completed in summer 2011.

### ***Technology Quadrant Phase III***

Public Act 11-57, Section 92 provides funding in the amount of \$172,500,000 for the UConn Technology Park project, and allows this project to be managed through the authority of the UCONN 2000 Program. This project provides for the development of the first building in a technology park located along the North Hillside Road Extension currently in design. The initial facility will consist of a 125,000 square foot Innovation Partnership Building that will house world class equipment and offer shared laboratories for use by industry scientists and business entrepreneurs as they work side-by-side with the university's research faculty. The initial building will be completed by 2015.

Other works anticipated in this project are

development of underground utilities and an increase in the existing water supply for the University and the Town of Mansfield. An environmental assessment for the new water supply, as well as selection of an Architect and Construction Manager at Risk are underway for the first building project.

### ***Torrey Renovation Completion & Biology Expansion***

This project is a facility replacement for the programs in the George Safford Torrey Life Sciences Building. It will include new research and teaching laboratories, classrooms and offices for various biology programs. Due to ongoing planning efforts, the project budget has been revised to reflect program needs for other new buildings; however, due to a lack of funding, planning will analyze the building's potential for renovation and a modest research addition. Renovation to portion of the first floor of Torrey began in spring 2011 and is now complete.

### ***Torrington Campus Improvements***

The Torrington Campus Academic Building was constructed in 1965. It has 37,000 square feet of classrooms, teaching labs, library, office and cafeteria space. This project will support renovation, including window and door replacement, exterior work (roof, masonry and drainage), and upgrades to systems and interior finishes. The project includes a partial roof replacement and repair of the existing built-up roof system, as well as complete replacement of the auditorium and library roofs and miscellaneous repairs to existing flashings and drains. The project also includes replacement and repair of existing masonry walls at the upper auditorium, library and chimney. Additional renovation activities are scheduled for later in the UCONN 2000 program.

### ***West Hartford Campus Renovations/Improvements***

The majority of the funds for this project will be used to support major renovations/additions in keeping with the Master Plan for the West Hartford campus. The major buildings on the West Hartford campus are: Library Building (67,700 square feet of space), School of Social Work (34,000 square feet of space) and the Undergraduate Building (67,400 square feet of space). These buildings were constructed in 1964, 1968 and 1971 respectively. Virtually no renovation or expansion has taken place in the intervening decades. In order for the buildings to meet their functional needs for the twenty-first century renovations/improvements are needed on all buildings. The renovations are being phased over several years. Roof replacement of the Library and Undergraduate Buildings; a new chemistry laboratory; sidewalk/parking/ADA upgrades; and the School of Social Work's exterior upgrades are complete. A preliminary study of the HVAC systems is underway. Other design projects include boiler replacement in the Library Building, campus wide electrical upgrades, renovation of the Student Union lounge and offices, and road replacement and repair.

### ***Young Building Renovation/Addition***

This building was constructed in 1953 and has 71,937 square feet of office, classroom and lab spaces. The occupant of the building is the College of Agriculture and Natural Resources. Due to its lab needs and generally poor condition of all its systems, this building was slated for a full renovation and an addition should space needs require. The project scope of the renovation consists of window replacement; masonry repointing; restroom renovations; and mechanical system upgrades (including laboratory ventilation). An architecture and engineering team is developing design and construction drawings. A Construction Manager at Risk has been selected and construction planning is underway.

## **UConn Health Center (UCHC)**

### ***UCHC New Construction and Renovation (Design & Planning)***

This project will construct a new 169 patient bed tower as an addition to the existing John Dempsey Hospital (JDH). The addition will include 10-12 new operating rooms and an expanded Emergency Department. The renovation work will relocate the Clinical Lab and the Clinical Pharmacy spaces and will replace or refurbish the mechanical and electrical infrastructure for the much of the existing JDH space.

The project's scope is expanded as part of the Bioscience Connecticut initiative to include 46,000 gross square footage (gsf) of medical education space and 26,000 gsf of clinical support space. The medical education space will support the planned 30% increase in dental and medical student class sizes. The clinical support space will allow medical support services to be combined into one location.

The existing JDH building lacks the capacity to accommodate evolving standards of care, new technologies and patient/provider expectations. Since construction completion in 1972, JDH's physical plant infrastructure, including mechanical, electrical, plumbing, HVAC and fire alarm systems and telecommunication cabling, has never been substantially renovated. The addition and renovation will provide a new state of the art platform, including robust information technology systems and new essential medical equipment, for the delivery of healthcare and the education of the State's medical and dental students.

The architect joint venture firm Stephan Bradley Architects (SBA)/HKS submitted schematic design drawings to UCHC on August 22, 2011. The Construction Manager (CM) selection is complete and Turner Construction is under contract to provide the CM services. The design development phase will begin in November 2011.

### ***CLAC Renovation***

This project entails renovations to the building housing the Center for Laboratory Animal Care. The 59,000 square foot facility was built in 1972. The focus of the renovation work for the facility will be the replacement of the aged mechanical systems and lab casework. The planning study for the Health Center's, Center for Laboratory Animal Care (CLAC), renovations is complete. The schematic design phase of the project is complete and design development is underway. The full design is anticipated to be complete in Spring 2012. This project's construction is now deferred until 2015 to allow the UCHC New Construction and Renovation project to proceed.

### ***Deferred Maintenance/Code/ADA Renovation Lump Sum***

The 2007 amendments to the law define the “deferred maintenance” part of the project name as “repair of an infrastructure or structure that was not maintained, repaired or replaced in the usual course of maintenance and repair.” In general, projects fall into one or more of the following categories:

- Roof and exterior repairs
- Safety, code and ADA required improvements
- Building mechanical system improvements
- Utilities repair and upgrades
- Minor renovations
- Roads, walks and grounds improvements

The fourteen-year project total is \$45.4 million.

The re-roofing the Academic Building (Building A), was completed on schedule in late August 2011. Work to replace the main building’s chiller plant will begin in October 2011. Design for multiple building fire alarm system upgrades are proceeding and work will begin in 2012.

### ***Dental School Renovation***

The School of Dental Medicine has facilities in the “C”, “L” and “A” Buildings totaling 103,118 square feet. Most of these areas remain the same as when they were originally constructed in 1975 and are in need of major renovations to bring the facilities in line with current code and accreditation standards. The renovations will be accomplished in phases and will be guided by a detailed planning study for the School of Dental Medicine.

Construction for the first phase of this project, the Pre-Clinical Teaching Lab renovations, is complete. The project relocated and expanded the teaching space and incorporated a teaching simulation center into the Dental School’s teaching labs.

Planning for the next phase of the project will begin in late 2011. The project will renovate approximately 3,000 square feet of existing Dental School space in the Main Building. The renovated space, adjacent to the Dental Clinical Research Center, will meet the Dental student’s need for a 24/7 open-access support area during their clinical practicum (DMD Year 3 and Year 4). A similar facility existed and was termed the “Random Access Lab/ Student Home Base”. This function was displaced by the Phase I work.

### ***Equipment, Library Collections and Telecommunications***

These funds support the Health Center’s equipment, library collections and telecommunications infrastructure. More specifically, the project line covers computers, management information systems, research equipment, instructional equipment, furnishings, and operational and public safety support and library materials. Outmoded items must be replaced with equipment that is necessary to support research and instructional activities, maintain building compliance, conserve energy and provide a safe environment for the students, staff, and those who use Health Center services. The fourteen-year project total is \$63.6 million.

### ***Library/Student Computer Center Renovation***

This project focused on major renovations to the Lyman Maynard Stowe Library. The library service areas were reorganized and consolidated, new computer learning and resource areas were added and the student 24 hour study rooms were expanded. The renovations to the book stack areas were also included as part of the project and with the exception of one final book stack area, the construction is complete (completed in 2008) and the spaces are in use by the students.

The Student Center component of the project will address student life spaces such as a fitness center, student lounge, and student services center. Design work is not scheduled until 2015.

### ***Main Building Renovation***

The Health Center's main building includes access areas used by the general public as well as research, academic and clinical space. The focus of this renovation is the building's research facility, major building systems and public areas. The facility consists of seven floors, which house over 200 research labs and support space, and four floors of mixed use that include classrooms, student support spaces, operations support and mechanical spaces. Over the life of the building, no substantial renovations or upgrades have been undertaken.

An early phase of this project, the Clinical Skills Renovation, was completed in December 2007. This project renovated a portion of the Main Building to allow for the relocation and expansion of the Clinical Skills teaching program. The expanded program includes the use of a life-size programmable mannequin with a computerized graphical user interface used to teach clinical and decision making skills during realistic patient care scenarios.

The next phase of the Main Building renovation focuses on the Health Center's largest research facility, the "L" (LAB) building, which houses over 200,000 square feet of research labs and support space. The goal of the project is the phased replacement of the building heating and air conditioning, electrical, and plumbing systems and renovations to the lab spaces across seven floors of the building.

This project's scope is expanded as part of the Bioscience Connecticut initiative. The original scope of work for the renovation included renovation to approximately 50% of space on floors 1-7 in the L building. The Bioscience Connecticut initiative expands the scope to renovate all of the research space in the building and calls for 28,000 gsf of space dedicated to research incubator labs. The renovations will be completed in 3-6 phases over several years. The first phase of the work is scheduled for Fall 2012.

### **UCONN 2000: SET-ASIDE CONTRACTOR SUMMARY**

Public Act 99-241 called for, among other things, information regarding use of Connecticut-owned businesses on UCONN 2000 program projects, including those owned by women and minorities ("set-aside" contractors). Since Fiscal Year 1996, construction and related contracts for the UCONN 2000 program totaled \$1.58 billion from all fund sources; \$1.38 billion is strictly UCONN 2000 funds. As of October 2011, Connecticut businesses have accounted for \$1.24 billion of the total contracted dollars with "set-aside" general contractors and subcontractors accounting for \$347.2 million. Overall, small business participation has amounted to \$193.4 million, minority business participation has amounted to \$44.4 million, and women-owned business participation has amounted to \$102.6 million.

### **UCONN 2000: FINANCE**

Pursuant to Section 10a-109x of the Connecticut General Statutes, the semi-annual report to the General Assembly is to provide, among other things, information on the number of projects and securities authorized, approved and issued; the payment of debt service requirements, and the payment of principal and interest on the UCONN 2000 securities; and the amount of investment earnings. This section provides that information.

During 2011 and 2010, the following legislation was passed to design and build a new John Dempsey Hospital and renovate facilities at the UConn Health Center Campus in Farmington to create a landmark health care partnership throughout the region, and stimulate the State's economic growth. During July 2011, the Governor signed Public Act 11-75, "An Act Concerning the University of Connecticut Health Center", which increased the statutory authorizations for the UCONN 2000 bonds secured by the State's debt service commitment by \$262,900,000 for a total of \$2,731,900,000; changed certain fiscal year bond authorizations; eliminated a prior provision relating to a hundred million dollar contribution of federal, private or other non-state money; and made other changes and provided for other funding. Previously in 2010, PA 10-4, "An Act Establishing the University of Connecticut Health Network and the Connecticut Bioscience Initiative" was enacted, which reallocated the FY10 bond authorization of \$140.5 million over the remaining years of the UCONN 2000 program, reallocated \$25 million from UCHC projects for the design of a new hospital bed tower, provided \$207 million in GO-DSC bond authorizations for the construction of the new tower, and extended the UCONN 2000 program until FY18. The initiative is expected to

secure the State's position as a national leader in bioscience research and help jumpstart the economy by generating jobs and long-term growth. Bioscience Connecticut will allow the Health Center to increase its capabilities for bioscience research, expand its small business incubator facilities, add more scientists, and increase medical and dental school enrollment by 30 percent to meet future workforce needs.

Additionally on August 25, 2011, at a ceremony on the Storrs Campus, Gov. Dannel P. Malloy signed Public Act 11-57 calling for creation of a world-class Technology Park on the Storrs Campus to serve as a cornerstone for a new Connecticut research triangle. The Technology Park is expected to generate hundreds of new jobs in Connecticut, encourage new business growth, and leverage millions of dollars in federal and private research funding. The Technology Park work will be linked to UConn's Health Center in Farmington including the Connecticut Bioscience Initiative, and to the work being done in New Haven by Yale and others across the State. On August 26, 2011, the State Bond Commission authorized the release of \$18 million in State General Obligation bonding to cover the project's initial design and development costs. The extension of North Hillside Road to Route 44 in Storrs will allow the development of up to one million square feet of research, technology and academic space, on a 300-acre parcel in the North Campus consistent with the University's long-range Master Plan. It is expected to be operational by 2015. The Technology Park will provide important incubation space for entrepreneurs with innovative ideas who would benefit from guidance by faculty experts in the field. A 2007 feasibility analysis for the park indicated that with new developments at the University occurring since UCONN 2000 began – such as significant growth in research, and a mature system for technology transfer and commercialization – UConn was in a strong position to support a successful technology park in Storrs. University President Herbst stated that building a Technology Park at UConn is an important next step that will help create jobs and promote Connecticut's long-term economic growth.

### **General Obligation Bonds Secured by the State's Debt Service Commitment**

Section 10a-109 of the Connecticut General Statutes empowers the University to issue General Obligation Bonds secured by the State's Debt Service Commitment (sometimes referred to as "General Obligation Debt Service Commitment Bonds" or "GO-DSC Bonds"). These Bonds are issued pursuant to the General Obligation Master Indenture of Trust, dated as of November 1, 1995, between the University of Connecticut, as Issuer, and Fleet National Bank of Connecticut as Trustee (now U.S. Bank N.A.). The University's Board of Trustees on November 10, 1995, and the State Bond Commission on December 21, 1995 approved the Master Indenture of Trust. The Master Indenture was subsequently amended and approved by the University's Board of Trustees on September 26, 2003 and the State Bond Commission on December 19, 2003. The Board of Trustees and the Governor approve the subsequent Supplemental Indentures for each bond issue. The University and the Office of the State Treasurer, working in conjunction, manage the Debt Service Commitment Bond sale process.

### **General Obligation Debt Service Commitment Bonds – Bond Issues Completed**

There have been 18 bond issues for the UCONN 2000 program including 4 refunding bond issues under the State's Debt Service Commitment. Pursuant to Section 10a-109g of the Connecticut General Statutes, the UCONN 2000 General Obligation Debt Service Commitment Bonds authorized, approved and issued to date are listed below:

#### **UConn 2000 GO-DSC Bonds Phase I, II & III**

Date of Issue	Par Amount	TIC (1)	General Obligation Bond Issue
February 21, 1996	\$83,929,714.85	4.94%	1996 Series A
April 24, 1997	124,392,431.65	5.48%	1997 Series A
June 24, 1998	99,520,000.00	4.78%	1998 Series A
April 8, 1999	79,735,000.00	4.46%	1999 Series A
March 29, 2000	130,850,000.00	5.42%	2000 Series A
April 11, 2001	100,000,000.00	4.54%	2001 Series A
April 18, 2002	100,000,000.00	4.74%	2002 Series A (2)
March 26, 2003	96,210,000.00	3.97%	2003 Series A (3)
January 22, 2004	97,845,000.00	3.76%	2004 Series A (4)

March 16, 2005	98,110,000.00	4.20%	2005 Series A(5)
March 15, 2006	77,145,000.00	4.20%	2006 Series A(6)
April 12, 2007	89,355,000.00	4.10%	2007 Series A(7)
April 16, 2009	144,855,000.00	4.01%	2009 Series A(8)
May 25, 2010	<u>97,115,000.00</u>	3.64%	2010 Series A(9)
<b>Sub Total Phases I,II, &amp; III</b>	<b>\$1,419,062,146.50</b>		

### Refunding Bonds

January 29, 2004	\$216,950,000.00	3.55%	2004 Series A Refunding (4)
March 15, 2006	61,020,000.00	4.17%	2006 Series A Refunding (6)
April 12, 2007	46,030,000.00	4.19%	2007 Series A Refunding (7)
May 25, 2010	<u>36,095,000.00</u>	2.86%	2010 Series A Refunding (9)
<b>Sub-Total Refunding Bonds</b>	<b>\$360,095,000.00</b>		

(1) TIC is the true interest cost reflecting the interest rate for the time value of money across an entire bond issue.

(2) The GO-DSC 2002 Series A Bonds provided \$994,688.03 directly to the Office of the State Treasurer.

(3) The GO-DSC 2003 Series A Bonds par amount of \$96,210,000 plus \$3,790,000 of the original issue premium, totaled \$100,000,000 available for projects.

(4) The GO-DSC 2004 Series A Bonds new money and GO-DSC Refunding 2004 Series A Bonds were issued under a single Official Statement with a par amount of \$216,950,000. The GO-DSC 2004 new money bonds totaled \$100,000,000 for projects, funded by the \$97,845,000 par amount plus \$2,155,000 of the original issue premium, and the GO-DSC Refunding 2004 Series A Bonds provided \$223,160,000 for a refunding escrow. Additional proceeds including premium funded the refunding escrow and the costs of issuance.

(5) The GO-DSC 2005 Series A Bonds totaled \$100,000,000 available for projects funded by the \$98,110,000 par amount plus \$1,890,000 of the original issue premium. Phase II authorizations accounted for \$50 million and Phase III for \$50 million.

(6) The GO-DSC 2006 Series A Bonds new money and GO-DSC Refunding 2006 Series A Bonds were issued under a single Official Statement with a par amount of \$138,165,000. The GO-DSC 2006 Series A Bonds new money totaled \$79,000,000 available for projects, funded by the \$77,145,000 par amount plus \$1,835,000 of the original issue premium, and the GO-DSC Refunding 2006 Series A Bonds provided \$65,472,900 for a refunding escrow. Additional proceeds including premium funded the refunding escrow and the costs of issuance.

(7) The GO-DSC 2007 Series A Bonds new money and GO-DSC Refunding 2007 Series A Bonds were issued under a single Official Statement with a par amount of \$135,385,000. The GO-DSC 2007 Series A Bonds new money totaled \$89,000,000 available for projects, and the GO-DSC Refunding 2007 Series A Bonds provided \$49,505,476.89 for a refunding escrow. Additional proceeds including premium funded the refunding escrow and the costs of issuance.

(8) The GO-DSC 2009 Series A Bonds par amount of \$144,855,000 plus \$5,145,000 of the original issue premium, totaled \$150,000,000 available for projects.

(9) The GO-DSC 2010 Series A Bonds new money and GO-DSC Refunding 2010 Series A Bonds were issued under a single Official Statement with a combined par amount of \$133,210,000. The GO-DSC 2010 Series A Bonds new money par amount of \$97,115,000 plus \$7,885,000 of the original issue premium, totaled \$105,000,000 available for projects; and the GO-DSC Refunding 2010 Series A Bonds par amount of \$36,095,000 plus \$2,609,428.69 of the original issue premium provided \$38,704,428.69 for the refunding escrow. Additional proceeds including premium funded the costs of issuance.

The Fourteen series of UCONN 2000 General Obligation DSC bonds issued to fund projects total \$1,419,062,146.50 in par value and provided \$1,435,000,000 for UCONN 2000 project spending (excluding the UCONN 2000 General Obligation DSC Refunding 2004, 2006, 2007 and 2010 Series A Bonds). The remaining balance, together with accrued interest and net original issue premium, funded the costs of issuance and deposits to the State Treasurer.

## General Obligation Debt Service Commitment Bonds – Projects

During Fiscal Year 2005 the University finished Phase I and Phase II and initiated Phase III of the UCONN 2000 project authorizations secured by the State's Debt Service Commitment. The act provides for a total of \$2,731,900,000 of UCONN 2000 bonds secured by the State's Debt Service Commitment. To date, the following projects totaling \$1,731,000,000 have been authorized to receive General Obligation Debt Service Commitment bond proceeds:

### Phases I & II

	<b>Authorized</b>
Agricultural Biotechnology Facility Completion	\$3,000,000.00
Agricultural Biotechnology Facility	9,400,000.00
Alumni Quadrant Renovations	11,183,623.91
Avery Point Marine Science Research Center-Phase I	30,000,000.00
Avery Point Marine Science Research Center-Phase II	7,254,246.03
Avery Point Renovation	4,875,717.46
Benton State Art Museum Addition	700,000.00
Business School Renovation	7,958,470.42
Central Warehouse New *	6,933,751.77
Chemistry Building	53,062,000.00
Deferred Maintenance & Renovation Lump Sum	40,798,259.65
Deferred Maintenance & Renovation Lump Sum Balance	117,386,096.72
East Campus North Renovations	7,382,604.53
Equipment, Library Collections & Telecommunications	60,500,000.00
Equipment, Library Collections & Telecommunications Completion	105,812,000.00
Gant Plaza Deck	7,287,174.10
Gentry Renovation	9,664,596.69
Grad Dorm Renovations	2,928,227.59
Heating Plant Upgrade	9,969,000.00
Hilltop Dormitory Renovations	8,176,528.89
Ice Rink Enclosure	3,280,000.00
International House Conversion **	886,134.00
Litchfield Agricultural Center-Phase I	1,000,000.00
Mansfield Apartments Renovation	2,071,000.00
Mansfield Training School Improvements	3,500,000.00
Monteith Renovation	444,348.00
Music Drama Addition *	7,400,000.00
North Campus Renovation	10,996,050.15
North Superblock Site & Utilities	7,668,000.00
Northwest Quadrant Renovation-Phase I	2,001,000.00
Northwest Quadrant Renovation-Phase II	30,000,000.00
Parking Garage-North	9,658,000.00
Pedestrian Walkways ***	6,074,000.00
School of Business	25,652,366.00
School of Pharmacy	88,609,000.00
Shippee/Buckley Renovations	6,920,000.00
South Campus Complex	12,251,000.00
Stamford Downtown Relocation-Phase I	55,781,471.55
Student Union Addition	44,622,633.00
Technology Quadrant-Phase IA	39,993,000.00
Technology Quadrant-Phase II	34,120,000.00
Torrey Life Science Renovation	251,109.43

Towers Renovation	17,950,243.11
Underground Steam & Water Upgrade-Phase I	6,000,000.00
Underground Steam & Water Upgrade Completion-Phase II	6,000,000.00
Waring Building Conversion	11,452,000.00
Waterbury Property Purchase	200,000.00
West Campus Renovations	519,507.20
White Building Renovation	2,427,268.80
Wilbur Cross Building Renovation	19,999,571.00
<b>Phase I &amp; II Totals</b>	<b>\$962,000,000.00</b>

\* Board of Trustees Added Project 2/22/2001

\*\* The International House Conversion is also known as the Museum of Natural History

\*\*\* The Pedestrian Walkways is also known as Fairfield Road Pedestrian Mall

<b>Phase III – Storrs and Regional Campuses</b>	<b>Authorized</b>
Arjona and Monteith (new classroom buildings)	\$96,000,000.00
Avery Point Campus Undergraduate and Library Building	9,150,000.00
Avery Point Renovation	947,282.54
Beach Hall Renovations	3,500,000.00
Benton State Art Museum Addition	3,500,000.00
Biobehavioral Complex Replacement *	3,000,000.00
Bishop Renovation	2,000,000.00
Deferred Maintenance/Code/ADA Renovation Lump Sum	149,902,371.46
Engineering Building (with Environmental Research Institute)	8,497,000.00
Equipment, Library Collections & Telecommunications	64,641,496.00
Family Studies (DRM) Renovation	3,700,000.00
Farm Buildings Repairs/Replacement	3,745,000.00
Fine Arts Phase II	4,750,000.00
Floriculture Greenhouse	6,000,000.00
Gant Building Renovations	9,250,000.00
Gentry Completion	10,000,000.00
Heating Plant Upgrade	8,000,000.00
Intramural, Recreational and Intercollegiate Facilities	31,500,000.00
Jorgensen Renovation	2,200,000.00
Koons Hall Renovation/Addition	1,300,000.00
Lakeside Renovation	3,800,000.00
Law School Renovations/Improvements	17,500,000.00
Manchester Hall Renovation	2,000,000.00
Mansfield Training School Improvements	3,500,000.00
Natural History Museum Completion	500,000.00
North Hillside Road Completion	2,000,000.00
Old Central Warehouse **	1,126,000.00
Psychology Building Renovation/Addition	5,650,000.00
Residential Life Facilities	4,300,000.00
School of Pharmacy/Biology Completion	6,000,000.00
Stamford Campus Improvements	500,000.00
Storrs Hall Addition	15,115,000.00
Student Union Addition	13,000,000.00
Torrey Renovation Completion and Biology Expansion	1,500,000.00
Torrington Campus Improvements	500,000.00

Waterbury Downtown Campus	450,000.00
West Hartford Campus Renovations/Improvements	10,400,000.00
Young Building Renovation/Addition	9,500,000.00
<b>Total — Storrs and Regional Phase III</b>	<b>\$518,924,150.00</b>

## HEALTH CENTER

CLAC Renovation Biosafety Level 3 Lab	1,315,000.00
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	31,505,125.00
Dental School Renovation	5,000,000.00
Equipment, Library Collections and Telecommunications - Health Center	52,405,725.00
Library/Student Computer Center Renovation	1,400,000.00
Main Building Renovation	25,385,000.00
Medical School Academic Building Renovation	3,700,000.00
Planning and Design Costs	25,000,000.00
Research Tower***	49,565,000.00
Support Building Addition/Renovation****	100,000.00
The University of Connecticut Health Center New Construction and Renovation	54,700,000.00
<b>Total — Health Center Phase III</b>	<b>\$250,075,850.00</b>

**TOTAL PHASE III PROJECTS** **\$769,000,000.00**

**TOTAL GO-DSC BONDS: PHASE I, II AND III PROJECTS** **\$1,731,000,000.00**

\* The Biobehavioral Complex Replacement was redefined by the BOT 6/24/2008.

\*\* The Old Central Warehouse was added by PA-07-108 effective 7-1-2007

\*\*\* The Research Building was clarified to include construction or purchase and renovation by the BOT 9/26/2006.

\*\*\*\* The Support Building Addition/Renovation was clarified to include construction by the BOT 8/1/2007.

## General Obligation Debt Service Commitment Bonds – Refunding

Pursuant to Section 10a-109m of the Connecticut General Statutes, the University may issue refunding securities. The University achieved a total of \$22.7 million in gross debt services savings for Connecticut taxpayers by issuing several series of General Obligation DSC Refunding Bonds as follows.

On January 29, 2004, the University achieved \$15.2 million in debt service savings for Connecticut taxpayers through the \$216,950,000 of UCONN 2000 General Obligation DSC Refunding 2004 Series A Bonds. Proceeds pre-refunded \$223,160,000 of the portions of the 1996, 1997, 1998, 2000, 2001 and 2002 UCONN 2000 General Obligation Debt Service Commitment Bonds. Debt service savings amounted to \$15,215,582.84 on a gross cash debt service savings basis, or \$10,117,718.77 on a net present value basis (4.53% savings over refunded bonds debt service) spread across fiscal years 2004 to 2020.

On March 15, 2006, the University achieved \$4.0 million in debt service savings through the issuance of \$61,020,000 of UCONN 2000 General Obligation DSC Refunding 2006 Series A Bonds. Proceeds pre-refunded \$61,675,000 of the portions of the 1998, 1999, 2000, 2001 and 2002 UCONN 2000 General Obligation Debt Service Commitment Bonds. Debt service savings amounted to \$4,003,734.09 on a gross cash debt service savings basis, or \$2,495,916.47 on a net present value basis (3.94% savings over refunded bonds debt service) spread across fiscal years 2006 to 2020.

On April 12, 2007, the University achieved \$1.7 million in debt service savings through the issuance of \$46,030,000 of UCONN 2000 General Obligation DSC Refunding 2007 Series A Bonds. Proceeds pre-refunded \$46,695,000 of the portions of the 2002 and 2003 UCONN 2000 General Obligation DSC Bonds. Debt service savings amounted to \$1,680,056.23 on a gross cash debt service savings basis, or \$1,387,269.87 on a net present value basis (2.97% savings over refunded bonds debt service) spread across fiscal years 2008 to 2022.

On May 25, 2010, the University achieved \$1.8 million in debt service savings through the issuance of \$36,095,000 of UCONN 2000 General Obligation DSC Refunding 2010 Series A Bonds. Proceeds pre-refunded \$35,885,000 of portions of the 1999, 2001, 2003 and 2004 UCONN 2000 General Obligation DSC Bonds. Debt service savings amounted to \$1,791,739.17 on a gross cash debt service savings basis, or \$1,470,720.91 on a net present value basis (4.1% savings over refunded bonds debt service) spread across fiscal years 2011 to 2021.

### **Special Obligation Student Fee Revenue Bonds Secured by Pledged Revenues**

UCONN 2000 also authorizes the University to issue Special Obligation Revenue bonds. Unlike the UCONN 2000 General Obligation Debt Service Commitment Bonds that are paid from the State's General Fund, debt on the Special Obligation Bonds are paid from certain pledged revenues of the University as defined in the particular bond series indenture.

A Special Capital Reserve Fund may be established for UCONN 2000 Special Obligation bond issues only if the Board of Trustees determines that the Special Obligation bond issue is self-sufficient as defined in the Act. The self-sufficiency finding by the University must be submitted to and confirmed as not unreasonable or arbitrary by the State Treasurer prior to issuance of the bonds. Once approved, the Special Capital Reserve Fund is funded at issuance by the University to meet the minimum capital reserve requirement.

### **Special Obligation Student Fee Revenue Bonds - Bond Issues Completed**

Section 10a-109x of the Connecticut General Statutes requires that the University's Semiannual Report to the General Assembly provide information on the number of projects and securities authorized, approved and issued; the payment of debt service requirements, and the payment of principal and interest on the UCONN 2000 securities; and the amount of investment earnings. The UCONN 2000 Special Obligation Student Fee Revenue Securities authorized, approved and issued to date are listed below.

Student Fee Revenue Bonds have been issued pursuant to the Special Obligation Indenture of Trust, dated as of January 1, 1997, between the University as Issuer and U.S. Bank N.A. as successor to State Street Bank & Trust as Trustee ("the Special Obligation Master Indenture"). The Board of Trustees approved the Master Indenture on November 8, 1996. The University's Board of Trustees and the Governor approve the subsequent Supplemental Indentures for each Special Obligation bond issue.

There have been five bond issues under the Student Fee Revenue Bond Indenture that are not supported by the State's Debt Service Commitment. The University's Office of Treasury Services and the Office of the State Treasurer, working in conjunction, manage the Special Obligation Bond sale process. UCONN 2000 Special Obligation Student Fee Revenue Bonds issued to date are summarized below:

<b>UCONN 2000 SO-SFR Bonds</b>			Special Obligation
<u>Date of Issue</u>	<u>Par Amount</u>	<u>TIC <sup>(1)</sup></u>	<u>Student Fee Revenue Bond Issue</u>
February 4, 1998	\$33,560,000	5.08%	1998 Series A
June 1, 2000	\$89,570,000	6.02%	2000 Series A <sup>(2)</sup>
February 14, 2002	\$75,430,000	4.94%	2002 Series A
February 27, 2002	\$96,130,000	4.89%	Refunding 2002 Series A
June 16, 2010	\$47,545,000	3.14%	Refunding 2010 Series A

<sup>(1)</sup> TIC is the true interest cost reflecting the interest rate for the time value of money across an entire bond issue. The UCONN 2000 Special Obligation Bonds are generally issued for an approximate 30-year final maturity, compared to a 20-year final maturity for the General Obligation DSC Bonds; hence the TIC may appear relatively higher for Special Obligation Bonds.

<sup>(2)</sup> The 2000 Series A bonds were refunded on February 27, 2002.

On February 4, 1998, the University issued \$33,560,000 of UCONN 2000 Student Fee Revenue 1998 Series A Bonds with a final maturity of November 15, 2027. The Special Obligation First Supplemental Indenture was also

dated January 1, 1997 and authorized the issuance of bonds up to a principal amount not to exceed \$30,000,000 for construction of the South Campus Residence and Dining Hall, plus amounts necessary to fund a Special Capital Reserve Fund ("SCRF") and provide for costs of issuance. The University managed the issuance and sale of these bonds and realized a favorable true interest cost over the term. Debt service for these bonds is paid from the student Infrastructure Maintenance Fee, instituted in 1997, and other pledged revenues as further defined in the Indenture of Trust. Such pledged revenues also help support future operation and maintenance costs for facilities built or renovated through UCONN 2000.

On June 1, 2000, the University issued \$89,570,000 of the UCONN 2000 Student Fee Revenue 2000 Series A Bonds pursuant to the Special Obligation Master Indenture and the Special Obligation Student Fee Revenue Bonds Second Supplemental Indenture dated as of May 1, 2000. Bond proceeds funded \$87,000,000 of construction for the Hilltop Dormitory, Hilltop Student Rental Apartments, and Parking Garage South. They also provided for capitalized interest and costs of issuance. The \$89,570,000 Student Fee Revenue 2000 Series A Bonds were defeased in substance on February 27, 2002, as further described below, and are no longer reflected as outstanding debt on the University's financial statements.

On February 14, 2002, the University issued \$75,430,000 of the UCONN 2000 Student Fee Revenue 2002 Series A Bonds pursuant to the Special Obligation Master Indenture and the Special Obligation Student Fee Revenue Bonds Fourth Supplemental Indenture dated as of November 16, 2001. Bond proceeds funded \$72,180,000 of construction for the Alumni Quadrant Renovations, Shippee/Buckley Renovations, East Campus North Renovations, Towers Renovations (including Greek Housing), and North Campus Renovations (including North Campus Student Suites and Apartments).

### **Special Obligation Student Fee Revenue Bonds - Projects**

To date, nine projects have been authorized to receive \$189,180,000 of the UCONN 2000 Special Obligation Student Fee Revenue bond proceeds (some of these projects were also supported by General Obligation bonds or other funding) as follows:

<u>Special Obligation Bonds</u>	<u>Authorized &amp; Issued</u>
Alumni Quadrant Renovations <sup>(1)</sup>	\$7,000,000
East Campus North Renovations <sup>(1)</sup>	1,000,000
Hilltop Dormitory New	21,000,000
Hilltop Student Rental Apartments	42,000,000
North Campus Renovation (including North Campus Student Suites & Apartments) <sup>(1)</sup>	45,000,000
Parking Garage-South <sup>(1)</sup>	24,000,000
Shippee/Buckley Renovations	5,000,000
South Campus Complex	30,000,000
Towers Renovations (including Greek Housing) <sup>(1)</sup>	<u>14,180,000</u>
<b>Total</b>	<b>\$189,180,000</b>

<sup>(1)</sup> Also partially funded with proceeds of the University's General Obligation bonds.

### **Special Obligation Student Fee Revenue Bonds - Refunding**

Pursuant to Section 10a-109m of the Connecticut General Statutes, the University may issue refunding securities. The University achieved a total of \$13.0 million in gross debt service savings for Connecticut taxpayers by issuing two series of Special Obligation Student Fee Revenue Refunding Bonds as follows.

On February 27, 2002, the University achieved debt service savings of \$3,553,672 on a gross cash debt service savings basis, or \$2,383,106 on a net present value basis (3.036% savings over refunded bonds debt service) through its issuance of \$96,130,000 of the UCONN 2000 Student Fee Revenue Refunding 2002 Series A Bonds. The

bonds were issued pursuant to the Special Obligation Master Indenture and the Special Obligation Student Fee Revenue Bonds Third Supplemental Indenture, dated as of February 1, 2002. Proceeds were used to take advantage of favorable market conditions to advance refund and defease in substance all of the \$89,570,000 of Student Fee Revenue 2000 Series A Bonds outstanding. Proceeds were deposited with the Trustee bank in an irrevocable escrow fund sufficient to satisfy future debt service and call premiums on the prior issue.

On June 16, 2010, the University achieved debt service savings of \$9,479,927 on a gross cash debt service savings basis, or \$7,211,753 on a net present value basis (9.915% savings over refunded bonds debt service) through its issuance of \$47,545,000 of the UCONN 2000 Student Fee Revenue Refunding 2010 Series A Bonds. The bonds were issued pursuant to the Special Obligation Master Indenture and the Special Obligation Student Fee Revenue Bonds Third Supplemental Indenture, dated as of February 1, 2002. Proceeds were used to take advantage of favorable market conditions to refund, advance refund and defease in substance \$51,305,000 of prior bonds (including \$25,140,000 of the Student Fee Revenue 1998 Series A Bonds and \$26,165,000 of the Student Fee Revenue 2002 Series A Bonds outstanding). The par amount of \$47,545,000 plus \$4,267,926 of the original issue premium and \$2,126,425 from the 1998 Special Capital Reserve Fund release were deposited with the Trustee bank in a \$53,939,351.28 irrevocable escrow fund to satisfy future debt service and call premiums on the prior issues.

### **UCONN 2000 Tax-Exempt Governmental Lease Purchase Agreement**

The Board of Trustees authorized \$81,900,000 of UCONN 2000 debt in the form of a Tax-Exempt Governmental Lease Purchase Agreement secured by the University's general obligation for the Cogeneration facility portion of the UCONN 2000 Heating Plant Upgrade project.

This \$81,900,000 of UCONN 2000 debt was not issued under the UCONN 2000 General Obligation or Special Obligation Indentures of Trust, but was entered into under certain separately negotiated documents and agreements in two parts. On December 18, 2003, the University entered into a privately placed \$75,000,000 Tax-Exempt Governmental Lease Purchase Agreement with a reported nominal interest rate of 4.42% compounded monthly to finance the design and construction of a combined heat and power plant. On August 15, 2005, the University amended the agreement for an additional borrowing of up to \$6,900,000 at a 5.09% interest rate compounded monthly (resulting in a combined interest rate of approximately 4.5%).

The Heating Plant Upgrade project is a named project under UCONN 2000. The cogeneration facility is a linchpin of the University's commitment to energy efficiency and generates much of the needs for electrical power, heating and cooling on the Storrs campus. Cost avoidance achieved through the construction and operation of the facility is expected to provide funds to pay the debt service. An earlier phase of the Heating Plant Upgrade project was funded with UCONN 2000 General Obligation DSC bonds as listed above.

The Tax-Exempt Governmental Lease Purchase Agreement is not rated by the credit rating agencies but, as UCONN 2000 debt, it is weighted in their credit rating analysis of the UCONN 2000 General Obligation and Special Obligation programs.

### **Debt Service**

Pursuant to Section 10a-109x of the Connecticut General Statutes, the Semiannual Report to the General Assembly is to list the payment of debt service requirements and the payment of principal and interest on the UCONN 2000 securities.

### **General Obligation Debt Service Commitment Bonds**

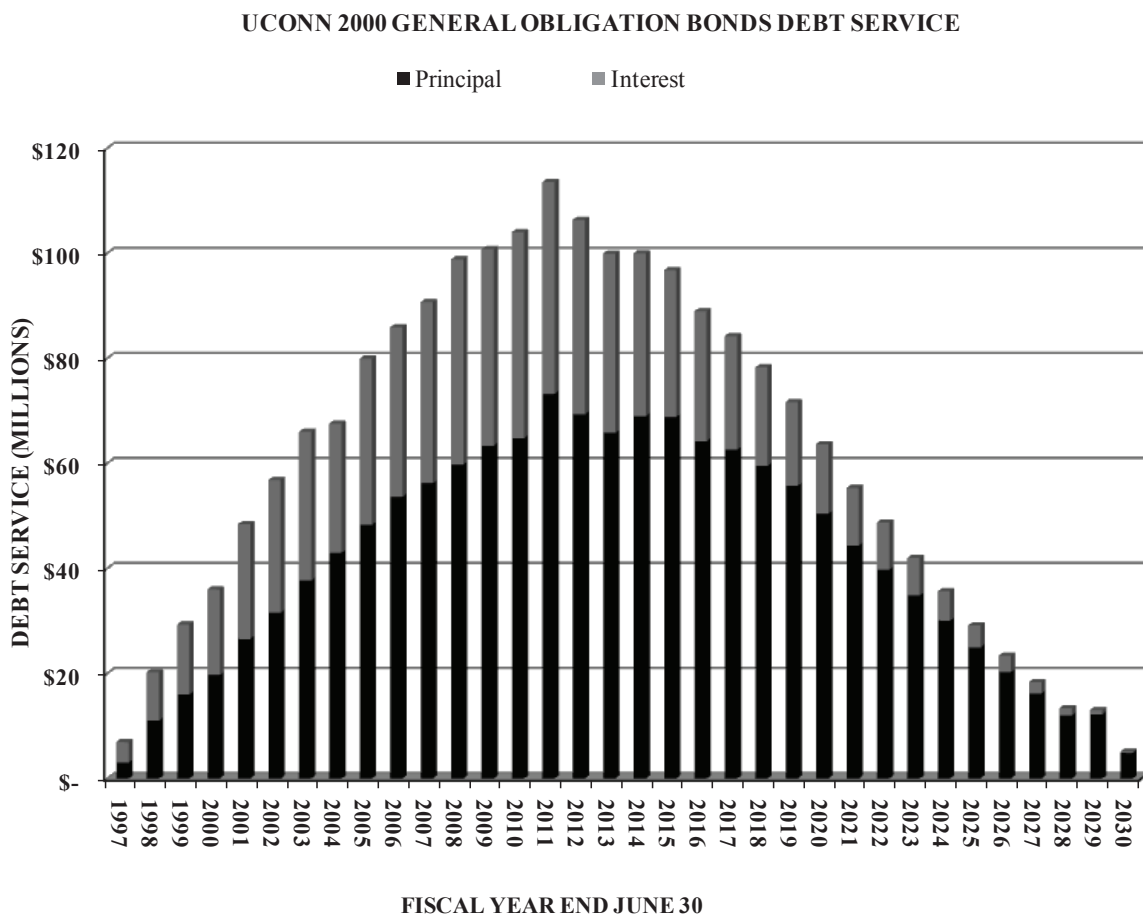
The State General Fund pays the debt service and any arbitrage rebate due on the University's General Obligation Debt Service Commitment Bonds. The University pays the debt service on the Special Obligation Student Fee Revenue Bonds from its own resources.

As of September 30, 2011:

- Since the program's inception in 1996, total UCONN 2000 General Obligation Debt Service Commitment debt service (which is paid by the state) amounted to \$2,078.1 million, representing \$1,411.7 million of principal and \$666.4 million of interest (including the Refunding Bonds but net of refunded debt).
- Of this amount, debt service of \$1,020.5 million, representing \$607.4 million of principal and \$413.1 million of interest (including capital appreciation bonds) has been paid.
- Future debt service requirements at this time amount to \$1,057.6 million representing \$804.3 million of principal and \$253.3 million of interest (including capital appreciation bonds).

For the fiscal year ending June 30, 2011, the Debt Service Commitment paid for the University's General Obligation Bonds amounted to \$113.5 million (representing \$73.2 million of principal and \$40.3 million of interest).

As of September 30, 2011, the following graph shows UCONN 2000 General Obligation Debt Service Commitment debt service by fiscal year including refunding issues, but net of refunded.



### Special Obligation Student Fee Revenue Bonds

From time to time, the University may issue Special Obligation Bonds secured by certain revenue flows including student fees. The University is responsible for paying the debt service and any arbitrage rebate due on its Special Obligation debt. All other things equal, the Special Obligation bonds incur proportionally more interest expense because they are generally issued for terms of up to approximately thirty years compared to twenty years for the Debt Service Commitment bonds. The longer maturities generally represent the cost of the assets financed by the bonds being spread over the student populations utilizing the assets.

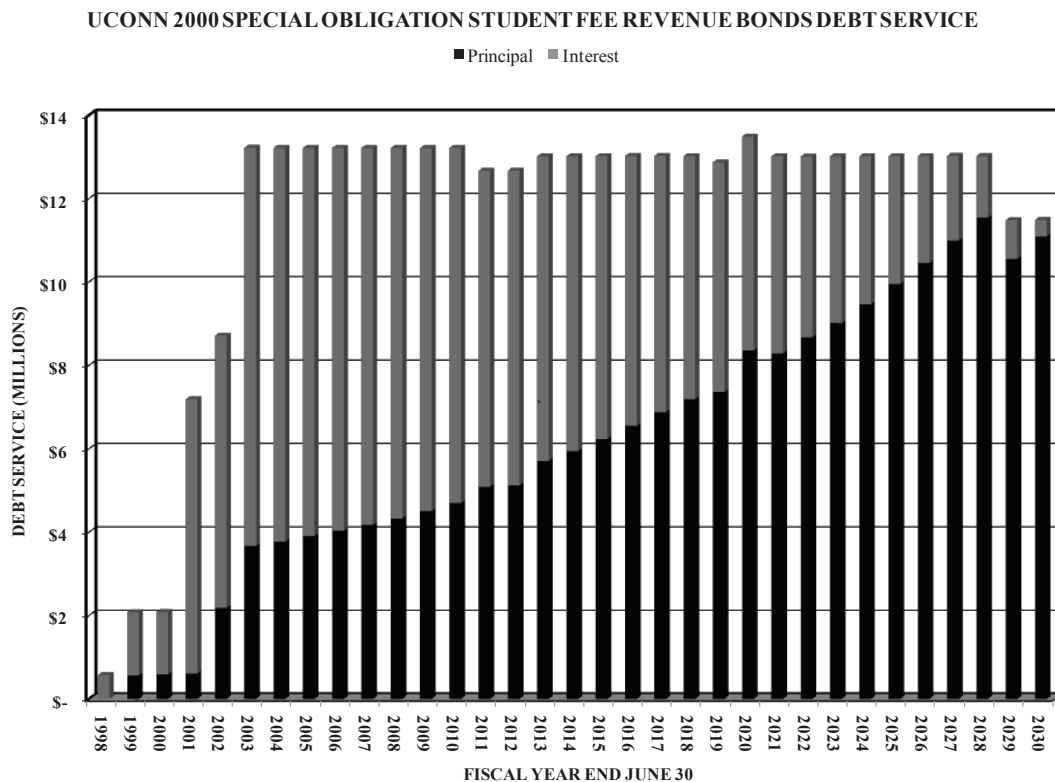
As of September 30, 2011:

- Total UCONN 2000 Special Obligation Student Fee Revenue debt service (which is paid by the University) amounted to \$383.1 million, representing \$201.4 million of principal and \$181.7 million of interest (including the Special Obligation Student Fee Revenue Refunding 2002 and 2010 Series A Bonds but net of refunded debt service).
- Of this amount the University had paid debt service of \$139.0 million (representing \$42.1 million of principal and \$96.9 million of interest).
- Debt service remaining totals \$244.2 million comprising \$159.3 million of principal and \$84.9 million of interest (including capital appreciation bonds).

For the fiscal year ending June 30, 2011, the University paid, from its own resources, Special Obligation Bond debt service of \$12.7 million (representing \$5.1 million of principal and \$7.6 million of interest).

As of July 16, 2010, the University fully refunded, defeased, and called the UCONN 2000 Special Obligation Student Fee Revenue 1998 Series A Bonds that carried the State Special Capital Reserve Fund. During the time they were outstanding, the University's Debt Service Requirement was fulfilled relating to Section 909 of the Special Obligation Indenture that mandates that on or before December 1, annually, if the SCRF amount falls below the required minimum capital reserve the Chairman of the Board of Trustees is to file a Certification with the Secretary of the Office of Policy and Management and the State Treasurer to replenish the Special Capital Reserve Fund. Upon such notification, there is deemed to be appropriated, from the State General Fund, sums necessary to restore each Special Capital Reserve Fund to the required minimum capital reserve.

As of September 30, 2011, the following graph shows UCONN 2000 Special Obligation Student Fee Revenue debt service by fiscal year including refunding issues, but net of refunded.



## Tax-Exempt Governmental Lease Purchase Agreement

The University is responsible for paying the debt service and any arbitrage rebate for the Tax-Exempt Governmental Lease Purchase Agreements. The two financing tranches provided \$81,900,000 of funding for a cogeneration facility for the UCONN 2000 Heating Plant Upgrade project. Tax-Exempt Governmental Lease Purchase Agreement debt Service payments commenced on January 29, 2006.

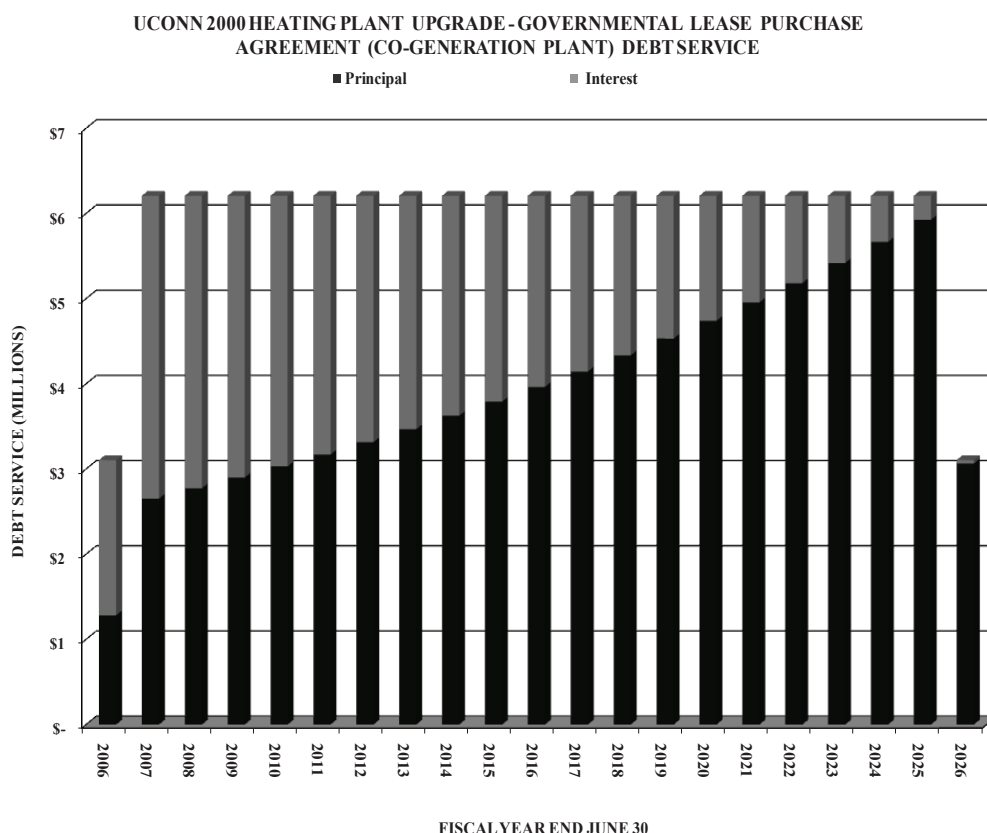
Debt is to be paid in 240 monthly installments of \$517,135 each. Over the life of the financing, debt service totals \$124,112,424 comprising \$42,212,424 of interest and \$81,900,000 of principal.

As of September 30, 2011:

- The University had paid down the Tax-Exempt Governmental Lease Purchase Agreement debt service by \$35.7 million (representing \$16.6 million of principal and \$19.1 million of interest).
- Remaining debt service amounts to \$88.4 million (representing \$65.3 million of principal and \$23.1 million of interest).

For the fiscal year ending June 30, 2011, the University paid from its own resources Tax-Exempt Governmental Lease Purchase Agreement debt service of \$6.2 million (representing \$3.2 million of principal and \$3.0 million of interest).

As of September 30, 2011, the following graph shows the UCONN 2000 Heating Plant Upgrade Tax-Exempt Governmental Lease Purchase Agreement (for the cogeneration plant) debt service by fiscal year.



## Investment of Debt Proceeds - Management, Investment and Earnings

The proceeds of the sale by the University of any bonds are part of the Trust Estate established under the General Obligation Master Indenture of Trust with the Trustee Bank as security for bondholders. Consequently, the University holds all of the bond proceeds at the Trustee Bank, with this exception: the Costs of Issuance account funded by the University's General Obligation Debt Service Commitment bonds may be held and invested by the State Treasurer's Office in a segregated account. The Special Obligation Master Indenture has similar Trust Estate provisions. The Trustee Bank holds all of the Special Obligation bond proceeds received at issuance including the Costs of Issuance account.

Prior to June 1998, all UCONN 2000 General Obligation Debt Service Commitment Bond proceeds were deposited with the Office of the State Treasurer and treated like state bond proceeds, including payments made to vendors through the Office of the State Comptroller. Subsequently, the Office of the Attorney General opined that the University, and not the state, issues UCONN 2000 bonds. Accordingly, upon advice of bond counsel and in conformity with the Master Indenture of Trust, Debt Service Commitment Bond construction fund proceeds were deposited to the Trustee Bank and disbursed as directed by the University pursuant to the Indenture. The UCONN 2000 General Obligation Debt Service Commitment Bond proceeds for costs of issuance are still treated like state bond proceeds and deposited with the Office of the State Treasurer and disbursed through the Office of the State Comptroller.

The Indentures of Trust provide that the University is authorized and directed to order each disbursement from the Construction Account held by the Trustee upon a certification filed with the Trustee bank and, in the case of the Debt Service Commitment bonds, the State Treasurer. The Indentures provide that such certification shall be signed by an Authorized Officer of the University and include certain disbursement information. Once the Authorized Officer certification filings are made, the University can directly disburse payments.

The investment of tax-exempt debt proceeds is heavily regulated by the Internal Revenue Service, the relevant Indentures of Trust with bondholders, Connecticut law, and other regulatory restrictions. In addition to meeting those requirements, the University's general investment policy is to balance an appropriate risk-return level, heavily weighted towards safety of assets, with estimated cash flow needs and liquidity requirements. The University is also mindful that the rating agencies, bond buyers, and bond insurers often weigh the quality of an issuer's investment portfolio.

Bond proceeds form part of the Trust Estate established with the Trustee Bank as security for bondholders. To date, the University has directed the Trustee Bank to invest any Debt Service Commitment construction fund proceeds in the State Treasurer's Short Term Investment Fund ("STIF") which is "AAA" rated and offers daily liquidity and historically attractive risk-adjusted yields. The State Treasurer's Office wishes to hold and invest the University's General Obligation Bonds Debt Service Commitment funded Costs of Issuance account, a much smaller account.

The General Obligation Debt Service Commitment Refunding, 2004, 2006, 2007 and 2010 Series A Bond proceeds, other than the costs of issuance, are held by the Trustee Bank in an irrevocable escrow fund, which is invested in U.S. Treasury Securities and/or U.S. Treasury State and Local Government Securities ("SLGS") and cash pursuant to the relative Escrow Agreements.

It has been the University's practice to invest all of the Special Obligation new money bond proceeds, including the debt service funds, in dedicated STIF accounts, with the exception of the 1998 Special Obligation Special Capital Reserve Fund which from time to time had also been invested in longer term "AAA" rated federal agencies' fixed income Investment Obligations as defined in the Special Obligation Indenture of Trust.

The Special Obligation Student Fee Revenue Refunding 2002 and 2010 Series A Bond proceeds, other than the costs of issuance and debt service accounts that are invested in STIF, are held by the Trustee Bank in their respective irrevocable Escrow Accounts, which are invested in U.S. Treasury State and Local Government Securities ("SLGS"), and cash pursuant to the Escrow Agreement.

The University's General Obligation Debt Service Commitment bond proceeds investment earnings are retained and recorded by the State Treasurer's Office and do not flow to the University or to the Trustee Bank. The University's Special Obligation bond investment earnings are part of the pledged revenues and are directly retained by the Trustee Bank to pay debt service on the bonds, and may also be used to flow to other Trustee bond accounts, if necessary, pursuant to the Indenture of Trust. Fiscal year end June 30, 2011, UCONN 2000 Special Obligation Student Fee Revenue Bond funds (not including the refunding escrows) investment earnings amounted to \$1,998.91 (cash basis).

Investment earnings on the Special Obligation Student Fee Revenue 2002 and 2010 Series A Bonds Refunding Escrow Accounts flow to their respective irrevocable escrows and are used by the Trustee Bank to meet debt service payments on the defeased bonds. Similarly, investment earnings on the General Obligation Debt Service Commitment 2004, 2006, 2007 and 2010 Series A Bonds Refunding Escrow Accounts flow to their respective irrevocable escrows and are used by the Trustee Bank to meet debt service payments on the defeased bonds.

On December 29, 2005, the University received \$15,847,241.65 representing the last advance of the \$81,900,000 of funds to the University under the Tax-Exempt Governmental Lease Purchase Agreement for the Heating Plant Upgrade Cogeneration facility. These funds, and the related investment income, are for uses related to the Cogeneration financing and were deposited in a dedicated STIF account. During December 2006, part of the remaining proceeds, representing the initial December 18, 2003 financing, was yield restricted by investing it in a dedicated Tax Exempt Proceeds Fund. All of the Tax-Exempt Governmental Lease Purchase Agreement proceeds have been spent.

### **Future UCONN 2000 Debt Issuance**

The University has issued the entire \$962 million of UCONN 2000 Phase I & II authorizations for the General Obligation bonds secured by the State's Debt Service Commitment.

UCONN 2000 Phase III, as amended, provides for an additional \$1,769,900,000 of funding with University General Obligation bonds secured by the State's Debt Service Commitment. As of September 30, 2011, \$769,000,000 of Phase III has been authorized by the Board of Trustees and the Office of the Governor, of which \$296,000,000 remains unissued. During Fiscal Year 2012, the University plans to issue a new money UCONN 2000 General Obligation Debt Service Commitment Bond series currently scheduled for late fall 2011. From time to time, the University might also issue a refunding series of bonds for its General Obligation or Special Obligation bond programs.

At this time there are no Board of Trustee authorizations to issue Special Obligation bonds for UCONN 2000 projects. However, the University has in the past and could again issue Special Obligation securities for certain projects that have a financial self-sufficiency capacity and/or if aggregate pledged revenues are sufficient to meet requirements of the Special Obligation Indenture.

Additionally, while there are no Board of Trustee authorizations at this time, the University could enter into other types of tax-exempt or taxable financings pursuant to the UCONN 2000 Act.

Market conditions and other factors might also lead to the issuance of General Obligation, Special Obligation, or other refunding debt in the future.

### **Credit Ratings**

As of September 30, 2011, the UCONN 2000 General Obligation Debt Service Commitment bonds were rated "AA" by Standard & Poor's; "Aa2" by Moody's Investors Service, and "AA-" by Fitch Investors Service. It is a strong vote of confidence in the University that Moody's and Standard & Poor's ranks these bonds as high as the State's General Obligation Bonds.

The UCONN 2000 Special Obligation Bonds were rated "AA-" by Standard & Poor's and "Aa2" by Moody's Investors Service. Fitch Investors Service does not have an underlying rating for the University's Special Obligation bonds.

In addition to the underlying credit ratings, municipal bond insurance from FGIC, MBIA and FSA secure certain maturities of several of the above bond issues. Originally, the insurance provided "AAA" credit ratings. The bond insurers have experienced a series of downgrades in recent years. At times, this has resulted in the UCONN 2000 bonds underlying credit ratings exceeding the credit ratings for certain bond insurers. As a result, people are advised to check with the credit rating agencies for the most recent bond insurer ratings.

## Credit Rating History

Since the inception of UCONN 2000, the University's bonding program has experienced a favorable credit rating history, including several credit rating upgrades.

The capital markets have recognized the tangible benefits to the state's economy of meeting the infrastructure and educational goals of the program, as well as the University's success in implementing them. A high quality credit rating not only provides the state and the University with less expensive access to the capital markets but also supports the state's quality reputation among investors. A University milestone occurred in 2002 with the achievement of the high-grade "double A" credit-rating category from Moody's Investors Service for both its General Obligation and Special Obligation bonds.

**February 1996:** the first issue of the University's General Obligation Bonds secured by the state's Debt Service Commitment carried underlying ratings of "A1" by Moody's Investors Service, "AA-" by Standard & Poor's and "AA" by Fitch.

**February 1998:** the first issue of UCONN 2000 Special Obligation bonds depended upon the state's SCRF credit rating. An underlying "stand-alone" credit rating was not available for this nascent program. At the time of issuance, the state SCRF enhancement allowed the bonds to obtain an "AA-" rating from Standard & Poor's, "AA-" from Fitch Investors Service, and "A1" from Moody's Investors Service. The bonds were subsequently covered by municipal bond insurance and upgraded to "AAA" at Fitch and Standard & Poor's and "Aaa" at Moody's Investors Service.

**October 1998:** Standard & Poor's upgraded the UCONN 2000 General Obligation DSC Bonds and the UCONN 2000 Student Fee Revenue 1998 Series A Bonds (SCRF) to "AA" from "AA-".

**March 2000:** Moody's upgraded UCONN 2000 General Obligation DSC Bonds to "Aa3" from "A1".

**June 2000:** the University achieved a milestone with its first underlying Special Obligation Bond "stand alone" credit rating of "AA-" from Standard & Poor's and an "A1" from Moody's.

**February 2001:** Moody's upgraded UCONN 2000 General Obligation DSC Bonds to "Aa2" from "Aa3". In April 2001, the General Obligation DSC 2001 Series A bonds were sold without any bond insurance security enhancement on any maturity, another successful first-time accomplishment for the UCONN 2000 bond program. Moody's upgraded UConn's Student Fee Revenue 1998 Series A Bonds, which are secured by the state SCRF, at this time to "Aa3" from "A1".

**January 2002:** UCONN 2000 Special Obligation Bonds (Non-SCRF) were upgraded to "Aa3" from "A1" by Moody's. This graduated UConn's Special Obligation bonds to Moody's "high-grade" bond category and impacted the underlying credit on all outstanding Special Obligation Student Fee Revenue Bonds. (The \$33.6 million Special Obligation Student Fee Revenue Series 1998 Series A Bonds additionally secured by the state's SCRF already carried the "Aa3" rating.) This high rating was assigned a stable outlook and represented a positive judgment by the capital markets regarding UConn's financial strength, real and potential growth as an institution, and management.

**August 2002:** Reflecting the outlook changes for the State's General Obligation Bonds, Moody's and Standard and Poor's both moved their outlook from "stable" to "negative" for UCONN 2000 General Obligation DSC Bonds while retaining their respective credit rating levels at "Aa2" and "AA". Fitch took no action. In a sign of confidence in the University's management and growth potential, Moody's and Standard & Poor's kept UConn's Special Obligation Bond ratings levels and stable outlook unchanged.

**March 2003:** During tougher economic times, the rating agencies confirmed the University's General Obligation DSC bond ratings as follows: Fitch "AA-"; Standard & Poor's "AA"; and Moody's "Aa2". Moody's also confirmed UConn's Special Obligation and Foundation bond ratings at "Aa3". Holding the credit ratings was a good sign in

light of Moody's February 2003 move of the State General Obligation bonds and consequently the University's DSC and SCRF security bonds to a watch list for possible downgrade.

**July 2003:** On July 2, 2003, citing state budget problems, Moody's downgraded the University's General Obligation DSC bond ratings to "Aa3" from "Aa2" consistent with its action on the State General Obligation bond rating. The good news was that Moody's confirmed UConn's Special Obligation (non-SCRF) bond ratings at "Aa3". Moody's also briefly downgraded the University's 1998 Special Obligation Bonds secured by the state's SCRF to "A1" following a general downgrade of any bonds backed by the state's SCRF but then upgraded the University's 1998 Special Obligation Bonds back to "Aa3" on July 14, 2003.

**January 2004:** We were successful in confirming the credit ratings for the UCONN 2000 General Obligation Debt Service Commitment bonds at a time of state budget deficits and negative press reports. The unenhanced ratings for the UCONN 2000 GO DSC 2004 new money and refunding bond issues were as follows: Moody's Investors Service "Aa3", Standard & Poor's "AA" and Fitch IBCA "AA-". Several maturities also carried "AAA" rated MBIA bond insurance.

**February 2005:** The unenhanced ratings for the UCONN 2000 GO DSC 2005 new money bond issue were confirmed with Moody's Investors Service "Aa3", Standard & Poor's "AA" and Fitch IBCA "AA-". Several maturities also carried "AAA" rated FSA bond insurance.

**February 2006:** The unenhanced ratings for the UCONN 2000 GO DSC 2006 new money and refunding bond issues were confirmed as follows: Moody's Investors Service "Aa3", Standard & Poor's "AA" and Fitch IBCA "AA-". Several maturities also carried "AAA" rated FGIC bond insurance.

**March 2007:** The unenhanced ratings for the UCONN 2000 GO DSC 2007 new money and refunding bond issues were confirmed as follows: Moody's Investors Service "Aa3", Standard & Poor's "AA" and Fitch IBCA "AA-". The bonds were issued without bond insurance.

**March 2009:** The underlying ratings for the UCONN 2000 GO DSC 2009 new money bond issues that are in the process of being issued were confirmed as follows: Moody's Investors Service "Aa3", Standard & Poor's "AA" and Fitch IBCA "AA-".

**November 2009:** Fitch IBCA retained the "AA-" for UCONN 2000 GO-DSC bonds but placed them on "negative outlook" and did the same for the UCONN 2000 SO-SFR 1998 SCRF bonds (no UConn underlying rating), mirroring the negative outlook they had put on the State of Connecticut's General Obligation Bonds, during October 2009. Through diligent management and active communication UConn's Treasury Services avoided a similar move by other credit rating agencies at this time.

**March 2010:** Standard & Poor's affirmed the "AA-/Stable" unenhanced ratings for UConn's Special Obligation Student Fee Revenue Bonds Series 2002-A bonds, and Special Obligation Student Fee Revenue Refunding Bonds Series 2002-A bonds.

**April 2010:** FITCH recalibrates UCONN 2000 General Obligation and Special Obligation Student Fee Revenue 1998A (SCRF) Bonds to "AA" rating outlook negative, and recalibrates State of Connecticut General Obligation to "AA+" rating outlook negative.

**May 2010:** Moody's recalibrates UConn's Special Obligation Student Fee Revenue Bonds unenhanced ratings to "Aa2" (upgrade from "Aa3"); and Standard & Poor's affirms at "AA-/Stable".

**May 2010:** Moody's recalibrates the unenhanced ratings of UCONN 2000 General Obligation Debt Service Commitment Bonds to "Aa2" (upgrade from "Aa3"); and Standard & Poor's affirms at "AA/Stable"; and FITCH affirms at "AA".

**June 2010:** FITCH moves UCONN 2000 General Obligation and Special Obligation Student Fee Revenue 1998A (SCRF) Bonds back to “AA-” rating outlook stable, and moves State of Connecticut General Obligation back to “AA” rating outlook stable, citing State finances, a month after affirming UConn’s “AA” rating outlook negative.

**June 2011:** S&P affirmed underlying ratings of “AA-” Stable outlook on UCONN 2000 Special Obligation Student Fee Revenue Bonds, (includes 2010 Refunding; 2002 New Money; and 2002 Refunding).

**June 2011:** UCONN 2000 General Obligation Debt Service Commitment Bonds affirmed by Moody’s Investors Service at “Aa2” but revised the outlook to negative (following their action on State of Connecticut’s general obligation bond rating) and affirmed UCONN 2000 Special Obligation Student Fee Revenue Bonds at “Aa2” Stable outlook.

### **UCONN 2000 Debt On Audited Financial Statements**

UCONN 2000 financings are debt obligations of the University, as issuer, and are reflected on UConn’s financial statements accordingly. For example, Special Obligation bonds and Tax-Exempt Governmental Lease Purchase Agreement debt are shown as liabilities on the University’s financial statements and the related capital improvements are shown as assets. The University is the issuer and ultimately responsible for the UCONN 2000 General Obligation Bonds which also fund certain assets at the UCONN Health Center, and consequently are also partially reflected on the UCONN Health Center’s financial statements as further discussed below.

Phase III of the Act authorizes the University to fund projects for the Health Center with, among other sources, UCONN 2000 General Obligation Debt Service Commitment Bonds and the University has done so. Accordingly, the UCONN 2000 General Obligation Debt Service Commitment Phase III project proceeds and any unspent debt proceeds are reflected on both UCONN’s and UCHC’s financial statements. As bonds are issued, the amount of the commitment for the Health Center is recorded as an offset to revenue on UCONN’s financial statements in the University’s Other Changes in Net Assets section of the Statements of Revenues, Expenses, and Changes in Net Assets. A corresponding liability is recorded in due to affiliate in UCONN’s Statement of Net Assets for the unspent portion of the bonds due to the Health Center. Correspondingly the Health Center records that portion of UCONN 2000 bond issuance proceeds for UCHC in the capital appropriation line in UCHC’s Statements of Revenues, Expenses, and Changes in Net Assets. A corresponding receivable is recorded for the unspent portion of the bonds. The State’s debt service commitment for interest on the UCONN 2000 General Obligation bonds is included in Non-Operating Revenues (Expenses) section of the Statements of Revenues, Expenses, and Changes in Net Assets.

### **UCONN 2000: PRIVATE FINANCIAL SUPPORT**

Fiscal year 2011 results tallied \$50.6 million in new gifts and commitments, which represents 94 percent of the \$54 million goal for the year. This is an increase of 11 percent over 2010, and is the highest total since 2008, reversing a two-year decline attributable to the economic recession.

Gifts to endowment were \$20.1 million, exceeding the annual goal and representing the second highest amount raised for this purpose since 2001. On June 30, 2010, the University’s endowment stood at \$312.5 million – a \$49.5 million, or 19 percent, increase over 2010.

Cash gifts totaled \$40.5 million, or 81 percent of the \$50 million goal. The number of household donors was 28,931, or 96 percent of the 30,000 goal.

The Annual Fund raised a record \$8.55 million (122 percent to goal) from more than 24,630 donors (82 percent to goal). That is an increase of 8 percent in dollars when compared to 2010.

As of August 31, 2011, approximately \$281.7 million was recorded toward the Our University. Our Moment campaign goal of \$600 million. This total includes \$83 million raised for endowment. In addition, the campaign has received 49 gifts of \$1 million or more since July 1, 2006.

## **State Endowment Matching Funds**


For calendar year 2011, the dollar value of endowment gifts eligible for state matching grants was a total of \$5.5 million. Submissions for eligible gifts to endowment resulted in a state match request of \$1.4 million. As of this date, the total of state matching funds outstanding through calendar year 2010 is \$18.0 million.

## **Significant Commitments**

- Dr. Raymond and Beverly Sackler made a significant pledge to support the Center for Biomedical, Biological, Physical and Engineering Sciences at the UConn Health Center.
- Carole and Ray Neag pledged \$1.5 million to establish the Letitia Neag Morgan Chair for Educational Psychology in the Neag School of Education.
- Richard “Dick” and Barbara DeFavero pledged \$1.5 million to establish the DeFavero Chair in Agricultural and Resource Economics.
- An anonymous gift of \$1.5 million was received to establish a chair in cyber physical systems in the School of Engineering.
- The Bernard Osher Foundation of San Francisco awarded a \$1 million endowment to support its Osher Lifelong Learning Institute (OLLI) at UConn’s Waterbury campus.
- Mr. David R.Scott contributed \$646,000 to the Mary Jane Scott Breast Cancer Support Endowment at the UConn Health Center.
- Denise and Nabil Eltouny made a \$500,000 planned gift to support the creation of a named Honors Scholarship Fund.
- The James S. McDowell Foundation pledged \$450, 000 to fund an evolutionary study in the College of Liberal Arts and Sciences.
- The SBM Charitable Foundation, Inc. donated \$300,000 to support the Husky Reach Program in the Division of Athletics.
- The foundation of Alan Bennett made a \$225,000 commitment to create The Bennett Fund for Innovative Education in Health and Society in the College of Liberal Arts & Sciences.
- The Cheryl Chase and Stuart Bear Family Foundation, Inc. made a \$200,000 commitment to the School of Law.
- Timex Corporation pledged \$173,000 to support the Korey Stringer Institute in the Neag School of Education.
- Professor Emeritus Rollin Williams made a \$135,000 planned gift commitment to the School of Social Work Dean’s Fund.
- Mark and Michelle Boxer have pledged a \$125,000 matching gift to the Parents Fund.
- UConn President Susan Herbst and Mr. Douglas W. Hughes made a \$100,000 gift to establish the Susan Herbst and Douglas Hughes Family Scholarship in the Humanities.
- Mr. Francis R. Trainor, PhD made a \$100,000 planned gift to the Francis Rice Trainor Endowment Fund in the College of Liberal Arts & Sciences.

## UCONN 2000 IN CYBERSPACE

Information about UCONN 2000 is available on the World Wide Web via the UCONN 2000 home page.  
The address: [www.uc2000.uconn.edu/](http://www.uc2000.uconn.edu/)


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### Progress Reports



Report #32 April 2011 (PDF)



Five-Year Progress Report - 2011 (PDF)

- ▶ Five-Year Progress Report - 2006 (PDF)
- ▶ Four-Year Progress Report - 1999

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Report #30 April 2010 (PDF)	Report #22 April 2006 (PDF)	Report #14 April 2002	Report #6 April 1998
Report #29 October 2009 (PDF)	Report #21 October 2005 (PDF)	Report #13 October 2001	Report #5 October 1997
Report #28 April 2009 (PDF)	Report #20 April 2005	Report #12 April 2001	Report #4 April 1997
Report #27 October 2008 (PDF)	Report #19 October 2004	Report #11 October 2000	Report #3 October 1996
Report #26 April 2008 (PDF)	Report #18 April 2004	Report #10 April 2000	Report #2 April 1996
Report #25 October 2007 (PDF)	Report #17 October 2003	Report #9 October 1999	Report #1 October 1995
Report #24 April 2007 (PDF)	Report #16 April 2003	Report #8 April 1999	

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The website contains all previous legislative updates to the Governor and the General Assembly, the four year progress report, the original UCONN 2000 proposal and UCONN 2000 project updates from the home pages of the University's Facilities Management Department.

# UCONN 2000 Year 17

## FY 2012 Board of Trustees Authorized Projects

### **Storrs & Regional Campuses**

<b><u>Project Name</u></b>	<b><u>Phase III Funding</u></b>
Arjona & Monteith (new classroom buildings)	\$ 1,000,000
Avery Point Campus Undergraduate & Library Building	5,600,000
Beach Hall Renovations	2,000,000
Biobehavioral Complex Replacement	1,900,000
Bishop Renovation	1,900,000
Deferred Maintenance/Code/ADA Renovation Lump Sum	4,286,079
Engineering Building	3,497,000
Equipment, Library Collections & Telecommunications	13,226,921
Fine Arts Phase II	1,900,000
Floriculture Greenhouse	3,000,000
Gant Building Renovations	6,500,000
Heating Plant Upgrade	8,000,000
Koons Hall Renovation/Addition	200,000
Law School Renovations/Improvements	2,350,000
Manchester Hall Renovation	2,000,000
Mansfield Training School Improvements	500,000
North Hillside Road Completion	500,000
Old Central Warehouse	1,000,000
Psychology Building Renovation/Addition	2,900,000
Residential Life Facilities	2,500,000
Storrs Hall Addition	8,585,000
Torrey Renovation Completion & Biology Expansion	500,000
West Hartford Campus Renovations/Improvements	2,000,000
Young Building Renovation/Addition	6,655,000
Subtotal of Storrs & Regional Campuses	<u>\$ 82,500,000</u>

### **Health Center**

<b><u>Project Name</u></b>	<b><u>Phase III Funding</u></b>
Deferred Maintenance/Code/ADA Renovation Sum - Health Center	\$ 3,000,000
Dental School Renovation	500,000
Equipment, Library Collections & Telecommunications - Health Center	2,500,000
Main Building Renovation	14,000,000
UCHC New Construction and Renovation	54,700,000
Subtotal of Health Center	<u>\$ 74,700,000</u>

**Grand Total FY 2012** **\$ 157,200,000**

# UCONN 2000 Phase III Project List State Debt Service Commitment

Project	Amount
<b><u>Storrs and Regional Campus Projects</u></b>	
Arjona and Monteith (new classroom buildings)	\$ 121,000,000
Avery Point Campus Undergraduate & Library Building	12,800,000
Avery Point Renovation	947,283
Beach Hall Renovations	8,000,000
Benton State Art Museum (Completion Addition)	3,500,000
Biobehavioral Complex Replacement	5,000,000
Bishop Renovation	6,000,000
Commissary Warehouse	-
Deferred Maintenance/Code/ADA Renovation Lumpsum	247,725,221
Engineering Building	60,500,000
Equipment, Library Collections & Telecommunications	82,641,496
Family Studies (DRM) Renovation	6,500,000
Farm Buildings Repairs/Replacement	3,745,000
Fine Arts Phase II	23,000,000
Floriculture Greenhouse	6,000,000
Gant Building Renovations	93,600,000
Gentry Completion	10,000,000
Heating Plant Upgrade	30,000,000
Incubator Facilities	-
Intramural, Recreational & Intercollegiate Facilities	34,000,000
Jorgensen Renovation	7,200,000
Koons Hall Renovation/Addition	7,000,000
Lakeside Renovation	3,800,000
Law School Renovations/Improvements	19,500,000
Library Storage Facility	-
Manchester Hall Renovation	6,000,000
Mansfield Training School Improvements	8,500,000
Natural History Museum Completion	500,000
North Hillside Road Completion	8,200,000
Observatory	-
Old Central Warehouse	2,126,000
Parking Garage #3*	5,000,000
Psychology Building Renovation/Addition	22,500,000
Residential Life Facilities*	36,800,000
School of Pharmacy	6,000,000
Stamford Campus Improvements	2,300,000
Storrs Hall Addition	15,115,000
Student Health Services*	7,000,000
Student Union Addition	13,000,000
Support Facility (Architectural & Engineering Services)	500,000
Torrey Renovation Completion & Biology Expansion	85,000,000
Torrington Campus Improvements	2,500,000
UCONN Products Store	-
Waterbury Downtown Campus	1,850,000
West Hartford Campus Renovations/Improvements	12,650,000
Young Building Renovation/Addition	15,000,000

<b>Project</b>	<b>Amount</b>
<b><u>Health Center Projects</u></b>	
CLAC Renovation Biosafety Level 3 Lab	\$ 15,000,000
Deferred Maintenance/Code/ADA Renovation Sum-Health Center	45,434,150
Dental School Renovation	5,000,000
Equipment, Library Collections & Telecommunications-Health Center	63,595,850
Library/Student Computer Center Renovation	5,250,000
Main Building Renovation	160,339,000
Medical School Academic Building Renovation	9,950,000
Parking Garage - Health Center*	8,400,000
Planning & Design Costs	25,000,000
Research Tower	49,565,000
Support Building Addition/Renovation	100,000
UCHC New Construction and Renovation	<u>387,666,000</u>
<b><i>Total - Storrs and Regional Campus Project List</i></b>	<b>\$ 1,043,000,000</b>
<b><i>Total - Health Center Project List</i></b>	<b><u>\$ 775,300,000</u></b>
<b>TOTAL</b>	<b><u>\$ 1,818,300,000</u> **</b>

\* Projects are partially/totally financed by Revenue Bonds

\*\*\$1,769,900,000 may be financed with bonds secured by the State's debt service commitment.

## **EXHIBIT C**

### **POLICIES: SELECTION AND ACQUISITION OF PROFESSIONAL SERVICES**

Section 10a-109d (5) of the Connecticut General Statutes authorizes the University to contract with professionals to plan, design and supervise UCONN 2000 projects and other capital projects.

1. The Vice President for Operations has the responsibility for the administration of these policies. Authority for their implementation may be delegated to appropriate operating departments.
2. A selection board shall be appointed to select professional services for each project.
3. The selection board shall develop the rating criteria.
4. The contract shall be negotiated by the Vice President for Operations or by the Executive Director of Architectural and Engineering Services for Storrs, Law School and Regional Campuses, or by the Director, Campus Planning, Design and Construction as designee for the Health Center.
5. Changes in scope that affect the cost of the project must be approved by the Vice President for Operations.

## **EXHIBIT D**

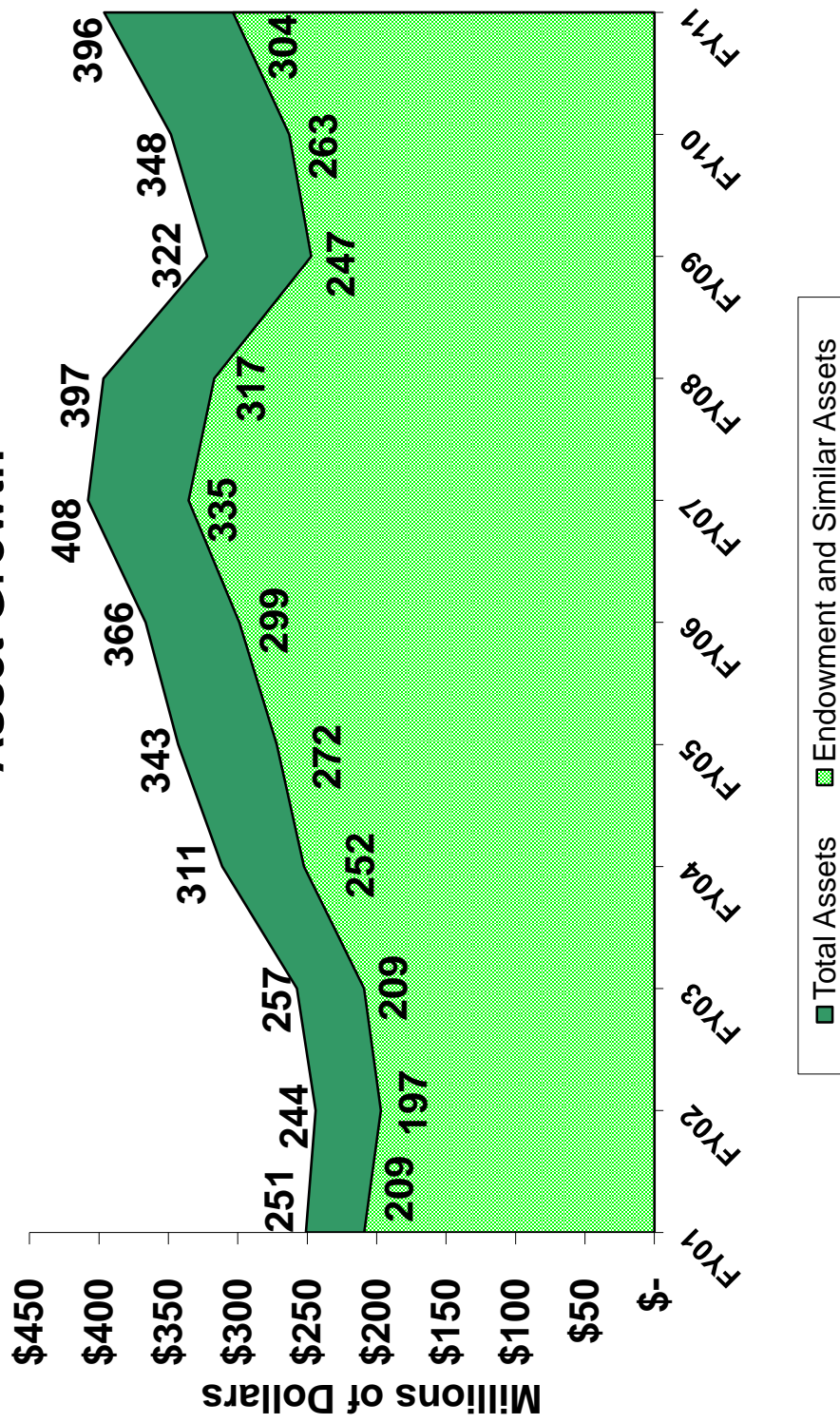
### **POLICIES: PRE-QUALIFICATION AND SELECTION OF CONTRACTORS**

Section 10a-109n (c) (2) of the Connecticut General Statutes authorizes the University to contract with construction firms for the building of UCONN 2000 projects and other capital projects.

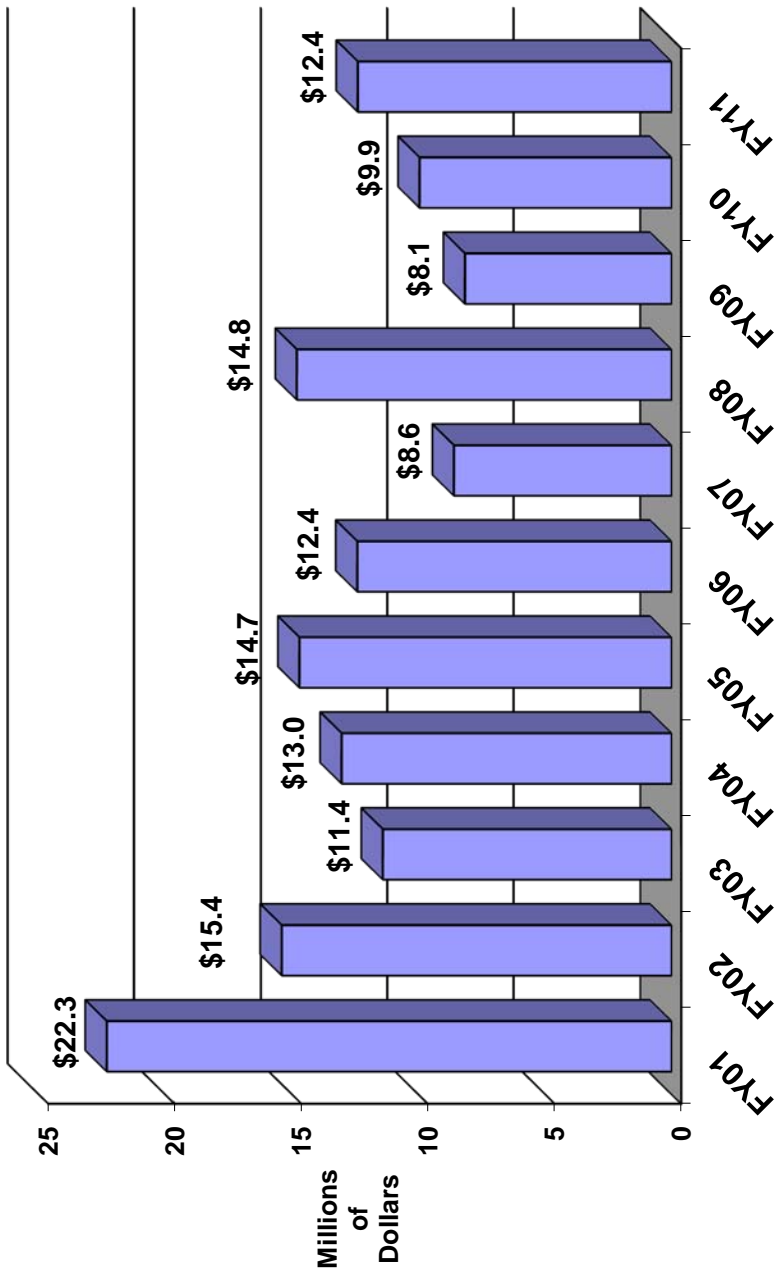
1. The Vice President for Operations has the responsibility for the administration of these policies. Implementing authority may be delegated to appropriate operating departments.
2. Pre-qualification shall be required of all bidders for projects over \$100,000.
3. Objective written criteria for pre-qualification of firms shall be developed.
4. A list of pre-qualified contractors shall be developed on a project basis. Firms will be evaluated on written criteria, including but not limited to: (1) the firm's previous experience with similar projects, (2) the firm's financial ability to complete the project, (3) the firm's ability to post surety bonds, (4) evaluation of the firm's integrity, (5) a determination that the firm has no conflict of interest in connection with the project, (6) technical ability, (7) managerial ability and (8) whether a contractor or one of their subcontractors on one of their previous projects has been in compliance with the provisions of Part III of Chapter 557 and Chapter 558 during the previous five calendar years.
5. Pre-qualified firms shall be invited to bid upon a specific contract. Contracts shall be awarded to the lowest responsible bidder who conforms to the University's standards for the project.
6. If it is in the best interest of the University and the State of Connecticut, all bids may be rejected and the contracting process reopened.
7. The University may negotiate with any pre-qualified contractor that is currently under contract for incorporation work under exigent circumstance. This new work need not be related to the original contract. The new work shall be of a similar nature as the basic contract.
8. Exigent circumstances include work necessary to:
  - a. Prevent loss of grant income or other revenue
  - b. Produce additional revenue or grant income
  - c. Insure renovations are complete for new faculty and staff members
  - d. Provide for safety and health of the University Community
  - e. Comply with any Federal or State laws or regulations

- f. Insure timely and orderly completion of UCONN 2000 or 21<sup>st</sup> Century UConn Projects.
- 9. The Vice President for Operations shall approve use of the exigency provision for an individual job based upon a written recommendation from the Executive Director of Architectural and Engineering Services for Storrs, Law School and Regional Campuses, or by the Director, Campus Planning, Design and Construction as designee for the Health Center
- 10. The negotiations may be conducted with any contractor or contractors currently performing one of the following types of contracts; lumpsum, design build or construction manager at risk.
- 11. The Executive Director of Architectural and Engineering Services for Storrs, Law School and Regional Campuses or the Director, Campus Planning, Design and Construction as designee for the Health Center will prepare a price negotiations memorandum detailing the basis for the award.
- 12. The Vice President for Operations shall also stipulate whether the added work shall be incorporated into the contract by change order or be consummated as a new contract.

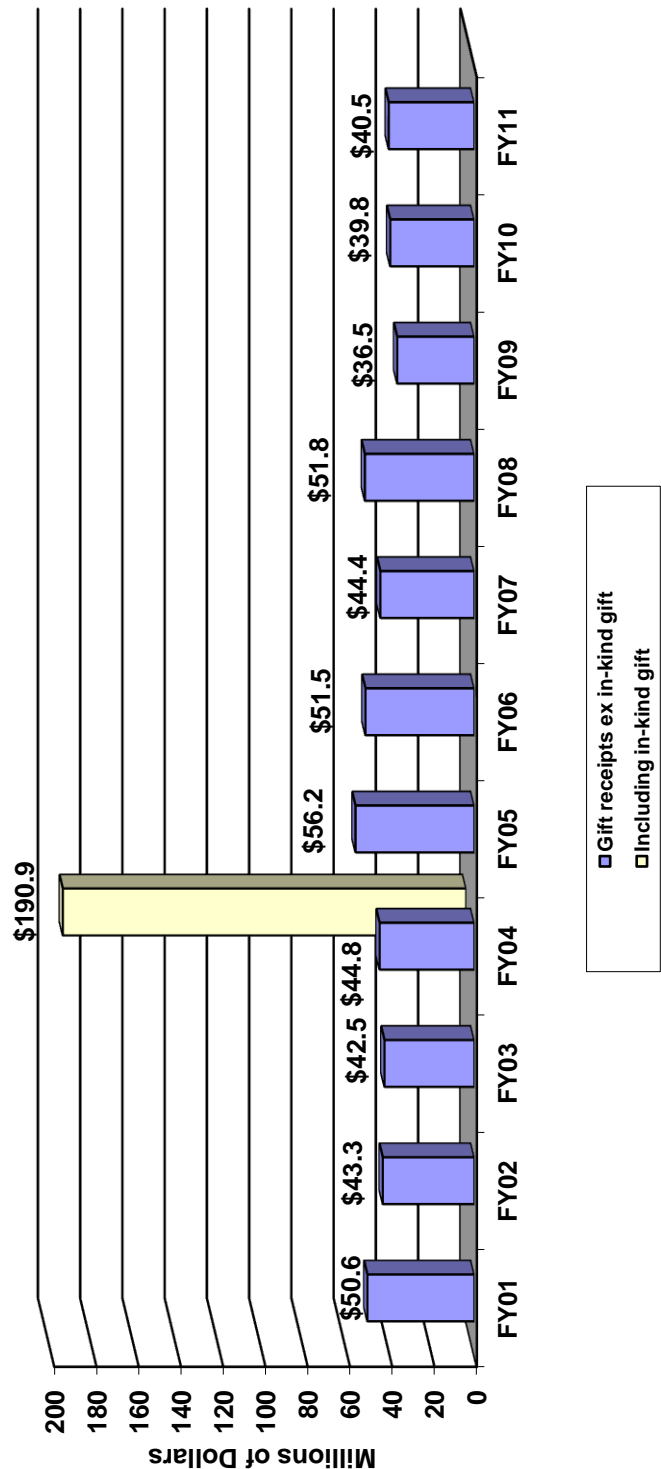
# The University of Connecticut Foundation, Inc. Asset Growth



**Total Endowment Gift Receipts for the  
University of Connecticut**



Total Gift Receipts for the University of Connecticut



During FY04 a gift in kind of software was received for the benefit of the School of Engineering valued at \$146.1 million.

# CURRENT PROJECTS FUND SOURCES: UCONN 2000 - PHASE I

(As of August 31, 2011)

<i>Project Description</i>	<i>Total Project Funding*</i>	<i>UCONN 2000 DSC Bonds</i>	<i>University Revenue Bonds</i>	<i>Other State Bonds</i>	<i>Federal/Research Funds</i>	<i>Operating Funds</i>	<i>Private Funds</i>
Agriculture Biotechnology Facility	\$13,341,445	\$9,400,000		\$2,457,550	\$1,483,895		
Avery Point Marine Science Research Center: Phase I	\$35,531,445	\$30,000,000		\$5,318,000		\$213,445	
Babbidge Library	Project not funded in UCONN 2000.						
Benton State Art Museum Addition	\$2,322,839	\$700,000				\$30,313	\$1,592,526
Chemistry Building	\$56,863,347	\$53,062,000		\$3,692,200		\$109,147	
Deferred Maintenance & Renovation Lumpsum <sup>A</sup>	\$40,798,260	\$40,798,260					
Equipment, Library Collections & Telecommunications <sup>A</sup>	\$60,500,000	\$60,500,000					
Gant Plaza Deck	\$5,458,000	\$3,516,000		\$1,942,000			
Hartford Relocation Feasibility Study	Project not funded in UCONN 2000.						
Heating Plant Upgrade	\$11,157,272	\$9,969,000		\$700,000		\$488,272	
Ice Rink Enclosure	\$4,044,001	\$3,280,000		\$222,407		\$541,594	
Litchfield Agricultural Center: Phase I	\$1,515,682	\$1,000,000				\$515,682	
Mansfield Apartments Renovation	\$2,784,899	\$2,071,000		\$713,899			
North Superblock Site & Utilities	\$7,668,000	\$7,668,000					
Northwest Quadrant Renovation: Phase I	\$2,001,000	\$2,001,000					
Parking Garage - North	\$9,658,000	\$9,658,000					
Pedestrian Spinepath & Walkways (aka Fairfield Road Pedestrian Mall)	\$6,074,000	\$6,074,000					
School of Business	\$21,059,000	\$19,559,000					\$1,500,000
School of Pharmacy	\$3,956,000	\$3,856,000		\$100,000			
South Campus Complex	\$48,339,432	\$12,251,000	\$30,000,000	\$2,621,219		\$3,467,213	
Stamford Downtown Relocation: Phase I	\$72,374,188	\$55,781,472		\$14,000,000		\$2,592,716	
Technology Quadrant: Phase IA	\$68,758,146	\$37,903,000		\$2,200,000		\$28,655,146	
Underground Steam & Water Upgrade: Phase I	\$6,000,000	\$6,000,000					
University Programs Building (aka Visitor's Center)	\$1,556,471					\$6,471	\$1,550,000
Waring Building Conversion	\$916,000	\$916,000					

## CURRENT PROJECTS FUND SOURCES: UCONN 2000 - PHASE I

(As of August 31, 2011)

<i>Project Description</i>	<i>Total Project Funding*</i>	<i>UCONN 2000 DSC Bonds</i>	<i>University Revenue Bonds</i>	<i>Other State Bonds</i>	<i>Federal/Research Funds</i>	<i>Operating Funds</i>	<i>Private Funds</i>
Waterbury Property Purchase	\$200,000	\$200,000					
White Building Renovation	\$2,641,008	\$2,427,269		\$213,739			
Wilbur Cross Building Renovation	\$3,409,000	\$3,409,000					
<b>Totals</b>	<b>\$488,927,434</b>	<b>\$382,000,000</b>	<b>\$30,000,000</b>	<b>\$34,181,014</b>	<b>\$1,483,895</b>	<b>\$36,619,999</b>	<b>\$4,642,526</b>

\* Reflects project funding received as of August 31, 2011.

<sup>A</sup> In some cases, certain projects have been supplemented with other fund sources.

## CURRENT PROJECTS FUND SOURCES: UCONN 2000 - PHASE II

(As of August 31, 2011)

<i>Project Description</i>	<i>Total Project Funding*</i>	<i>UCONN 2000 DSC Bonds</i>	<i>University Revenue Bonds</i>	<i>Other State Bonds</i>	<i>Federal/Research Funds</i>	<i>Operating Funds</i>	<i>Private Funds</i>
Agricultural Biotechnology Facility Completion	\$13,707,876	\$3,000,000			\$8,676,360	\$2,031,516	
Alumni Quadrant Renovations	\$18,183,624	\$11,183,624	\$7,000,000				
Avery Point Marine Science Research Center: Phase II	\$7,254,246	\$7,254,246					
Avery Point Renovation	\$4,875,717	\$4,875,717					
Business School Renovation: Phase II	\$10,907,241	\$7,958,470				\$270,457	\$2,678,314
Central Warehouse New	\$10,848,752	\$6,933,752		\$3,915,000			
Deferred Maintenance & Renovation Lumpsum <sup>A</sup>	\$117,386,097	\$117,386,097					
East Campus North Renovations	\$8,382,605	\$7,382,605	\$1,000,000				
Equipment, Library Collections & Telecommunications <sup>A</sup>	\$105,812,000	\$105,812,000					
Gant Plaza Deck	\$3,771,174	\$3,771,174					
Gentry Renovation	\$10,446,418	\$9,664,597				\$723,921	\$57,900
Grad Dorm Renovations	\$2,928,228	\$2,928,228					
Hilltop Dormitory New	\$21,009,042		\$21,000,000			\$9,042	
Hilltop Dorm Renovations	\$8,456,164	\$8,176,529				\$279,635	
Hilltop Student Rental Apartments	\$42,000,000		\$42,000,000				
International House Conversion (aka Museum of Natural History)	\$886,134	\$886,134					
Mansfield Training School Improvements: Phase II	\$3,500,000	\$3,500,000					
Monteith Renovation	\$444,348	\$444,348					
Music Drama Addition	\$16,784,314	\$7,400,000		\$9,311,618		\$72,696	
North Campus Renovation	\$12,937,389	\$10,996,050				\$1,941,339	
North Campus Renovation (including North Campus Student Suites & Apts)	\$47,150,508		\$45,000,000			\$2,150,508	
Northwest Quadrant Renovation: Phase II	\$30,123,843	\$30,000,000				\$123,843	
Parking Garage - South	\$27,942,928		\$24,000,000			\$3,942,928	
School of Business	\$6,762,725	\$6,093,366				\$218,463	\$450,896

## CURRENT PROJECTS FUND SOURCES: UCONN 2000 - PHASE II

(As of August 31, 2011)

<i>Project Description</i>	<i>Total Project Funding*</i>	<i>UCONN 2000 DSC Bonds</i>	<i>University Revenue Bonds</i>	<i>Other State Bonds</i>	<i>Federal/Research Funds</i>	<i>Operating Funds</i>	<i>Private Funds</i>
School of Pharmacy	\$84,753,000	\$84,753,000					
Shippee/Buckley Renovations	\$11,920,000	\$6,920,000	\$5,000,000				
Student Union Addition: Phase II	\$57,141,753	\$44,622,633				\$12,519,120	
Technology Quadrant: Phase IA	\$2,090,000	\$2,090,000					
Technology Quadrant: Phase II	\$34,434,179	\$34,120,000				\$314,179	
Torrey Life Science Renovation & Completion	\$251,109	\$251,109					
Towers Renovation	\$27,378,195	\$17,950,243	\$2,180,000			\$7,247,952	
Towers Renovation (Including Greek Housing)	\$12,704,501	\$0	\$12,000,000			\$704,501	
Underground Steam and Water Upgrade & Completion: Phase II	\$6,000,000	\$6,000,000					
Waring Building Conversion	\$10,536,000	\$10,536,000					
Waterbury Campus Relocation	\$27,238,315			\$22,000,000		\$1,540,999	\$3,697,316
West Campus Renovations	\$519,507	\$519,507					
Wilbur Cross Renovation	\$16,596,296	\$16,590,571				\$5,725	
<b>Totals</b>	<b>\$824,064,228</b>	<b>\$580,000,000</b>	<b>\$159,180,000</b>	<b>\$35,226,618</b>	<b>\$8,676,360</b>	<b>\$34,096,824</b>	<b>\$6,884,426</b>

\* Reflects project funding received as of August 31, 2011.

<sup>A</sup> In some cases, certain projects have been supplemented with other fund sources.

# CURRENT PROJECTS FUND SOURCES: UCONN 2000 - PHASE III

(As of August 31, 2011)

<i>Project Description</i>	<i>Total Project Funding*</i>	<i>UConn 2000 DSC Bonds</i>	<i>University Revenue Bonds</i>	<i>Other State Bonds</i>	<i>Federal/Research Funds</i>	<i>Operating Funds</i>	<i>Private Funds</i>
Arjona & Monteith (new classroom buildings)	\$96,000,000	\$96,000,000					
Avery Point Campus Undergraduate & Library Building	\$9,150,000	\$9,150,000					
Avery Point Renovation	\$2,230,503	\$947,283			\$464,510	\$300,000	\$518,710
Beach Hall Renovations	\$3,500,000	\$3,500,000					
Benton State Art Museum Addition	\$3,500,000	\$3,500,000					
Biobehavioral Complex Replacement	\$3,000,000	\$3,000,000					
Bishop Renovation	\$2,000,000	\$2,000,000					
CLAC Renovation Biosafety Level 3 Lab - Health Center	\$1,315,000	\$1,315,000					
Deferred Maintenance/Code /ADA Renovation Lumpsum - Storrs & Regionals <sup>A</sup>	\$149,902,371	\$149,902,371					
Deferred Maintenance/Code /ADA Renovation Lumpsum-Health Center <sup>A</sup>	\$31,505,125	\$31,505,125					
Dental School Renovation-Health Center	\$5,000,000	\$5,000,000					
Engineering Building	\$8,497,000	\$8,497,000					
Equipment, Library Collections & Telecommunications - Storrs & Regionals <sup>A</sup>	\$64,641,496	\$64,641,496					
Equipment, Library Collections & Telecommunications-Health Center <sup>A</sup>	\$52,405,725	\$52,405,725					
Family Studies (DRM) Renovation	\$3,700,000	\$3,700,000					
Farm Building Repairs/Replacement	\$3,745,000	\$3,745,000					
Fine Arts Phase II	\$4,750,000	\$4,750,000				\$70,000	
Floriculture Greenhouse	\$6,070,000	\$6,000,000					
Gant Building Renovations	\$9,250,000	\$9,250,000					
Gentry Completion	\$10,000,000	\$10,000,000					
Heating Plant Upgrade (aka Cogeneration Chiller Facility) <sup>B</sup>	\$89,900,000	\$8,000,000	\$81,900,000				
Intramural, Recreational & Intercollegiate Facilities	\$48,892,037	\$31,500,000				\$4,051,806	\$13,340,231
Jorgensen Renovation	\$2,200,000	\$2,200,000					
Koons Hall Renovation/Addition	\$1,300,000	\$1,300,000					

# CURRENT PROJECTS FUND SOURCES: UCONN 2000 - PHASE III

(As of August 31, 2011)

<i>Project Description</i>	<i>Total Project Funding*</i>	<i>UConn 2000 DSC Bonds</i>	<i>University Revenue Bonds</i>	<i>Other State Bonds</i>	<i>Federal/Research Funds</i>	<i>Operating Funds</i>	<i>Private Funds</i>
Lakeside Renovation	\$5,235,200	\$3,800,000				\$1,435,200	
Law School Renovations/Improvements	\$25,582,775	\$17,500,000		\$8,000,000		\$82,775	
Library/Student Computer Center Renovation-Health Center	\$1,510,000	\$1,400,000					\$110,000
Main Building Renovation-Health Center	\$25,385,000	\$25,385,000					
Manchester Hall Renovation	\$2,000,000	\$2,000,000					
Mansfield Training School Improvements	\$3,500,000	\$3,500,000					
Medical School Academic Building Renovation-Health Center	\$3,700,000	\$3,700,000					
Natural History Museum Completion	\$999,669	\$500,000					\$499,669
North Hillside Road Completion	\$2,000,000	\$2,000,000					
Old Central Warehouse	\$1,126,000	\$1,126,000					
Planning & Design Costs (UCHC)	\$25,000,000	\$25,000,000					
Psychology Building Renovation/Addition	\$5,650,000	\$5,650,000					
Research Tower-Health Center	\$49,565,000	\$49,565,000					
Residential Life Facilities	\$9,309,675	\$4,300,000				\$5,009,675	
School of Pharmacy/Biology Completion	\$6,000,000	\$6,000,000					
Stamford Campus Improvements	\$518,676	\$500,000				\$18,676	
Storrs Hall Addition	\$15,565,000	\$15,115,000				\$450,000	
Student Union Addition	\$13,000,000	\$13,000,000					
Support Building Addition/Renovation-Health Center	\$100,000	\$100,000					
Torrey Renovation Completion & Biology Expansion	\$1,500,000	\$1,500,000					
Torrington Campus Improvements	\$500,000	\$500,000					
Waterbury Downtown Campus	\$950,000	\$450,000					\$500,000
West Hartford Campus Renovations/Improvements	\$10,750,000	\$10,400,000				\$350,000	
Young Building Renovation/Addition	\$9,500,000	\$9,500,000					
UCHC New Construction and Renovation	\$54,700,000	\$54,700,000					
<b>Totals</b>	<b>\$886,101,252</b>	<b>\$769,000,000</b>	<b>\$81,900,000</b>	<b>\$8,000,000</b>	<b>\$464,510</b>	<b>\$11,768,132</b>	<b>\$14,968,610</b>

# CURRENT PROJECTS FUND SOURCES: UCONN 2000 - PHASE III

(As of August 31, 2011)

<i>Project Description</i>	<i>Total Project Funding*</i>	<i>UCONN 2000 DSC Bonds</i>	<i>University Revenue Bonds</i>	<i>Other State Bonds</i>	<i>Federal/Research Funds</i>	<i>Operating Funds</i>	<i>Private Funds</i>
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\* Reflects project funding authorized/received as of August 31, 2011.

<sup>A</sup> In some cases, certain projects have been supplemented with other fund sources.

<sup>B</sup> Funded through a Tax Exempt Lease.

# CURRENT PROJECT STATUS: UCONN 2000 - PHASE I

(Funding as of August 31, 2011)

<i>Project Description</i>	<i>UCONN 2000 Funding <sup>A</sup></i>	<i>Comments</i>	<i>Implementation- Planning/Design</i>	<i>Construction completed to date</i>			
				25%	50%	75%	100%
Agriculture Biotechnology Facility	\$9,400,000.00	Phase 1 construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Avery Point Marine Science Research Center: Phase I	\$30,000,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Babbidge Library	\$0.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Benton State Art Museum Addition	\$700,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Chemistry Building	\$53,062,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Deferred Maintenance and Renovation Lumpsum	\$40,798,259.65	Phase I construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Equipment, Library Collections & Telecommunications	\$60,500,000.00	Phase I complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Gant Plaza Deck	\$3,516,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Hartford Relocation Feasibility Study	\$0.00	Project not funded.					
Heating Plant Upgrade	\$9,969,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Ice Rink Enclosure	\$3,280,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Litchfield Agricultural Center: Phase I	\$1,000,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Mansfield Apartments Renovation	\$2,071,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
North Superblock Site & Utilities	\$7,668,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Northwest Quadrant Renovation: Phase I	\$2,001,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Parking Garage - North	\$9,658,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Pedestrian Spinepath & Walkways (aka Fairfield Road Pedestrian Mall)	\$6,074,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
School of Business	\$19,559,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
School of Pharmacy	\$3,856,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
South Campus Complex	\$12,251,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Stamford Downtown Relocation: Phase I	\$55,781,471.55	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Technology Quadrant: Phase IA	\$37,903,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Underground Steam & Water Upgrade: Phase I	\$6,000,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
University Programs Building (aka Visitor's Center)	\$0.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆

## (Funding as of August 31, 2011)

Chart Key:

- ❄ Planning and Design completed
- ◆ Construction completed

<sup>A</sup> UCONN 2000 DSC bond funding as of August 31, 2011 only; does not include bond funding from Phases II or III or other funding sources.

# CURRENT PROJECT STATUS: UCONN 2000 - PHASE II

(Funding as of August 31, 2011)

<i>Project Description</i>	<i>UCONN 2000 Funding <sup>A</sup></i>	<i>Comments</i>	<i>Implementation- Planning/Design</i>	<i>Construction completed to date</i>		
				<i>25%</i>	<i>50%</i>	<i>75%</i> <i>100%</i>
Agricultural Biotechnology Facility Completion	\$3,000,000.00	Phase II construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Alumni Quadrant Renovations	\$11,183,623.91	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Avery Point Marine Science Research Center: Phase II	\$7,254,246.03	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Avery Point Renovation	\$4,875,717.46	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Business School Renovation: Phase II	\$7,958,470.42	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Central Warehouse New	\$6,933,751.77	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Deferred Maintenance and Renovation Lumpsum	\$117,386,096.72	Phase II construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
East Campus North Renovations	\$7,382,604.53	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Equipment, Library Collections & Telecommunications	\$105,812,000.00	Phase II complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Gant Plaza Deck	\$3,771,174.10	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Gentry Renovation	\$9,664,596.69	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Grad Dorm Renovations	\$2,928,227.59	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Hilltop Dormitory New	\$0.00	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Hilltop Dormitory Renovations	\$8,176,528.89	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Hilltop Student Apartments	\$0.00	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
International House Conversion (aka Museum of Natural History)	\$886,134.00	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Manchester Renovation	\$0.00	Project not funded.				
Mansfield Training School Improvements: Phase II	\$3,500,000.00	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
Monteith Renovation	\$444,348.00	Project withdrawn.				
Music Drama Addition	\$7,400,000.00	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
North Campus Renovation	\$10,996,050.15	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆
North Campus Renovation (including North Campus Student Suites & Apts)	\$0.00	Construction complete.	*****	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆	◆◆◆◆◆◆◆◆◆◆

# CURRENT PROJECT STATUS: UCONN 2000 - PHASE II

(Funding as of August 31, 2011)

<i>Project Description</i>	<i>UCONN 2000 Funding<sup>A</sup></i>	<i>Comments</i>	<i>Implementation-Planning/Design</i>	<i>Construction completed to date</i>		
				<i>25%</i>	<i>50%</i>	<i>75%</i> <i>100%</i>
Northwest Quadrant Renovation: Phase II	\$30,000,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Parking Garage - South	\$0.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
School of Business	\$6,093,366.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
School of Pharmacy	\$84,753,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Shippree/Buckley Renovations	\$6,920,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Student Union Addition: Phase II	\$44,622,633.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Technology Quadrant: Phase IA	\$2,090,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Technology Quadrant: Phase II	\$34,120,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Torrey Life Science Renovation & Completion	\$251,109.43	Planning on hold	**			
Towers Renovation	\$17,950,243.11	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Towers Renovation (Including Greek Housing)	\$0.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Underground Steam and Water Upgrade & Completion: Phase II	\$6,000,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Waring Building Conversion	\$10,536,000.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Waterbury Campus Relocation	\$0.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
West Campus Renovations	\$519,507.20	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
Wilbur Cross Renovation	\$16,590,571.00	Construction complete.	*****	◆◆◆◆◆	◆◆◆◆◆	◆◆◆◆◆
<b>Total</b>	<b>\$580,000,000.00</b>					

Chart Key: \* Planning and Design completed

◆ Construction completed

<sup>A</sup> UCONN 2000 DSC bond funding as of August 31, 2011 only; does not include bond funding from Phases I or III or other funding sources.

# CURRENT PROJECT STATUS: UCONN 2000 - PHASE III

(Funding as of August 31, 2011)

Project Description	UCONN 2000 Funding <sup>A</sup>	Comments	Implementation- Planning/Design	Construction completed to date		
				25%	50%	75%   100%
Arjona & Monteith (new classroom buildings)	\$96,000,000	East and West Buildings in construction	*****	*****	*****	*****
Avery Point Campus Undergraduate & Library Building	\$9,150,000	Planning in progress for student union. Library roof and façade construction completed.	*****	*****		
Avery Point Renovation	\$947,283					
Beach Hall Renovations	\$3,500,000	Complete.	*****	*****	*****	*****
Benton State Art Museum Addition	\$3,500,000	Phase I & II in construction.	*****	*****	*****	*****
Biobehavioral Complex Replacement	\$3,000,000	Design in progress.	*****	*****		
Bishop Renovation	\$2,000,000	Design study in progress	*			
CLAC Renovation Biosafety Level 3 Lab - Health Center	\$1,315,000	Design Development work is complete. Construction Documents will begin in December 2011	*****			
Deferred Maintenance/Code/ADA Renovation Lumpsum-Storrs & Regionals	\$149,902,371	FY05-FY12 projects are in the works.	*****	*****	*****	*****
Deferred Maintenance/Code/ADA Renovation Lumpsum - Health Center	\$31,505,125	FY05-FY12 projects are in the works.	*****	*****	*****	*****
Dental School Renovation - Health Center	\$5,000,000	Construction for Dental pre-clinical teaching lab completed.	*****	*****	*****	*****
Engineering Building	\$8,497,000	Planning in progress.	*			
Equipment, Library Collections & Telecommunications - Storrs & Regionals	\$64,641,496	FY05-FY12 acquisitions underway.				
Equipment, Library Collections & Telecommunications - Health Center	\$52,405,725	FY05-FY12 acquisitions underway.	*****			
Family Studies (DRM) Renovation	\$3,700,000	Complete.	*****	*****	*****	*****
Farm Building Repairs/Replacement	\$3,745,000	Complete.	*****	*****	*****	*****
Fine Arts Phase II	\$4,750,000	Master Plan complete	*****	*****	*****	*****
Floriculture Greenhouse	\$6,000,000	Construction	*****	*****	*****	*****

## (Funding as of August 31, 2011)

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(Funding as of August 31, 2011)

Chart Key:

❄	Planning and Design completed
◆	Construction completed

<sup>A</sup> UCONN 2000 DSC bond funding as of August 31, 2011 only; does not include bond funding from Phases I or II or other funding sources.

## **PREVAILING WAGE COMPLIANCE REPORT**

The attachments referred to below cover the reporting period from April 1, 2011 through September 30, 2011 and are issued pursuant to the requirements of subsection (f) of section (7) of Public Act 02-3, an Act Concerning 21<sup>st</sup> Century UCONN, by providing the following information:

(1) The names and addresses of contractors and subcontractors performing repair, addition, alteration and new construction on the university's campuses in the previous six months.

*Attachment A provides the listing in alphabetical order. This is being filed in conjunction with the October 2011 Report Number Thirty-three to provide a consolidated report for UCONN 2000 activities. There is no sub-grouping of contractors or subcontractors as the nature of their business makes each interchangeable with the other as business opportunities become available.*

*Attachment B is based on information from the State of Connecticut Department of Labor, Wage and Workplace Standards Division, Contract Compliance Unit and represents a combined sharing of information by the University of Connecticut and the Department of Labor.*

*Attachment C is the Debarment list issued by the Department of Labor*

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
A Line Contracting	64 Jordan Lane		North Windham	CT	06256
A&A Window Products, Inc	15 Joseph Street		Malden	MA	02148
A&R Restoration LLC	69 Gervish Avenue		East Haven	CT	06512
A&S Electrical Services	42 Ozick Drive, Suite #1		Durham	CT	06422
A-1 Glass Company	255 Sullivan Avenue		South Windsor	CT	06074
AAS Corporation	802 Boston Post Road	P.O. Box 260066	West Haven	CT	06516
Acorn Glass, Inc	30 Century Drive		Stratford	CT	06615
Action Air Systems	131 Adams Street		Manchester	CT	06040
Action Steel LLC	34 OConnell Road Extension		Colchester	CT	06415
ACV Concrete LLC	46 Marina Court	P.O. Box 1842	Meriden	CT	06451
Adajian Engineering Inc	50 Albany Turnpike		Canton	CT	06019
Addison Electric	960 Migeon Avenue		Torrington	CT	06790
Advanced Caulking & Restoration LLC	75 Elliott Street East		Hartford	CT	06114
Advanced Framing Systems LLC		P.O. Box 918	Naugatuck	CT	06770
AL Fire Protection LLC	45 Cherry Street		East Hartford	CT	06108
All Industrial Services, Inc		P.O. Box 9192	Youngstown	OH	44513
All State Construction, Inc	449 Cooke Street	P.O. Box 805	Farmington	CT	06032
Allied Restoration Corporation	162 Governor Street	P.O. Box 280835	East Hartford	CT	06128
All-Phase Enterprises, Inc	191 West Stafford Road	P.O. Box 6	Stafford Springs	CT	06076
Allstate Fire Systems	92 Weston Street, Suite #44	P.O. Box 2350	Hartford	CT	06146
American Environmental, Inc	380 Westfield Street		West Springfield	MA	01089
American Pride Insulation Company, Inc	120 Manton Avenue		Providence	RI	02909
Architectural Sheet Metal	27 Pleasant Street		Manchester	CT	06040
Arthur A Horton, Inc	97 River Road, Canton Business Park		Canton	CT	06019
Asmus Electric, Inc	297 Front Avenue		West Haven	CT	06516
ATC Associates	290 Roberts Street		East Hartford	CT	06108
Automated Logic Contracting Services (DBA Automated Logic Connecticut)	29 North Plains Highway, Suite #17		Wallingford	CT	06492
B&B Landscaping & Design LLC	36 Commerce Street		Glastonbury	CT	06033
Bantan Construction Company, Inc	339 Washington Avenue		North Haven	CT	06473
Barker Steel LLC	55 Sumner Street		Milford	MA	07157
Bear Steel Erectors, Inc		P.O. Box 161	East Lyme	CT	06333
Bella Tile LLC	2 Victor Road		North Haven	CT	06473
Benco LLC	3000 South Main Street	P.O. Box 447	Torrington	CT	06790
Berlin Steel Construction Company	76 Depot Road		Kensington	CT	06037
Bestech Incorporated of Connecticut	25 Pinney Street		Ellington	CT	06029
B-G Mechanical Contractors, Inc	6 Second Avenue		Chicopee	MA	01020
Binswager Glass	163 Park Street		Bristol	CT	06010

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
BNC Enterprise LLC	37 Fyler Road		East Hartford	CT	06027
Bob Lefevre	69 Quinebaug Drive		Danielson	CT	06239
Bohsen Fabricators & Tool Company, Inc	10 Masconomet Road		Ipswich	MA	01938
Bonner Electric, Inc	1865 Norwich-New London Turnpike	P.O. Box 366	Uncasville	CT	06382
Boyle Home Improvement	198 South Main Street		East Windsor	CT	06088
Brayman Hollow Masonry, Inc	455 Brayman Hollow Road		Pomfret Center	CT	06259
BRD Builders LLC	2099 Main Street		Hartford	CT	06120
Bretts Core Drilling	66 Sherman Road		Enfield	CT	06082
BW Dexter II, Inc	562 Westcott Road		Danielson	CT	06239
BZ Floor Covering	11 Nelson Street		East Hartford	CT	06108
C&C Mechanical Insulation LLC	300 Front Avenue		West Haven	CT	06516
C&H Electric, Inc	1999 South Main Street		Waterbury	CT	06706
Capasso Restoration, Inc	39 Sugar Hill Road		North Haven	CT	06473
Carlin Construction Company LLC	5 Shaw's Cove, Suite #103		New London	CT	06320
Caruso Electric Company	815 Farmington Avenue		New Britain	CT	06053
Chase Glass Company	73-75 James Street		East Hartford	CT	06108
Cherry Hill Glass Company, Inc	20 Elm Street		Branford	CT	06405
Civittolo Masonry, Inc	53 Shepard Drive		Newington	CT	06111
Coastal Incorporated	14 Marion Avenue	P.O. Box 346	Milford	CT	06460
Columbia Sheet Metal	4 Commerce Drive		North Windham	CT	06256
Commercial Roofing & Contracting, Inc	340 Kennedy Drive	P.O. Box 647	Putnam	CT	06260
Comnet Communications, LLC	9 Park Ridge Road		Bethel	CT	06801
Concrete Floors LLC	13 West Parkway		Plainfield	CT	06374
Conn Acoustics, Inc	60 Holmes Road		Newington	CT	06111
Connecticut Boiler Repair & Manufacturing Company, Inc	694 Oakwood Avenue		West Hartford	CT	06110
Connecticut Restroom Specialties LLC	40 South Street		Danbury	CT	06810
Consigli Construction Company, Inc	5100 Bigelow Commons		Enfield	CT	06082
CPE Electric LLC	259 Wolcott Road		Wolcott	CT	06716
CR&B Group LLC	2 Hartford Square West, Suite #200		Hartford	CT	06106
Creative Dimensions Inc	345 McCausland Court		Cheshire	CT	06410
Crocker Architectural Sheet Metal Company, Inc	129 Southbridge Road		North Oxford	MA	01537
CT Trane Co	716 Brook Street		Rocky Hill	CT	06067
Custom Electric, Inc	52 Main Street		Manchester	CT	06042
Custom Flooring Concepts LLC	85 Belden Street		New Britain	CT	06051
Custom Pipe & Drain, Inc	61 Arrow Road, Suite #8		Wethersfield	CT	06109
Dalene Hardwood Flooring Company, Inc	45 Nutmeg Road South		South Windsor	CT	06074
Daniel's Caulking LLC	46 Kennedy Road, Unit #5		South Windsor	CT	06074
Data-Link Corporation	98 Main Street		South Meriden	CT	06451

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Dave's Painting	398 Prospect Street		Plantsville	CT	06479
DC Sheetmetal LLC		P.O. Box 6027	Yantic	CT	06389
Delta Mechanical		P.O. Box 581	Griswold	CT	06351
Desco Products of CT, Inc	48 Thill Street	P.O. Box 522	West Haven	CT	06516
Desco Professional Builders, Inc	290 Somers Road		Ellington	CT	06029
Ducto LLC	13 Britton Drive		Bloomfield	CT	06002
Duke's Root Control, Inc	1020 Hiawatha Boulevard West		Syracuse	NY	13204
Dyco Industries, Inc	229 South Satellite Road		South Windsor	CT	06074
Eagle Fence & Guardrail	56 South Canal Street	P.O. Box 7077	Plainville	CT	06062
Eagle Leasing Co	1 Irving Eagle Place	P.O. Box 923	Orange	CT	06477
Eagle Rivet Roof Service Corporation	15 Britton Drive		Bloomfield	CT	06002
East Coast Interiors LLC	105B Day Street		Newington	CT	06111
Eastern Electric, Inc		P.O. Box 2116	Vernon	CT	06066
Eastern Energy Services LLC	15 Wisconsin Avenue		Norwich	CT	06360
Eastside Electric, Inc		P.O. Box 476	Torrington	CT	06790
Eastside Flooring	36 Parkview Road		Hamden	CT	06514
EDI Landscape LLC	2070 West Street		Southington	CT	06489
Edward Shay Construction	80 Scotland Road		Windham	CT	06280
Electric Works, Inc	175 Main Street		Rockfall	CT	06481
Electrical Connections	65 Louis Street, Unit D		Newington	CT	06111
Electrical Contractors, Inc	3510 Main Street		Hartford	CT	06120
Electrical Energy Systems Corporation	215 Captain Lewis Drive		Southington	CT	06489
Elite Construction Rentals LLC	111 Prestige Park Road		East Hartford	CT	06108
Energy Electric Company, Inc	740 Quaker Highway		Uxbridge	MA	01569
Enfield Builders, Inc	1654 King Street	P.O. Box 1201	Enfield	CT	06083
Environmental Systems Corporation	18 Jansen Court		West Hartford	CT	06110
Environmental Testing & Balancing, Inc	154 State Street, Suite #208		North Haven	CT	06473
Ferguson Electric Company, Inc	112 Northwest Drive		Plainville	CT	06062
First Class Construction LLC	190 New Park Drive		Berlin	CT	06037
Fisher Tank Company	3131 West 4th Street		Chester	PA	19013
Flow Tech, Inc.	800 Cottage Grove Boulevard, Building #3		Bloomfield	CT	06002
Front Street Construction LLC	178 Front Avenue, Unit #200		West Haven	CT	06516
Front Street Construction LLC	867 Woburn Street		Wilmington	MA	01887
Fulton Foundation, Inc	21 East Street		Morris	CT	06783
Fusco Industries LLC		P.O. Box 475	Plainville	CT	06062
G&R Valley, Inc	350 Chapel Road		South Windsor	CT	06074
G. Donovan Associates Inc.		P.O. Box 249	Lebanon	CT	06249
Gar-San Corporation	680 Main Street	P.O. Box 442	Watertown	CT	06795

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
GDS Contracting Corporation	1623 Berlin Turnpike		Berlin	CT	06037
Gem's Carpentry LLC	85 Tremont Street		Meriden	CT	06450
Generation Drywall LLC	147 Comstock Trail		East Hampton	CT	06247
GI Capasso Inc	34 Lloyd Street		New Haven	CT	06513
Greenwood Abatement Consultants, Inc	268 Main Street		Butler	NJ	07405
Greenwood Industries Inc		P.O. Box 2800	Worcester	MA	01613-2800
Harrington Engineering, Inc		P.O. Box 819	Old Saybrook	CT	06475
Harvest Hardwoods		P.O. Box 96	Willington	CT	06279
Haz Pro's Inc	125-A Brook Street		West Hartford	CT	06110
HHS Mechanical Contractors, Inc	80 Colonial Road		Manchester	CT	06042
Higgins Office Products	777 Broadway	P.O. Box 2618	So Portland	ME	04116-2618
Hop River Concrete, Inc	231 Route 6		Columbia	CT	06237
IFI Industrial Floors, Inc	13 Davenport Street		Chicopee	MA	01013
Industrial Riggers, Inc	300 Chase River Road		Waterbury	CT	06704
Island International Industries New England LLC	79 Brook Street		Rehoboth	MA	02769
Island International Industries New England LLC	835 School Street		Pawtucket	RI	02860
J&P Construction Corporation	224 Krug Road		Preston	CT	06365
Jacobs Building & Remodeling	90 Mountain View Avenue		Bristol	CT	06010
James E Brennan Company, Inc	187 North Main Street	P.O. Box 507	Wallingford	CT	06492
JBR Glass & Construction LLC	274 Mansfield Road		Ashford	CT	06278
JDS Unlimited	129 Monument Street		Groton	CT	06340
JH LaPierre, Jr & Son LLC	6 Arlington Road		Windor Locks	CT	06096
JJ's Ceramic Tile LLC	34 Old Coventry Road		Andover	CT	06232
JJS Universal Construction Company	63 Airport Road		Dudley	MA	01571
Johnson Controls Inc	21 Griffin Road North, Suite #4		Windor	CT	06095
JS Sullivan Cable Company, Inc	123 East Aurora Street		Waterbury	CT	06708
KBE Building Corporation, Inc	30 Batterson Park Road		Farmington	CT	06032
Kennedy Electrical Contractors, Inc	35 Lovers Lane		Torrington	CT	06790
Kennedy Sheet Metal Company, Inc	58 Stockhouse Road		Bozrah	CT	06334
KMK Insulation, Inc	1907 Hartford Turnpike		North Haven	CT	06473
Kronenberg & Sons Restoration, Inc	175 Industrial Park Road		Middletown	CT	06457
L Holzner Electric Company	596 John Street		Bridgeport	CT	06604
L&L Mechanical LLC	28 Pie Hill Road		Goshen	CT	06756
L&R Plumbing & Heating LLC	224 Long Swamp Road		Wolcott	CT	06616
L.P. Electric	12 Laurence Street		Vernon	CT	06066
Lab Furniture Installation & Sales	11 River Street		Middleton	MA	01949
Lauretano Sign Group Inc	1 Tremco Drive, Plymouth Industrial Park		Terryville	CT	06786
Lavallee Overhead Door, Inc	151 Strong Road		South Windsor	CT	06074

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Liberty Landscapes LLC		P.O. Box 72	South Windsor	CT	06074
Lynch Flooring	115 Frederick Street		West Springfield	MA	01089
M&J Sheet Metal LLC	41 Meadow Street		Winsted	CT	06098
M3P Enterprises LLC	42 Williams Street		Meriden	CT	06450
MacKenzie Restoration Company LLC	39 Michaela Circle		Fairfield	CT	06824
Marchuks Welding LLC	267 Orcuttville Road		Stafford Springs	CT	06076
Marec Heating & A/C, Inc	12 Jansen Court		West Hartford	CT	06110
Marino Crane	2163 Airways Boulevard		Memphis	TN	38114
Marino Crane Service		P.O. Box 246	Middletown	CT	06457
Marlyn Construction Corporation	142Daleville Road		Willington	CT	06279
McCarthy Concrete, Inc	59 McGuire Road		South Windsor	CT	06074
McDowell Building & Foundations, Inc	24 Custer Street		West Hartford	CT	06110
MCM Acoustics LLC	151 New Park Avenue		Hartford	CT	06106
Merola Enterprises LLC dba Millard Enterprises	239A Shunpike Road		Cromwell	CT	06416
Midstate Site Development LLC		P.O. Box 654	Canton	CT	06019
Millennium Builders, Inc	50 Inwood Road		Rocky Hill	CT	06067
Milton C Beebe & Sons, Inc	12 Beebe Lane		Storrs	CT	06268
Modern Concrete Pumping, Inc/Dek Concrete, Inc	22 Willard Avenue		Newington	CT	06111
Modern Woodcrafts LLC	72 Northwest Drive		Plainville	CT	06062
Mohegan Painting Company, LLC	14 Mile River Road		Old Lyme	CT	06371
Monarca Building Contractors, Inc	123 North Main Street		Middletown	CT	06457
Mota Brothers Asbestos LLC	68 New Park Avenue	P.O. Box 261208	Hartford	CT	06126
Mount Carmel Construction LLC	370 State Street		North Haven	CT	06473
MRP Plumbing and Heating, LLC	266 Pleasurehill Road		Franklin	CT	06254
NER Construction Management Corporation	178 Front Avenue		West Haven	CT	06516
NER Construction Management Corporation	867 Woburn Street		Wilmington	MA	01887
Net Services LLC	1185 Elm Street Extension	P.O. Box 847	Rocky Hill	CT	06067
Network Interiors, Inc		P.O. Box 7074	Plainville	CT	06062
New Cambridge Painting Company LLC	164 Fleetwood Road		Bristol	CT	06010
New England Door Closer Inc	694 Union Street	P.O. Box 28	West Springfield	MA	01089
New England Pipe Cleaning Company - Division Heitkamp, Inc	99 Callender Road	P.O. Box 730	Watertown	CT	06795
New England Service & Controls LLC	52 Green Hollow Road		Moosup	CT	06354
New Generations Masonry LLC	341 Hillside Avenue		Hartford	CT	06106
New Haven Mechanical Contractors, Inc		P.O. Box 40	Northford	CT	06472
NK Construction LLC	29 Belmont Street		Wethersfield	CT	06109
Nobel Construction	216 Essex Plaza		Essex	CT	06426
Northeast Atlantic, Inc	173 Elm Street		Enfield	CT	06082
Northeast Lightning Protection LLC	10 Peters Road		Bloomfield	CT	06002

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Northeast Tradesmen, Inc	250 Pomeroy Avenue, Suite #102		Meriden	CT	06450
Northeastern Engineering & Contracting Company	115 Daleville School Road		Willington	CT	06279
Northern Construction Services LLC	1516 Park Street	P.O. Box 900	Palmer	MA	01069
Northern General Contractors	1516 Park Street	P.O. Box 900	Palmer	MA	01069
O&G Industries, Inc	112 Wall Street		Torrington	CT	06790
Orlando Annulli & Sons, Inc	147 Hale Road	P.O. Box 610	Manchester	CT	06045
Otis Elevator Company	242 Pitkin Street		East Hartford	CT	06002
Overhead Door Company of Norwich, Inc	88 Route 2A		Preston	CT	06365
P&D Mechanical, Inc	627 Old Hartford Road		Colchester	CT	06415
Paquette Electric Company, Inc	368 Killingly Road	P.O. Box 159	Pomfret Center	CT	06259
Pepin Steel & Iron Works LLC	47 Waterbury Road		Bristol	CT	06010
Perfectly Plumb LLC	215 Pickeral Lake Road		Colchester	CT	06415
Performance Plumbing & Heating LLC	609 Migeon Avenue		Torrington	CT	06790
Pierre Marchand Architectural Millwork LLC	154 North Main Street		Norwich	CT	06360
Pioneer Valley Concrete Service, Inc	66 North Chicopee Street		Chicopee	MA	01020
Plumbing Solutions LLC	27 Fulton Street		New Haven	CT	06512
Pomerantz Contracting	64 Jordan Lane		North Windham	CT	06256
PPC Enterprises LLC	71 Debbie Drive		Meriden	CT	06451
Prime Electric LLC	33 Wisconsin Avenue, Suite #101		Norwich	CT	06360
Pro Cut, Inc	26 South Canal Street		Plainville	CT	06062
Professional Drywall Construction	2119 Riverdale Street		West Springfield	MA	01089
Professional Electrical Contractors of CT, Inc	145 Robert Jackson Way		Plainville	CT	06062
Professional Electrical Contractors of CT, Inc	100 Access Road		Norwood	MA	02062
R&C Electric LLC	31 Loomis Lane		Bristol	CT	06010
R&R Window Contractors, Inc	One Arthur Street		Easthampton	MA	01027
Riky & Sons Foundations	569 Center Street, Apartment #5		Wallingford	CT	06494
RJB Contracting, Inc	588 Winsted Road		Torrington	CT	06790
RLG Floor Covering LLC	97 Seaman Circle		Manchester	CT	06040
Robert D Lefevre	69 Quinebaug Drive		Danielson	CT	06239
Robert H Lord Company	220 Chapel Road		Manchester	CT	06042
Rokap, Inc dba Sign Stop	1002 Yale Avenue		Wallingford	CT	06492
Roman Electric, LLC	23 Kozley Road		Tolland	CT	06084
Roweski Painting LLC	182 Edgewood Street		Hartford	CT	06112
RP Iannuccillo & Sons Construction, Inc	70 Calverly Street		Providence	RI	02908
S G Milazzo & Company, Inc	148 Dividend Road		Rocky Hill	CT	06067
S&H Tile LLC	95 Stanley Drive		Andover	CT	06232
Santoro, Inc	207 Stamm Road		Newington	CT	06111
Schneider Electric	1650 West Crosby Road		Carrollton	TX	75006

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Schneider Electric	300 Brickstone Square, Suite #101		Andover	MA	01810
Sea & Shore Contracting	11 Randolph Road		Randolph	MA	02368
Shea's Electrical, Inc	211 Hartford Turnpike		Tolland	CT	06084
Shepard Steel Company, Inc	110 Meadow Street		Hartford	CT	06114
Sign Lite, Inc	6 Corporate Drive		North Haven	CT	06743
Silktown Roofing, Inc	27 Pleasant Street		Manchester	CT	06040
Simplex Grinnell LP	80 Clark Drive, Unit #5-D		East Berlin	CT	06023
Skanska USA Building, Inc	545 Long Wharf Drive, 6th Floor		New Haven	CT	06511
Smith Automatic Sprinkler	101 Bidwell Road		South Windsor	CT	06074
Solidus	1084 Cromwell Avenue		Rocky Hill	CT	06067
Stairs & Steel LLC		P.O. Box 161	Vernon	CT	06066
State-Wide Electric, Inc	109 Commerce Street		Glastonbury	CT	06033
Steven D Gelinias	265 Canterbury Road		Plainfield	CT	06374
Stonington Services, LLC, dba Brand Fire Services	2 Chapman Lane		Gales Ferry	CT	06339
Stonington Services, LLC, dba Brand Fire Services	115B Leonard Drive		Groton	CT	06340
Stratton Construction	11 North Road		Waterford	CT	06385
Structure Enterprises, Inc	755 Bread & Milk Street		Coventry	CT	06238
Superior Finishes LLC	20 Race Avenue, Unit #1		Plainville	CT	06062
T Keefe and Son, LLC	1790 Little Meadow Road		Guilford	CT	06437
T&M Electric, Inc	130 East Housatonic Court		Dalton	MA	01226
T&T Electrical Contractors, Inc	420 Windsor Street		Hartford	CT	06120
Tabacco & Son Builders, Inc	45 Stafford Avenue		Bristol	CT	06010
The Jack Farrelly Company	97 Old Poquonock Road		Bloomfield	CT	06002
The Nutmeg Companies, Inc	31 New London Turnpike		Norwich	CT	06360
The Rockfall Company LLC	25 Columbus Avenue		Meriden	CT	06451
The Spectrum Services Company		P.O. Box 6027	Meriden	CT	06450
The Summit Crane Company		P.O. Box 9037	Bristol	CT	06011
Tolland Architectural	526 Tolland Stage Road		Tolland	CT	06084
Torrington Concrete Foundation LLC		P.O. Box 307	Winsted	CT	06098
Tradesmen International, Inc	9760 Shepard Road		Macedonia	OH	44056
Tradesource, Inc	205 Hallene Road, Units #211-212		Warwick	RI	02886
Triple "S" Services LLC	70 Canton Road		West Simsbury	CT	06092
Tri-State Drywall Systems LLC	45 Gilson Road		Nashua	NH	03062
True Colors Painting	25 Williams Street		Ashaway	RI	02804
Tulloch Fence & Building LLC	21 Hadden Street		Bristol	CT	06010
Ultimate Construction LLC	19C Andover Drive		West Hartford	CT	06110
United Steel, Inc	164 School Street		East Hartford	CT	06108
Vandzant LLC	732 Plainfield Road		Griswold	CT	06351

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Veilleux Concrete Cutting LLC		P.O. Box 439	South Windsor	CT	06074
Visual Logic Inc	4a Pasco Drive		East Windsor	CT	06088
VMS Construction Company	162 Lake Street		Vernon	CT	06066
Walch & Company, Inc	35 North River Road		Tolland	CT	06084
Wayne J Griffin Electric, Inc	116 Hopping Brook Road		Holliston	MA	01746
Witch Enterprises, Inc	467 Silver Street	P.O. Box 673	Agawam	MA	01001
Wood & Wood Garage Doors, Inc	420 North Main Street		Southington	CT	06489

**ACTIONS AND INITIATIVES BY THE UNIVERSITY  
TO COOPERATE WITH THE DEPARTMENT OF LABOR IN THE  
ENFORCEMENT OF THE STATE'S PREVAILING WAGE LAWS**

Under state statute, the Department of Labor is the only state agency authorized to enforce the state's prevailing wage laws. The University of Connecticut has put into place measures that help the Department of Labor with enforcement of the law. Furthermore, the University is required under Public Act 02-03 of the May 9, 2002 Special Session to specifically consider labor law compliance by contractors and their subcontractors as part of the Pre-Qualification process and prior to the award of any contract.

The University requests, as part of the Pre-Qualification process, the disclosure of information regarding each applicant's record of compliance with the state's prevailing wage and payment laws. The list of applicants is compared to the Debarment List, (Attachment C), issued by the State of Connecticut Department of Labor, which also contains a list of persons or firms who have been debarred under the Federal Davis Bacon Act. The Debarment List is also circulated to all project managers and construction administrators for their reference.

The list of applicants is submitted to the Department of Labor as a cross check. The information supplied by the applicant is compared to the information supplied by the Department of Labor. Any discrepancies are verified with the Department of Labor and, if warranted, a letter is sent to the contractor to explain the specific circumstances of any violation and what measures they have instituted to prevent a future reoccurrence.

All contracts between the University and its contractors include provisions that require the contractor and its subcontractors to abide by all relevant employment laws, including the prevailing wage statutes. On some projects, the University has required, contractually, that the General Contractor or Construction Manager dedicate staff to monitor its subcontractors' compliance with prevailing wage statutes.

Throughout the duration of the construction project, as part of all regularly scheduled job meetings, the contractor (and through the contractor the subcontractors) are reminded by the project managers and construction administrators of project safety, schedule, CHRO requirements, wage rates and other topics.

Periodically, University staff members from Capital Project & Contract Administration, the Purchasing Department, and Architectural and Engineering Services meet with the Department of Labor's Administrative and Field Representatives from the Wage and Workplace Standards Division, for the purpose of maintaining the procedures used for tracking Certified Payrolls or sharing information relative to the process.

Company Name	Adjusted Wages Paid	Status	Date Closed	Project Name	Project Location	General Contractor	Department of Labor Findings
S&H Tile LLC	\$5,083.11	Paid	5/10/2011	UCONN Health Center Research Tower	Farmington	FIP	Underpayment on Weekly Payroll



September 13, 2010

### State of Connecticut Debarment List Pursuant to Section 31-53a(a)

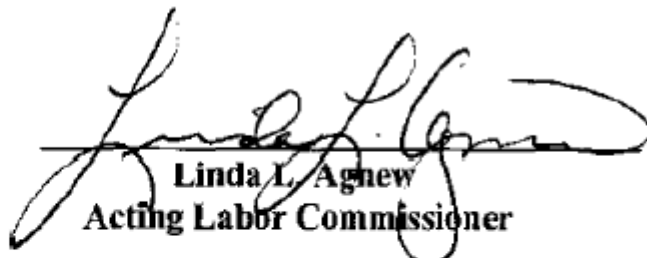
No contract shall be awarded to any person or firms appearing on this list or to any firm, corporation, partnership, or association in which such persons or firms have an interest until the expiration date listed has elapsed.

Please be informed that the following persons or firms have been debarred in accordance with Section 31-53a of the Connecticut General Statutes, as amended:

#### DEBARMENT LIST

<b>Name of Person or Firm</b>	<b>Expiration Date</b>
Hargrove Environmental, Stratford	December 12, 2011
- Clyde Hargrove, an individual	December 12, 2011
City Electrical Enterprises LLC , Hartford	December 22, 2011
- Lloyd Thompson, an individual	December 22, 2011
Gatollari Enterprises Inc., Rochelle Park, NJ	Indefinite
- Robert Gatollari, an individual	Indefinite
Pine Ridge Enterprises Inc., Wallingford	August 7, 2013
- Anai Kijewski, an individual	August 7, 2013
- Chester Kijewski, an individual	August 7, 2013

Any inquiries regarding this list should be directed to the Wage and Workplace Standards Division (860) 263-



**Linda L. Agnew**  
**Acting Labor Commissioner**



**M. Jodi Reil**  
6790. Governor

200 Polly Brook Boulevard, Wethersfield, CT 06109-1114  
Ph: 860.263.6510 • Fx: 860.263.6529 • [www.ct.gov/dol](http://www.ct.gov/dol)  
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**Modified: August 16, 2010**

## DEBARMENT LIST

The following persons or firms have been debarred under the Federal Davis Bacon Act and are to be included on this list pursuant to Connecticut General Statutes, Section 31-53a.

<b><i>NAME OF FIRM OR INDIVIDUAL</i></b>	<b><i>CITY, STATE</i></b>	<b><i>EXPIRATION DATE</i></b>
Central Valley Construction	Stockton, CA	August 16, 2012
- Arnaiz, Tony, an individual	Stockton, CA	August 16, 2012
Haggard's Inc.	Charlevoix, MI	June 1, 2011
d/b/a Haggard's Plumbing & Heating	Charlevoix, MI	June 1, 2011
Morrison, Don J., an individual	Niehart, MT	Indefinite
Oz, Roni, an individual	Plantation, FL	Indefinite
Rainbow Electric Company	Great Falls, MT	Indefinite

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