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UConn  
2000

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REPORT



University of  
Connecticut



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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 2012**

**The Thirty Fifth**  
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 fifth 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 Oversight, who monitors the 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.

Pursuant to Chapter 185b, Section 10a-109z of the Connecticut General Statutes (the Statute), the Board of Trustees for the University of Connecticut appointed the independent accounting firm of Marcum LLP, formerly UHY, to perform audits of the UCONN 2000 expenditures for the 2005 through 2010 fiscal years. Marcum issued an unqualified opinion for each year of the engagement and in connection with the audits of UCONN 2000 expenditures, no material weaknesses or significant deficiencies in internal controls were reported to management. Pursuant to the Statute the Board of Trustees appointed the independent accounting firm of McGladrey to perform the audit of UCONN 2000 projects for the 2011 fiscal year. McGladrey issued an unqualified opinion for the 2011 fiscal year and in connection with the audit of UCONN 2000 expenditures, no material weaknesses or significant deficiencies in internal controls were reported to management.

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 21<sup>st</sup> 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; and 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 has been 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 28, 2012 meeting, approved the FY13 Capital Budget totaling \$143,000,000 as shown in Attachment A. This amount reflects \$54,900,000 for Storrs and the Regional Campuses and \$88,100,000 for the University of Connecticut Health Center.

In 2011, the State of Connecticut made strategic investments in the University of Connecticut and the University of Connecticut Health Center firmly planting the seeds for Connecticut to be at the forefront of the growing bioscience industry. The investments were made with the promise that they would leverage other bioscience initiatives.

In May of that year, Governor Dannel P. Malloy introduced and less than one month later, the General Assembly approved the Bioscience Connecticut Initiative (Public Act 11-75), a bold \$864 million plan to reinvigorate all three areas of the Health Center's mission – research, education and clinical care. These investments would 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. Of note, the project also calls for short-term economic activity through a surge of construction-related jobs attributable to the expansion and renovation of 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 on the Health Center campus 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.

Also, the General Assembly, led by the efforts of Senate President Pro Tempore Donald Williams, 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 the physical and intellectual capacity to foster discovery.

In October, just months after the passage of the capital investment at the University, the General Assembly adopted in special session, Public Act 11-2 establishing the Connecticut Bioscience Collaboration Program (the "Collaboration") supporting the establishment of a bioscience cluster anchored by the world renowned Jackson Laboratory for Genomic Medicine (Jackson) a research laboratory, to be located on the Health Center's campus in Farmington.

The immediate short-term goals of the initiative are already being realized -- construction on the Health Center campus is well underway. A groundbreaking ceremony on the new hospital tower was held in June, demolition to clear the way for Jackson Laboratory construction began in October, demolition of the first phase of research lab space renovation is expected to commence in December construction on the Ambulatory Care Center is scheduled to begin in January 2013 and planning for the remaining infrastructure projects are underway. The Jackson Laboratory is already on site working out of leased space on the Health Center campus and construction of their facility is expected to begin as scheduled in January, 2013.

The following is a brief description of the named projects included in the FY13 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.

Laurel Hall (aka West Building), on the site of the former Pharmacy Building was completed in summer 2011. Oak Hall (aka East Building), on the site of the former UConn Co-op, was completed in summer 2012 providing departmental offices and new high-tech classrooms.

As part of the ongoing need to provide space for various academic departments and increased faculty hires, an assessment of Monteith is underway to determine renovation costs and feasibility of using the facility for interim swing space as longer term strategic planning affairs continue.



### ***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 and renovated undergraduate co-curricular space as well as upgrade an auditorium to correct code violations. The architectural/engineering team provided construction documents which were released for bidding through a Construction Manager at Risk. Construction is underway with completion scheduled for August 2013.



Other projects include replacement of the existing roof and repair of the existing masonry of the library as well as reconfiguration of the library. Renovation of the Community Professional Building, to install new laboratories, upgrade restrooms and improve electrical service is complete.



### ***Beach Hall Renovations***

Beach Hall, a 103,000 square foot office, laboratory and classroom building was constructed in 1929 and is on the National Historic Register. As part of ongoing renovations to this academic building, the University installed new windows. The University, developed contract documents to repair the exterior façade and roof. Construction is anticipated to be finished by the end of 2012.



### ***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.

Based upon an evaluation of the complex, the University completed contract documents drawings for building envelope repairs, mechanical system upgrades and interior room modifications. The renovation work is complete. The complex provides space for the Center for Environmental Science and Engineering (CESE) laboratories, offices and research collaboration spaces as well as temporary space for programs displaced by construction projects.

### ***Bishop Renovation***

The Merlin D. Bishop Center was opened in 1971 and served as the Center for Continuing Studies until late spring 2012. This three-story, 36,000 square foot facility has had minimal renovation since its original construction and was heavily used as a conference center over the last several years. Portions of the building were reallocated to the School of Fine Arts to accommodate Printmaking and Digital Media and Design in summer 2012. Renovation work included new HVAC systems for art, various building upgrades, interior improvements and ADA enhancements. The remaining facility will undergo the necessary renovation to support academic and student support services activities in the future.

### ***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, walks and grounds
- Environmental remediation

The Phase III project budget now stands at \$241.8 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, recently completed, provides a facility program to meet the needs of interdisciplinary engineering and technology research activities. Site evaluation and building configuration studies are nearly complete. Design for the new building will commence in fall 2012. Deferred maintenance projects are ongoing including code upgrades mechanical improvements and interior renovations 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 has selected an architectural team to assist in developing 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 required 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. Construction is complete with building occupancy occurring in summer 2012.



### ***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 building now operates beyond its useful life. A major renovation or replacement of the space is required to address the physical deterioration, to update the facilities and to meet current program requirements. This includes repair of the building envelope (roofs, windows and masonry), improvement of fire alarm and fire suppression systems, and upgrades to mechanical, electrical and plumbing systems. An architecture and engineering team has been selected and the pre-planning work is complete. A new fire alarm system was installed throughout the complex as well as roof replacement of the Math Science wing.

The University has developed a project to respond to safety issues in regard to the façade deterioration, the north and south stair towers. The work is anticipated to be completed by September 2013.

### ***Heating Plant Upgrade***

The University completed an expansion to the existing heating plant, a new Cogeneration system in 2006. At the time of construction, space to accommodate a future chiller and emergency generator were made should the University require additional cooling and power. The University will need additional chilled water, emergency power for life safety as well as emergency power for business continuity purposes. It is anticipated that strategic planning will occur in FY 2013.

### ***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 roof was repaired, the masonry was repointed and an elevator was installed. The building is

still 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 was completed in 2012.



### ***Law School Renovations/Improvements***

In May 2000, as part of a plan to undertake renovations to the Starr building (former Law Library building), a facility program was developed for all original campus buildings. Starr Hall (50,750 square feet), Chase Hall (19,500 square feet), Hosmer Hall (43,072 square feet) and Knight Hall (13,500 square feet) are office and classroom buildings on the Law School campus. These buildings are listed on the National Historic Register. The University intends to repair façade deterioration at Starr Tower and make parapet repairs at Chase and Hosmer Halls. The University commenced repairs on the exterior façade at Starr Tower which will be complete in late 2012. Other exterior repairs such as parapet stabilization are underway at Hosmer and Chase Halls and are scheduled to be complete in spring 2013. Replacement of seating in the Davis Courtroom and other various interior improvements are underway. Future renovations to the remaining buildings will be completed as funding is available.

### ***Manchester Hall Renovation***

The Harry Grant Manchester Hall is a 28,500 square foot office and classroom building constructed in 1940 and requires various upgrades and repairs to the exterior envelope. The University developed contract documents for the installation of new windows and repair to the façade and roof. The building is listed on the National Historic Register and the design team has worked closely with the State's Historic Commission Officer to ensure compliance. The work was completed in the summer of 2012. A minor project is underway to address deficiencies to the electrical distribution within the building.

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

This project, in its two phases, will stabilize some of 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 the 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 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. Recently a National Environmental Assessment was completed that will permit the project to move forward by allowing the University to apply for various regulatory permits from the Departments of Energy and Environmental Protection and Transportation. In April 2012, a National Environmental Assessment was completed which allows the university to proceed with submission of various regulatory permits to the Department of Energy and Environmental Protection. Design of the roadway is nearly complete.

### ***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 with selective

renovations to the existing structure has been deemed essential. The new addition will provide improved laboratories for various clinical and research programs and other improvements



include new sprinklers, roof, and repair of leaking concrete walls as well as electrical and acoustical upgrades. The University, through a Construction Manager at Risk, began construction in spring 2012. Work is anticipated to be complete in early 2014.

### ***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, 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 residential life strategic facility plan. This project provides funds for near term renovation and construction needs to sustain current residential life operations. 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 Augustus Storrs Hall, built in circa 1908. Construction renovations to the existing building were completed in August 2011. Construction of an addition is also complete and the building is fully occupied as of late summer 2012. The project provided an addition to Storrs Hall, as well as a renovation and infrastructure investment to the original Storrs Hall.



### ***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 in 2015/2016.

Other work anticipated on this project includes 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 will be released for public comment in late 2012. Architect and Construction Manager at Risk selection for the first building is complete. Early site evaluation, programming and master planning for the park are in process.

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

The project goal is a facility replacement for the programs in the George Safford Torrey Life Sciences Building. It includes new research and teaching laboratories, classrooms and offices for various biology programs. Due to a lack of sufficient funding, planning efforts were modified to analyze the building's potential for renovations rather than replacement. Renovation to a portion of the first floor of Torrey began in spring 2011 and is now complete. It is anticipated that further strategic facility planning will proceed in FY13.

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

The majority of the funds for this project will be used to support 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), School of Social Work (34,000 square feet) and the Undergraduate Building (67,400 square feet). These buildings were constructed in 1964, 1968 and 1971 respectively. Virtually no renovation or expansion has taken place since the structure was originally built. In order for the buildings to meet functional needs for the twenty-first century, renovations/improvements are needed for all buildings. The improvements can potentially be 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. Boiler replacement in the Library Building, campus wide electrical upgrades and renovation of the Student Union lounge and offices are complete. A preliminary study of the HVAC systems and strategic facilities planning is proceeding.

### ***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 the College's laboratory needs and the generally poor condition of all the building 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 has completed contract documents. Construction started in summer 2012 and is 25% complete.



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

### ***UCHC New Construction and Renovation New Hospital Bed Tower***

The existing John Dempsey Hospital (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.

This project will construct a new 169 patient bed tower as an addition to the existing main Hospital (H) Building. The addition will include space for 13 new operating rooms and a new 42 bay Emergency Department. The renovation work will relocate the Clinical Lab and the Clinical Pharmacy programs and will replace or refurbish the mechanical and electrical infrastructure for the much of the existing H building.

The project's scope was expanded as part of the Bioscience Connecticut initiative to include 26,000 gross square feet of clinical support space and a second 400 car parking garage. The clinical support space will allow medical support services to be combined into one location.



The project is being implemented in phases as follows:

- Phase 1: New East Parking Garage and site utility work (construction began as scheduled in June 2012; completion is anticipated in March 2013).
- Phase 2: Construction of the new bed tower, Emergency Department, Operating Room suite, and the new West Parking Garage (The Construction Document Phase of planning is 80% complete and will be fully completed in December 2012).
- Phase 3: Renovations to the existing Hospital (H) building (construction to begin after the completion of the bed tower in 2016).



UCHC Clinic Building

### ***Clinic Building Renovations***

The existing clinical area of the Main Building will be renovated as part of the BioScience Connecticut capital program. The focus of the renovations will be the Dental School's teaching clinics and the Pat and Jim Calhoun Cardiology Center. The project will also replace outdated mechanical and electrical building infrastructure components. Planning will begin in early 2013 for this project.



Academic Building

***Academic Building Addition and Renovations*** Originally conceived as a separate floor in the new bed tower, additional medical education space is planned to support the planned 30% increase in dental and medical student class sizes. As a result of conceptual planning work, the education space is now planned as an addition to the existing Academic (A) building. This approach will provide a centralized location for the majority of the education activities. Planning is expected to begin in early 2013.

#### ***CLAC Renovation***

This project entails renovations to the building housing the Center for Laboratory Animal Care (CLAC). 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 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 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” (DM) 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
- General building renovations
- Roads, walks and grounds
- Environmental remediation

The Phase III total is \$45.4 million.

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

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 is complete and construction will begin in June 2012. The project is renovating 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 Phase III 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. The new Student Lounge was completed in October 2011. Later phases of the project will address other issues such as a fitness center 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 and major building mechanical systems. The facility consists of seven floors, which house over



Proposed Renovated Lab space in the UCHC Main Building

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 included renovation to approximately 50% of the 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 gross square feet of space dedicated to research incubator labs. Approximately half of the new incubator lab space will be included in the L building and the remainder of the space will be built as an addition to the Cell and Genome Science Building. The renovations will be completed in two projects and each project will have 3 phases. The first phase of the first project will begin construction in December 2012.

#### ***Research Tower: Addition to the Cell and Genome Science Building***

To allow the increase in incubator lab space at the UCHC campus, a 14,000 square foot addition will be constructed at the 400 Farmington Avenue site. This new addition will add to the existing incubator lab program at this location. Planning is anticipated to begin in the spring of 2013.

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

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 \$2.0 billion from all fund sources; \$1.5 billion is strictly UCONN 2000 funds. As of October 2012, Connecticut businesses have accounted for \$1.25 billion of the total contracted dollars with "set-aside" general contractors and subcontractors accounting for \$370.2 million. Overall, small business participation has amounted to \$218.4 million, minority business participation has amounted to \$46.9 million, and women-owned business participation has amounted to \$105.8 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.

In July 2011, Governor Dannel P. Malloy signed Public Act 11-75, “An Act Concerning the University of Connecticut Health Center”, the Bioscience Connecticut initiative, 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 the \$100 million contribution of federal, private or other non-state money; and provided for funding to renovate research laboratory space and create additional business incubator space. The initiative is expected to secure the State’s position as a national leader in bioscience research and help jumpstart the economy by creating construction jobs immediately and generating long term sustainable economic growth based on bioscience research, innovation, entrepreneurship and commercialization. The Connecticut Bioscience Initiative 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.

On August 25, 2011, at a ceremony on the Storrs Campus, the Governor 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.

During the October 2011 special session, the Connecticut General Assembly adopted Public Act 11-2 which established the Connecticut Bioscience Collaboration Program (the “Collaboration”) and authorized \$290,685,000 of State general obligation bonds to be issued over a ten year period and to be deposited in the Connecticut Bioscience Collaboration Fund. The Collaboration will support the establishment of a bioscience cluster anchored by the Jackson Laboratory for Genomic Medicine, a research laboratory, located on UCHC’s Farmington campus.

### **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 20 bond issues for the UCONN 2000 program including 5 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**

<b><u>Date of Issue</u></b>	<b><u>Par Amount</u></b>	<b><u>TIC <sup>(1)</sup></u></b>	<b><u>General Obligation Bond Issue</u></b>
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 <sup>(2)</sup>
March 26, 2003	96,210,000.00	3.97%	2003 Series A <sup>(3)</sup>
January 22, 2004	97,845,000.00	3.76%	2004 Series A <sup>(4)</sup>
March 16, 2005	98,110,000.00	4.20%	2005 Series A <sup>(5)</sup>
March 15, 2006	77,145,000.00	4.20%	2006 Series A <sup>(6)</sup>
April 12, 2007	89,355,000.00	4.10%	2007 Series A <sup>(7)</sup>
April 16, 2009	144,855,000.00	4.01%	2009 Series A <sup>(8)</sup>
May 25, 2010	97,115,000.00	3.64%	2010 Series A <sup>(9)</sup>
<u>December 12, 2011</u>	<u>179,730,000.00</u>	<u>3.31%</u>	<u>2011 Series A <sup>(10)</sup></u>
<b>Sub Total Phases I, II, &amp; III</b>	<b>\$1,598,792,146.50</b>		

**Refunding Bonds**

January 29, 2004	\$216,950,000.00	3.55%	2004 Series A Refunding <sup>(4)</sup>
March 15, 2006	61,020,000.00	4.17%	2006 Series A Refunding <sup>(6)</sup>
April 12, 2007	46,030,000.00	4.19%	2007 Series A Refunding <sup>(7)</sup>
May 25, 2010	36,095,000.00	2.86%	2010 Series A Refunding <sup>(9)</sup>
<u>December 12, 2011</u>	<u>31,905,000.00</u>	2.29%	2011 Series A Refunding <sup>(10)</sup>
<b>Sub-Total Refunding Bonds</b>	<b>\$392,000,000.00</b>		

**Total GO-DSC Bonds                      \$1,990,792,146.50**

- (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.

- (10) The GO-DSC 2011 Series A Bonds new money and GO-DSC Refunding 2011 Series A Bonds were issued under a single Official Statement with a combined par amount of \$211,635,000. The GO-DSC 2011 Series A Bonds new money par amount of \$179,730,000 plus \$20,700,000 of the original issue premium, totaled \$200,000,000 available for projects; and the GO-DSC Refunding 2011 Series A Bonds par amount of \$31,905,000 plus \$4,936,565.62 of the original issue premium provided \$36,841,565.62 for the refunding escrow. Additional proceeds including premium funded the costs of issuance.

The fifteen series of UCONN 2000 General Obligation DSC bonds issued to fund projects total \$1,598,792,146.50 in par value and provided \$1,635,000,000.00 for UCONN 2000 project spending (excluding the UCONN 2000 General Obligation DSC Refunding 2004, 2006, 2007, 2010 and 2011 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 \$1,874,000,000 have been authorized to receive General Obligation Debt Service Commitment bond proceeds:

<b><u>Phases I &amp; II</u></b>	<b><u>Authorized</u></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-PhaseII	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/(a.k.a. Museum of Natural History)	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/(a.k.a. Fairfield Road Pedestrian Mall)	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	6,000,000.00
Underground Steam & Water Upgrade Completion	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
<u>Wilbur Cross Building Renovation</u>	<u>19,999,571.00</u>
<b>Phase I &amp; II Totals</b>	<b><u>\$962,000,000.00</u></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><u>Phase III – Storrs and Regional Campuses</u></b>	<b><u>Authorized</u></b>
Arjona and Monteith (new classroom buildings)	\$101,500,000.00
Avery Point Campus Undergraduate and Library Building	10,625,308.00
Avery Point Renovation	644,469.54
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	2,325,000.00
Deferred Maintenance/Code/ADA Renovation Lump Sum	156,884,946.46
Engineering Building (with Environmental Research Institute)	12,497,000.00
Equipment, Library Collections & Telecommunications	66,141,496.00
Family Studies (DRM) Renovation	3,700,000.00
Farm Buildings Repairs/Replacement	3,745,000.00
Fine Arts Phase II	6,300,000.00
Floriculture Greenhouse	6,750,000.00
Gant Building Renovations	11,250,000.00
Gentry Completion	10,000,000.00
Heating Plant Upgrade	7,250,000.00
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	4,500,000.00
Old Central Warehouse	2,126,000.00
Psychology Building Renovation/Addition	21,500,000.00
Residential Life Facilities	6,800,000.00
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	3,500,000.00
Torrington Campus Improvements	500,000.00
Waterbury Downtown Campus	450,000.00
West Hartford Campus Renovations/Improvements	10,400,000.00
<b><u>Young Building Renovation/Addition</u></b>	<b><u>17,519,930.00</u></b>
<b>Total — Storrs and Regional Phase III</b>	<b><u>\$573,824,150.00</u></b>

**HEALTH CENTER**

CLAC Renovation Biosafety Level 3 Lab	\$1,315,000.00
Deferred Maintenance/Code/ADA Renovation Sum — Health Center	34,505,125.00
Dental School Renovation	5,000,000.00
Equipment, Library Collections and Telecommunications - Health Center	54,005,725.00
Library/Student Computer Center Renovation	1,400,000.00
Main Building Renovation	48,588,000.00
Medical School Academic Building Renovation	8,700,000.00
Planning and Design Costs	25,000,000.00
Research Tower	60,471,000.00
Support Building Addition/Renovation	100,000.00
<u>The University of Connecticut Health Center New Construction and Renovation</u>	<u>99,091,000.00</u>
<b>Total — Health Center Phase III</b>	<b><u>338,175,850.00</u></b>
<b><u>TOTAL PHASE III PROJECTS</u></b>	<b><u>912,000,000.00</u></b>

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<b>TOTAL GO-DSC BONDS: PHASE I, II AND III PROJECTS</b>	<b>\$1,874,000,000.00</b>
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\* *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 \$24.6 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.

On December 12, 2011, the University achieved \$1.9 million in debt service savings through the issuance of \$31,905,000 of UCONN 2000 General Obligation DSC Refunding 2011 Series A Bonds. Proceeds pre-refunded \$33,735,000 of portions of the 2003 and 2004 UCONN 2000 General Obligation DSC Bonds. Debt service savings amounted to \$1,918,938.89 on a gross cash debt service savings basis, or \$1,680,287.49 on a net present value basis (5.0% 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, including two refunding, 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:

### **UCONN 2000 SO-SFR Bonds**

<b><u>Date of Issue</u></b>	<b><u>Par Amount</u></b>	<b><u>TIC <sup>(1)</sup></u></b>	<b><u>Special Obligation Student Fee Revenue Bond Issue</u></b>
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:

<b><u>Special Obligation Bonds</u></b>	<b><u>Authorized &amp; Issued</u></b>
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>	14,180,000
<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.

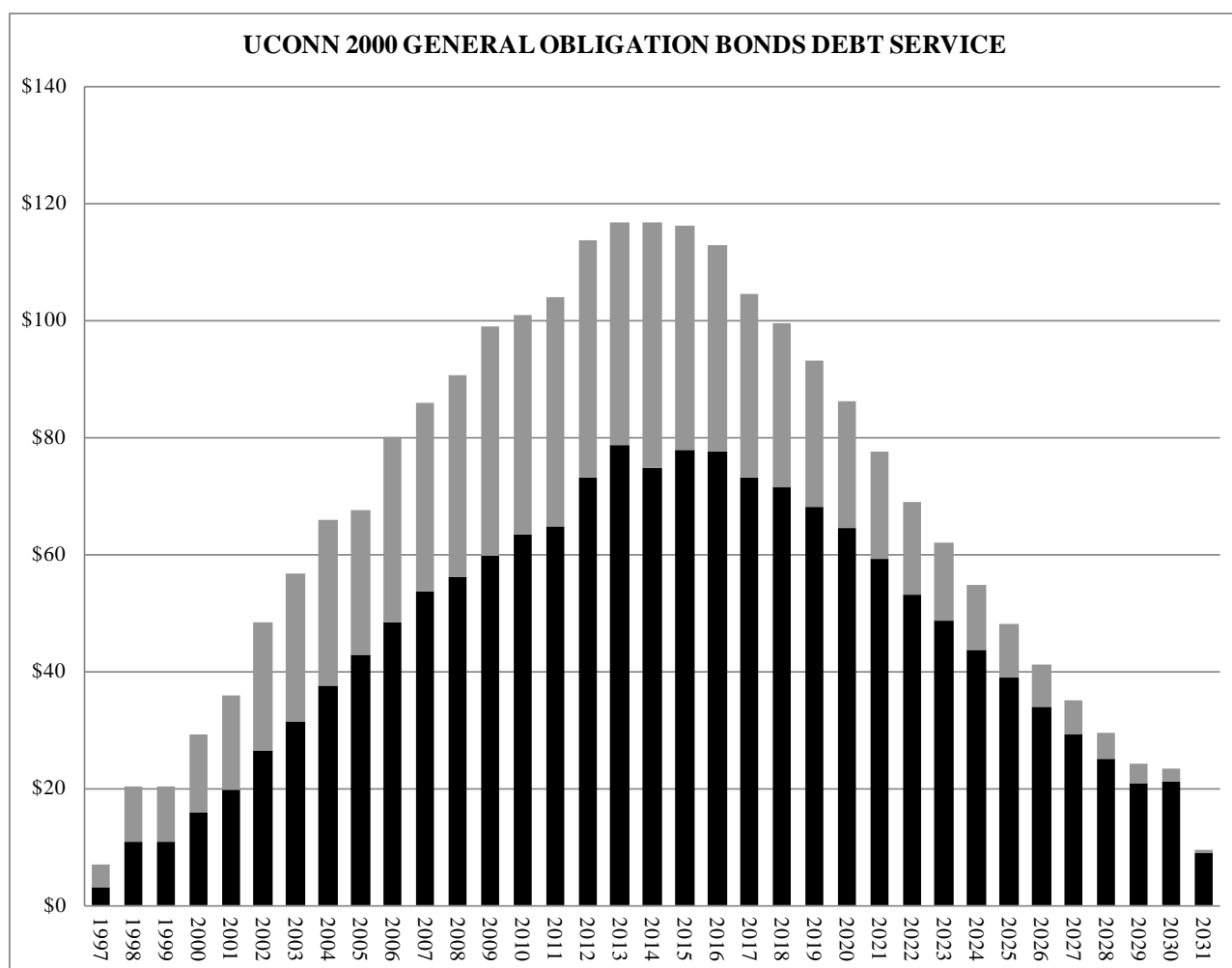
### **General Obligation Debt Service Commitment Bonds**

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 October 30, 2012 :

- 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 \$2,338.9 million, representing \$1,589.6 million of principal and \$749.3 million of interest (including the Refunding Bonds but net of refunded debt).
- Of this amount, debt service of \$1,142.44 million, representing \$686.1 million of principal and \$456.3 million of interest (including capital appreciation bonds) has been paid.
- Future debt service requirements at this time amount to \$1,196.6 million representing \$903.6 million of principal and \$293.0 million of interest (including capital appreciation bonds).

For the fiscal year ending June 30, 2012, the Debt Service Commitment paid for the University's General Obligation Bonds amounted to \$116.7 million (representing \$78.7 million of principal and \$38.0 million of interest).

As of October 30, 2012, the following graph shows UCONN 2000 General Obligation Debt Service Commitment debt service by fiscal year including refunding issues, but net of refunded.

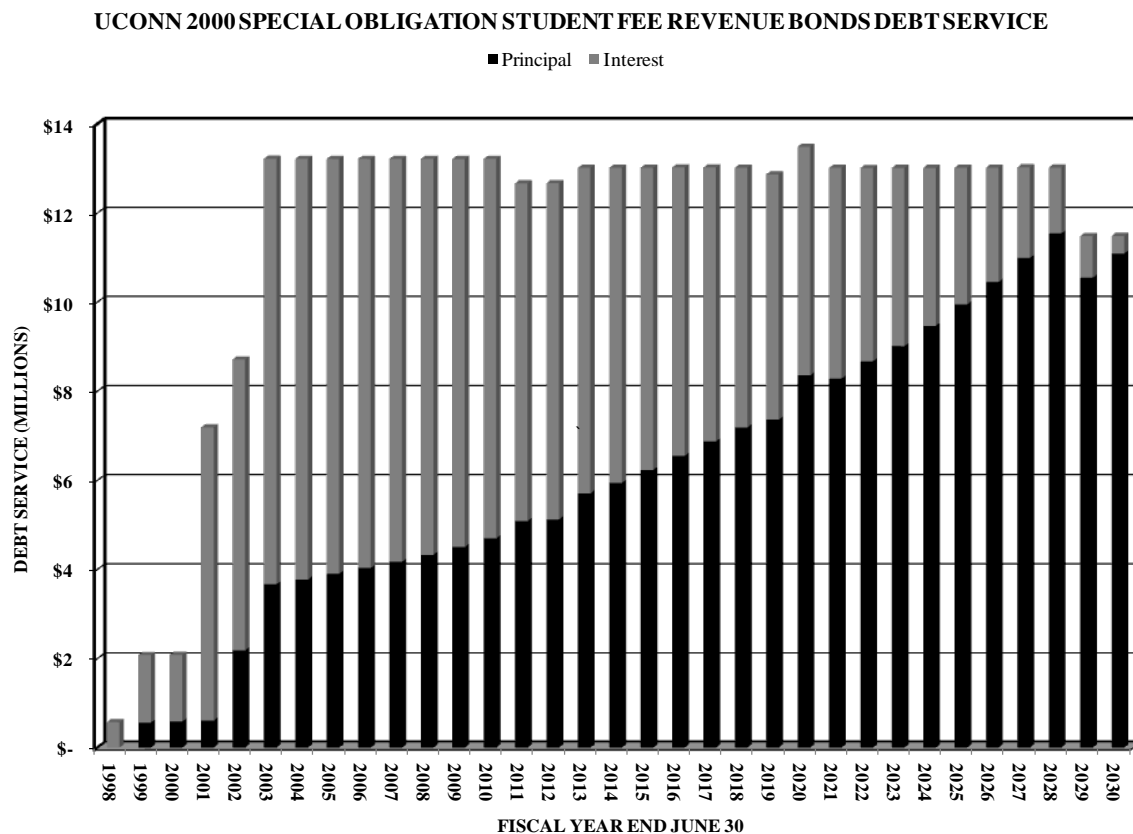




For the fiscal year ending June 30, 2012, the University paid, from its own resources, Special Obligation Bond debt service of \$12.7 million (representing \$5.1 million of principal and \$7.6 million of interest).

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 SCRIF 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 October 30, 2012, 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.

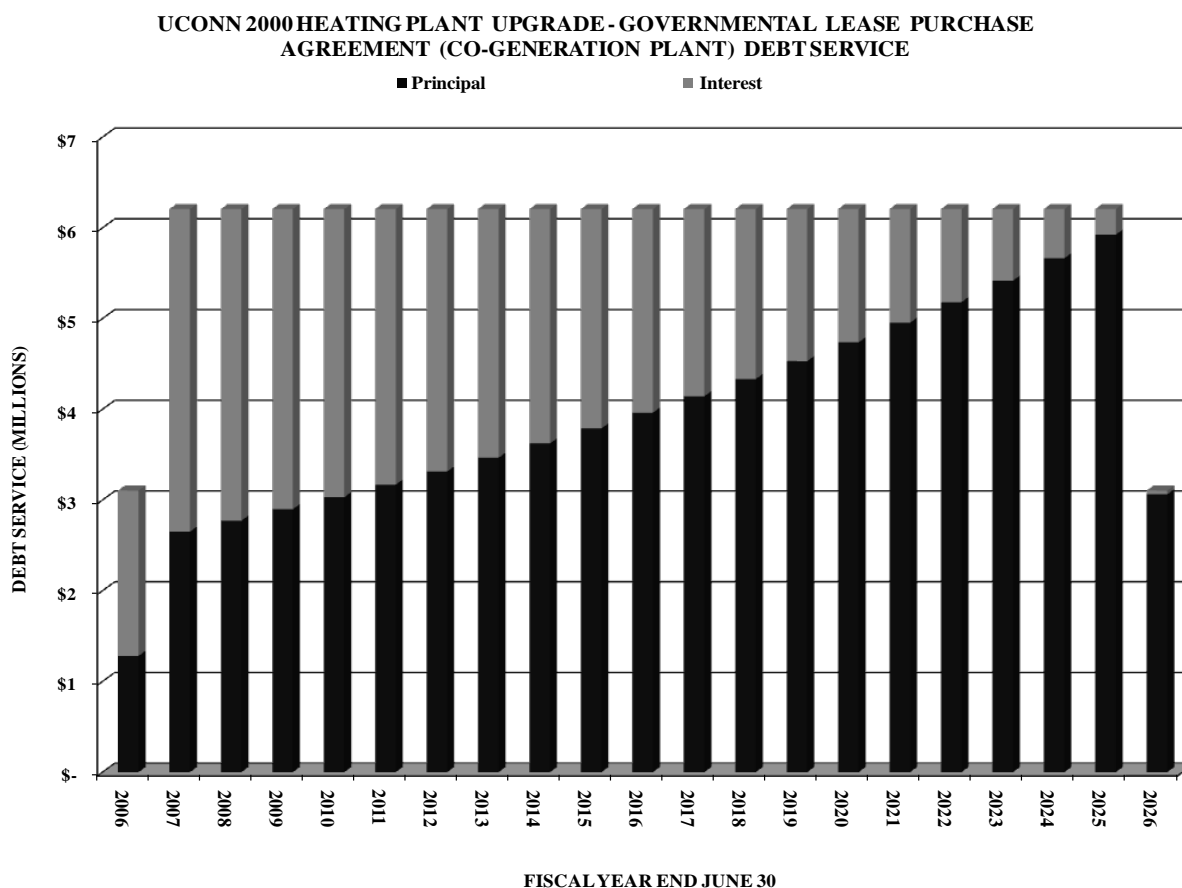
Debt is to be paid in 240 monthly installments of \$517,135 each. Over the life of the financing, debt service totals \$124,112,424 comprising \$42,212,424 of interest and \$81,900,000 of principal.

As of October 30, 2012:

- The University had paid down the Tax-Exempt Governmental Lease Purchase Agreement debt service by \$42.4 million (representing \$20.3 million of principal and \$22.2 million of interest).
- Remaining debt service amounts to \$81.7 million (representing \$61.6 million of principal and \$20.1 million of interest).

For the fiscal year ending June 30, 2012, the University paid from its own resources Tax-Exempt Governmental Lease Purchase Agreement debt service of \$6.2 million (representing \$3.3 million of principal and \$2.9 million of interest).

As of October 30, 2012, 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 "AAAm" 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, 2010 and 2011 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 \$1,322.75 (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, 2010 and 2011 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 October 30, 2012, \$912,000,000 of Phase III has been authorized by the Board of Trustees and the Office of the Governor, of which \$239,000,000 remains unissued. During Fiscal Year 2013, the University plans to issue a new money UCONN 2000 General Obligation Debt Service Commitment Bond series currently scheduled for late Spring 2013. 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 October 30, 2012, the UCONN 2000 General Obligation Debt Service Commitment bonds were rated "AA" by Standard & Poor's; "Aa3" 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.

**November 2011:** For the UCONN 2000 General Obligation Debt Service Commitment Bonds Moody's Investors Service downgraded the rating to "Aa3" from "Aa2" and revised the outlook to positive (following their same action on State of Connecticut's general obligation bond rating); Standard & Poor's affirmed the rating at "AA/Stable"; and FITCH affirmed the rating at "AA-/Stable".



### **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**

As of June 30<sup>th</sup> 2012, fiscal year results totaled \$60 million in new gifts and commitments, exceeding the \$57 million dollar goal for the year, and an increase of 18.7 percent over 2011. Cash gifts totaled \$43.5 million, or 87% of the \$50 million goal. The number of donor households was 29,466 or 98% percent of the 30,000 goal.

The Annual Fund raised \$8.1 million in current operating support from 23,498 donors. The goals for the year were \$9.0 million and 27,000 donors (achieving 90 percent and 87 percent to goal, respectively).

Approximately \$336.7 million was recorded toward the *Our University. Our Moment.* Campaign goal of \$600 million (56 percent to goal). This includes more than \$93.4 million raised for the endowment.

### **State Endowment Matching Funds**

For calendar year 2011, the total dollar value of endowment gifts eligible for state matching grants was \$8.7 million. Submissions for eligible gifts to endowment resulted in state match request of \$2.2 million. As of this date, the total of state matching funds outstanding through calendar year 2011 is \$20.2 million.

## Significant Recent Commitments

- The estate of **Mr. Fred Hollfelder** pledged \$1.75 million to Charlotte Johnson Hollfelder Center for Women's Health at the UConn Health Center
- **Mr. and Mrs. Ray Neag** pledged \$1.59 million to the Carole and Ray Neag Orthopedic Scholars Program
- **Mr. Michael A. Melio** pledged \$1 million to the Basketball Student-Athlete Development Center
- The estate of **Mrs. Ruth B. Filip** pledged \$1.2 million to the School of Fine Arts
- **Mr. and Mrs. Karl J. Krapek** pledged \$850,000 to the Basketball Student-Athlete Development Center
- **Mr. Jack W. Cohen** pledged and estate gift of \$600,000 to the Francine J. & Jack W. Cohen Memorial Scholarship Fund
- **InMotio** donated \$507,675 to The University of Connecticut Unrestricted Athletic Fund
- **An anonymous** pledge of \$500,000 was received for the Fund for the Pat and Jim Calhoun Associate Professorship in Cardiology
- **Ms. Wendy Reeves Watkins** pledged \$500,00 to the Basketball Student-Athlete Development Center
- **Mr. and Mrs. William H. Trachsel '71** donated \$452,670 to the Nancy and Bill Trachsel '71 Scholarship Fund
- **Ms. Elizabeth M. Macfarlane** donated \$382,017 to the Elizabeth M. Macfarlane '39 Endowed Fund
- **Ms. Kristin A. Collins and Mr. Robert Christopher Knapp** have committed \$300,000 to the Charles H. Knapp Fund for Electrical Engineering
- **Mr. and Mrs. Timothy A. Holt** pledged \$250,000 to the Basketball Student-Athlete Development Center
- **Mr. and Mrs. Joseph E. Parsons** pledged \$203,000 to the Basketball Student-Athlete Development Center
- **Cardinal Health, Inc.** pledged \$125,000 to the Cardinal Health Community Pharmacy Scholarship
- **TicketNetwork** Pledged \$120,000 to the TicketNetwork Fund for the School of Business

## 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/)

The website contains all previous legislative updates to the Governor and the General Assembly (Progress Reports), the four year Progress Report, the original UCONN 2000 proposal and UCONN 2000 project updates.

The screenshot shows a web browser window titled "UConn 2000 - Reports - Windows Internet Explorer". The address bar displays "http://uc2000.uconn.edu/reports/". The page features the University of Connecticut logo and the title "21st Century UConn - UCONN2000". Below the navigation bar, the "Progress Reports" section is highlighted. It includes two main report thumbnails: "Report #34 April 2012 (PDF)" and "Five-Year Progress Report - 2011 (PDF)". A list of links for "Five-Year Progress Report - 2006 (PDF)" and "Four-Year Progress Report - 1999" is also present. A note at the bottom of the progress reports section states: "For the complete edition of the reports in printed format, please contact UConn Governmental Relations, (860) 486-5519." Below this, the "Archived Reports" section lists 20 reports in a grid format, each with a date and a PDF link. The footer contains a search bar with "UConn", "The Web", and "People" tabs, a "Type Search Here" input field, a "FIND" button, and a "UCONN HOME" link. On the right side of the footer, there is a small copyright notice: "© University of Connecticut. Disclaimers, Privacy & Copyright. Comments."

UConn 2000 - Reports - Windows Internet Explorer

http://uc2000.uconn.edu/reports/

UConn 2000 - Reports

University of Connecticut

21st Century UConn - UCONN2000

HOME

PROGRESS REPORTS

**Progress Reports**

Report #34 April 2012 (PDF)

Five-Year Progress Report - 2011 (PDF)

Five-Year Progress Report - 2006 (PDF)

Four-Year Progress Report - 1999

For the complete edition of the reports in printed format, please contact UConn Governmental Relations, (860) 486-5519.

**Archived Reports**

Report #33 October 2011 (PDF)	Report #25 October 2007 (PDF)	Report #17 October 2003	Report #9 October 1999
Report #32 April 2011 (PDF)	Report #24 April 2007 (PDF)	Report #16 April 2003	Report #8 April 1999
Report #31 October 2010 (PDF)	Report #23 October 2006 (PDF)	Report #15 October 2002	Report #7 October 1998
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 #1 October 1995

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# UCONN 2000 Year 18

## FY 2013 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)	\$ 5,500,000
Avery Point Campus Undergraduate & Library Building	1,172,495
Deferred Maintenance/Code/ADA Renovation Lump Sum	7,307,575
Engineering Building	4,000,000
Equipment, Library Collections & Telecommunications	1,500,000
Fine Arts Phase II	1,550,000
Gant Building Renovations	2,000,000
North Hillside Road Completion	2,500,000
Old Central Warehouse	1,000,000
Psychology Building Renovation/Addition	15,850,000
Residential Life Facilities	2,500,000
Torrey Renovation Completion & Biology Expansion	2,000,000
Young Building Renovation/Addition	8,019,930
Subtotal of Storrs & Regional Campuses	<u>\$ 54,900,000</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
Equipment, Library Collections & Telecommunications - Health Center	1,600,000
Main Building Renovation	34,109,000
UCHC New Construction and Renovation	49,391,000
Subtotal of Health Center	<u>\$ 88,100,000</u>

**Grand Total FY 2013** **\$ 143,000,000**

# 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	13,102,813
Avery Point Renovation	644,470
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	241,784,741
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	6,750,000
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	25,170,550
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	17,519,930

<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	149,433,000
Medical School Academic Building Renovation	40,697,500
Parking Garage - Health Center*	8,400,000
Planning & Design Costs	25,000,000
Research Tower	60,471,000
Support Building Addition/Renovation	100,000
UCHC New Construction and Renovation	<u>356,918,500</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 Executive Vice President for Administration and Chief Financial Officer has the responsibility for the administration of these policies. Authority for their implementation may be delegated to appropriate operating departments and/or individuals.
2. A selection committee shall be appointed to select professional services for each project in accordance with university policies and procedures.
3. The selection committee shall develop the rating and evaluation criteria.
4. The contract shall be negotiated in consultation with the Associate Vice President for Architecture, Engineering and Building Services and/or Director of Planning for Storrs, Law School and Regional Campuses, or with the Associate Vice President for Facilities Development & Operations for the Health Center.
5. Changes in scope that affect the cost of the project must be approved by the Executive Vice President for Administration and Chief Financial Officer, or as delegated to appropriate operating departments and/or individuals.

## **EXHIBIT D**

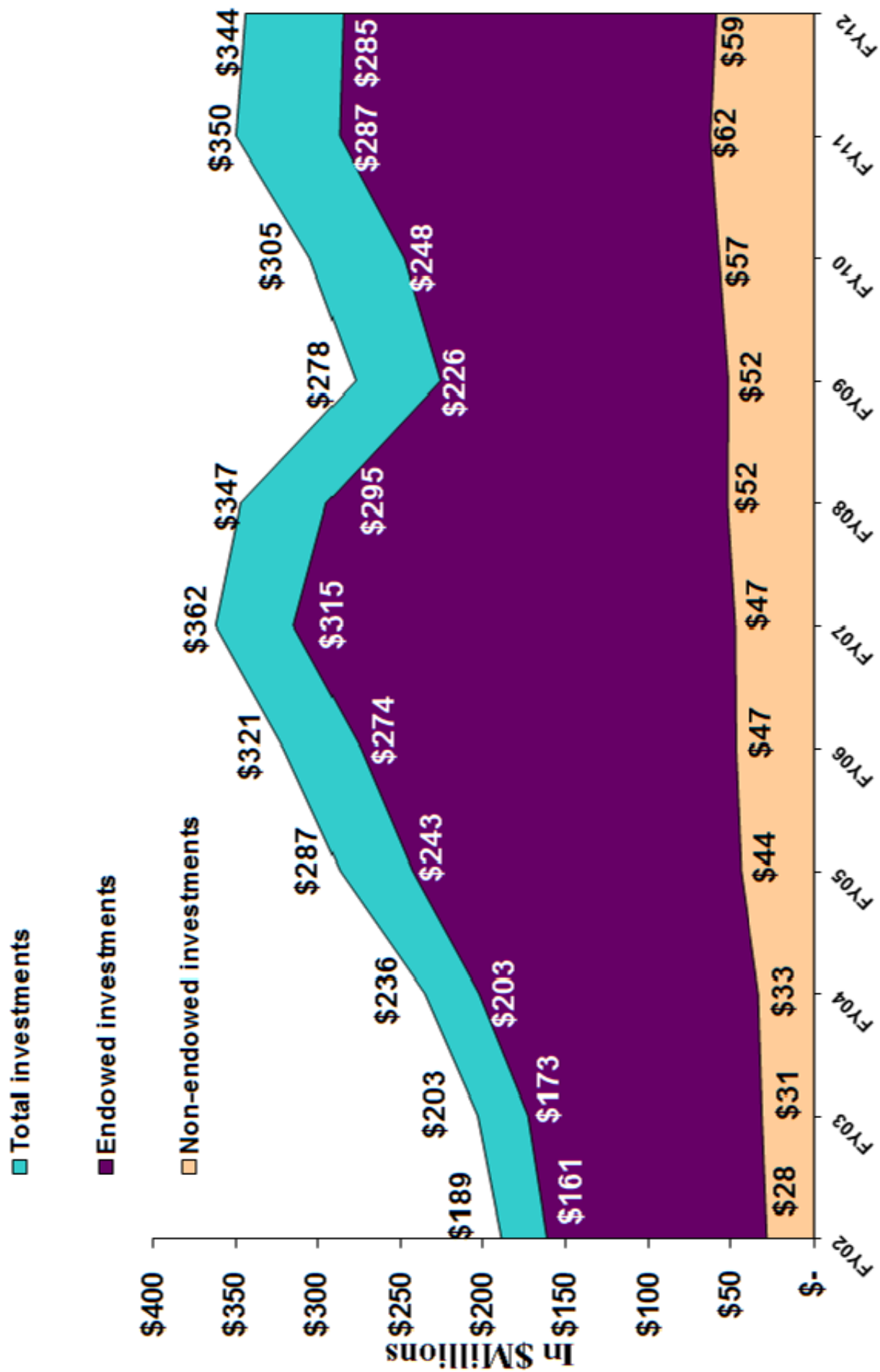
### **POLICIES: PRE-QUALIFICATION AND SELECTION OF CONTRACTORS**

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.

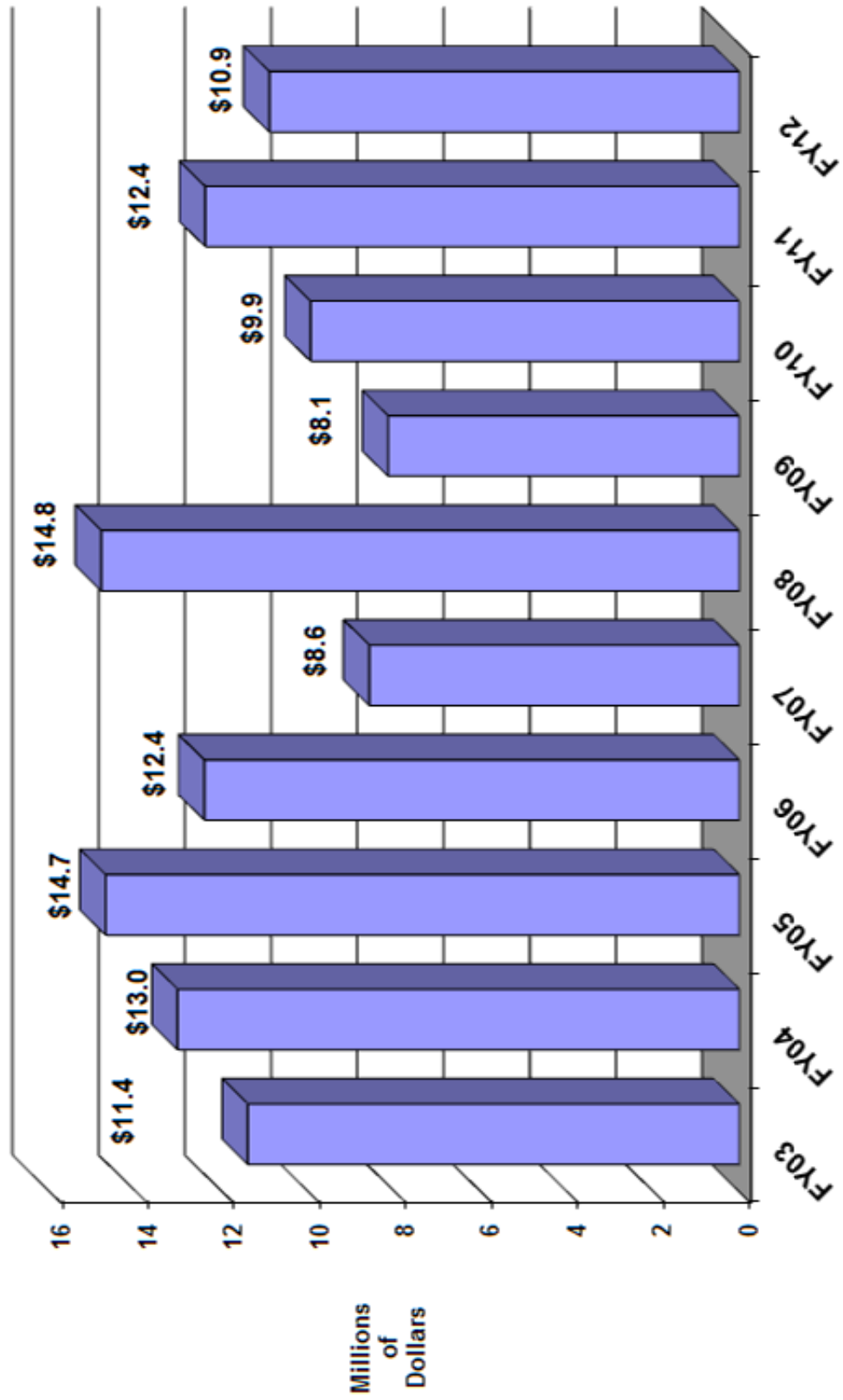
1. The Executive Vice President for Administration and Chief Financial Officer has the responsibility for the administration of these policies. Implementing authority may be delegated to appropriate operating departments.
2. Pre-qualification shall be required of all bidders for projects over \$100,000.
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



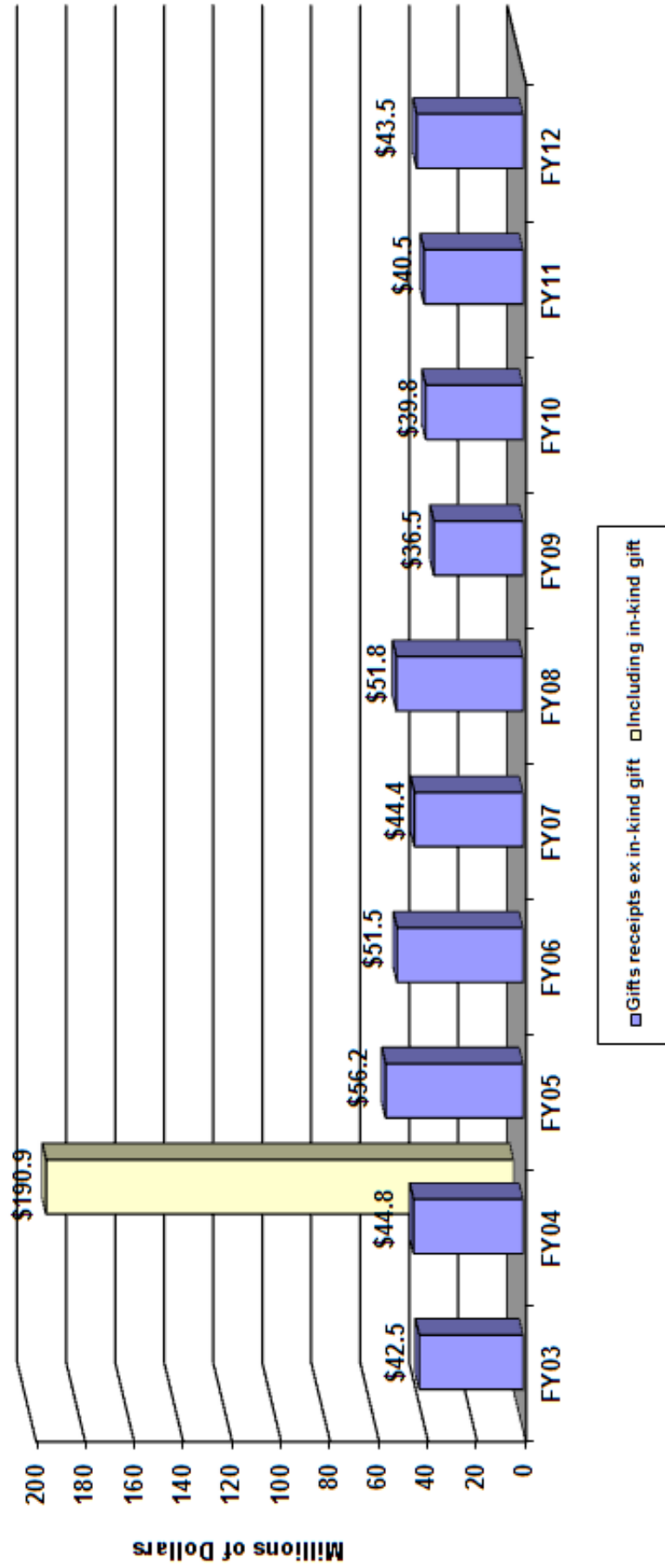
- f. Insure timely and orderly completion of UCONN 2000 or 21<sup>st</sup> Century UConn Projects.
- 9. The Executive Vice President for Administration and Chief Financial Officer shall approve use of the exigency provision for an individual job based upon a written recommendation from the Associate Vice President of Architectural, Engineering and Building Services for Storrs, Law School and Regional Campuses, or by the Associate Vice President for Facilities Development & Operations 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 Associate Vice President of Architectural, Engineering and Building Services for Storrs, Law School and Regional Campuses, or by the Associate Vice President for Facilities Development & Operations as designee for the Health Center will prepare a price negotiations memorandum detailing the basis for the award.
- 12. The Executive Vice President for Administration and Chief Financial Officer shall also stipulate whether the added work shall be incorporated into the contract by change order or be consummated as a new contract.



## 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 & STATUS: UCONN 2000 - PHASE I

(As of June 30, 2012)

Project Description	Total Project Funding*	UCONN 2000 DSC Bonds	University Revenue Bonds	Other State Bonds	Federal/Research Funds	Operating Funds	Private Funds	Project Status
Agriculture Biotechnology Facility	\$13,341,445	\$9,400,000		\$2,457,550	\$1,483,895			Complete
Avery Point Marine Science Research Center: Phase I	\$35,531,445	\$30,000,000		\$5,318,000		\$213,445		Complete
Babbidge Library	Project not funded in UCONN 2000.							
Benton State Art Museum Addition	\$2,322,839	\$700,000						Complete
Chemistry Building	\$56,862,291	\$53,062,000		\$3,691,144		\$30,313	\$1,592,526	Complete
Deferred Maintenance & Renovation Lumpsum <sup>A</sup>	\$40,798,260	\$40,798,260				\$109,147		Complete
Equipment, Library Collections & Telecommunications <sup>A</sup>	\$60,500,000	\$60,500,000						Complete
Gant Plaza Deck	\$5,458,000	\$3,516,000		\$1,942,000				Complete
Hartford Relocation Feasibility Study	Project not funded in UCONN 2000.							
Heating Plant Upgrade	\$11,157,272	\$9,969,000				\$488,272		Complete
Ice Rink Enclosure	\$4,044,001	\$3,280,000		\$222,407		\$541,594		Complete
Litchfield Agricultural Center: Phase I	\$1,515,682	\$1,000,000				\$515,682		Complete
Mansfield Apartments Renovation	\$2,784,899	\$2,071,000		\$713,899				Complete
North Superblock Site & Utilities	\$7,668,000	\$7,668,000						Complete
Northwest Quadrant Renovation: Phase I	\$2,001,000	\$2,001,000						Complete
Parking Garage - North	\$9,658,000	\$9,658,000						Complete
Pedestrian Spinepath & Walkways (aka Fairfield Road Pedestrian Mall)	\$6,074,000	\$6,074,000						Complete
School of Business	\$21,059,000	\$19,559,000					\$1,500,000	Complete
School of Pharmacy	\$3,956,000	\$3,856,000		\$100,000				Complete
South Campus Complex	\$48,339,432	\$12,251,000	\$30,000,000	\$2,621,219		\$3,467,213		Complete
Stamford Downtown Relocation: Phase I	\$72,374,188	\$55,781,472		\$14,000,000		\$2,592,716		Complete
Technology Quadrant: Phase IA	\$68,758,146	\$37,903,000		\$2,199,900		\$28,655,246		Complete
Underground Steam & Water Upgrade: Phase I	\$6,000,000	\$6,000,000						Complete
University Programs Building (aka Visitor's Center)	\$1,556,471					\$6,471	\$1,550,000	Complete
Waring Building Conversion	\$916,000	\$916,000						Complete
Waterbury Property Purchase	\$200,000	\$200,000						Complete
White Building Renovation	\$2,641,008	\$2,427,269		\$213,739				Complete
Wilbur Cross Building Renovation	\$3,409,000	\$3,409,000						Complete
<b>Totals</b>	<b>\$488,926,378</b>	<b>\$382,000,000</b>	<b>\$30,000,000</b>	<b>\$34,179,858</b>	<b>\$1,483,895</b>	<b>\$36,620,099</b>	<b>\$4,642,526</b>	

\* Reflects project funding received as of June 30, 2012.

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

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

(As of June 30, 2012)

Project Description	Total Project Funding*	UCONN 2000 DSC Bonds	University Revenue Bonds	Other State Bonds	Federal/Research Funds	Operating Funds	Private Funds	Project Status
Agricultural Biotechnology Facility Completion	\$13,707,876	\$3,000,000			\$8,676,360	\$2,031,516		Complete
Alumni Quadrant Renovations	\$18,183,624	\$11,183,624	\$7,000,000					Complete
Avery Point Marine Science Research Center: Phase II	\$7,254,246	\$7,254,246						Complete
Avery Point Renovation	\$4,875,717	\$4,875,717						Complete
Business School Renovation: Phase II	\$10,907,241	\$7,958,470				\$270,457	\$2,678,314	Complete
Central Warehouse New	\$10,848,752	\$6,933,752		\$3,915,000				Complete
Deferred Maintenance & Renovation Lumpsum <sup>A</sup>	\$117,386,097	\$117,386,097						Complete
East Campus North Renovations	\$8,382,605	\$7,382,605	\$1,000,000					Complete
Equipment, Library Collections & Telecommunications <sup>A</sup>	\$105,812,000	\$105,812,000						Complete
Gant Plaza Deck	\$3,771,174	\$3,771,174						Complete
Gentry Renovation	\$10,446,418	\$9,664,597				\$723,921	\$57,900	Complete
Grad Dorm Renovations	\$2,928,228	\$2,928,228						Complete
Hilltop Dormitory New	\$21,009,042		\$21,000,000			\$9,042		Complete
Hilltop Dorm Renovations	\$8,456,164	\$8,176,529				\$279,635		Complete
Hilltop Student Rental Apartments	\$42,000,000		\$42,000,000					Complete
International House Conversion (aka Museum of Natural History)	\$886,134	\$886,134						Complete
Mansfield Training School Improvements: Phase II	\$3,500,000	\$3,500,000						Complete
Monteith Renovation	\$444,348	\$444,348						Complete
Music Drama Addition	\$16,784,314	\$7,400,000		\$9,311,618		\$72,696		Complete
North Campus Renovation	\$12,937,389	\$10,996,050				\$1,941,339		Complete
North Campus Renovation (including North Campus Student Suites & Apts)	\$47,150,508		\$45,000,000			\$2,150,508		Complete
Northwest Quadrant Renovation: Phase II	\$30,123,843	\$30,000,000				\$123,843		Complete
Parking Garage - South	\$27,942,928		\$24,000,000			\$3,942,928		Complete
School of Business	\$6,762,725	\$6,093,366				\$218,463	\$450,896	Complete
School of Pharmacy	\$84,753,000	\$84,753,000						Complete
Shippes/Buckley Renovations	\$11,920,000	\$6,920,000	\$5,000,000					Complete
Student Union Addition: Phase II	\$57,141,753	\$44,622,633				\$12,519,120		Complete
Technology Quadrant: Phase IA	\$2,090,000	\$2,090,000						Complete
Technology Quadrant: Phase II	\$34,434,179	\$34,120,000				\$314,179		Complete
Torrey Life Science Renovation & Completion	\$251,109	\$251,109						Complete
Towers Renovation	\$27,378,195	\$17,950,243	\$2,180,000			\$7,247,952		Complete
Towers Renovation (Including Greek Housing)	\$12,704,501	\$0	\$12,000,000			\$704,501		Complete

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

(As of June 30, 2012)

<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>	<i>Project Status</i>
Underground Steam and Water Upgrade & Completion: Phase II	\$6,000,000	\$6,000,000						Complete
Waring Building Conversion	\$10,536,000	\$10,536,000						Complete
Waterbury Campus Relocation	\$27,238,315			\$22,000,000		\$1,540,999	\$3,697,316	Complete
West Campus Renovations	\$519,507	\$519,507						Complete
Wilbur Cross Renovation	\$16,596,296	\$16,590,571				\$5,725		Complete
<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 June 30, 2012.

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

# CURRENT PROJECTS FUND SOURCES & STATUS: UCONN 2000 - PHASE III

(As of June 30, 2012)

Project Description	Total Project Funding*	UCONN 2000 DSC Bonds	University Revenue Bonds	Other State Bonds	Federal/Research Funds	Operating Funds	Private Funds	Project Status
Arjona & Monteith (new classroom buildings)	\$96,000,000	\$96,000,000						Planning / Construction
Avery Point Campus Undergraduate & Library Building	\$9,452,813	\$9,452,813						Construction
Avery Point Renovation	\$1,927,690	\$644,470			\$320,694	\$443,816	\$518,710	Construction
Beach Hall Renovations	\$3,500,000	\$3,500,000						Construction
Benton State Art Museum Addition	\$3,500,000	\$3,500,000						Complete
Biobehavioral Complex Replacement	\$3,000,000	\$3,000,000						Complete
Bishop Renovation	\$2,000,000	\$2,000,000						Construction
CLAC Renovation Biosafety Level 3 Lab - Health Center	\$1,315,000	\$1,315,000						Planning
Deferred Maintenance/Code /ADA Renovation Lumpsum - Storrs & Regionals <sup>A</sup>	\$149,902,371	\$149,902,371						Underway
Deferred Maintenance/Code /ADA Renovation Lumpsum-Health Center <sup>A</sup>	\$31,505,125	\$31,505,125						Underway
Dental School Renovation-Health Center	\$5,000,000	\$5,000,000						Planning
Engineering Building	\$8,497,000	\$8,497,000						Planning
Equipment, Library Collections & Telecommunications - Storrs & Regionals <sup>A</sup>	\$64,641,496	\$64,641,496						Underway
Equipment, Library Collections & Telecommunications-Health Center <sup>A</sup>	\$52,405,725	\$52,405,725						Underway
Family Studies (DRM) Renovation	\$3,700,000	\$3,700,000						Complete
Farm Building Repairs/Replacement	\$3,745,000	\$3,745,000						Complete
Fine Arts Phase II	\$4,750,000	\$4,750,000						Planning
Floriculture Greenhouse	\$6,820,000	\$6,750,000				\$70,000		Complete
Gant Building Renovations	\$9,250,000	\$9,250,000						Planning
Gentry Completion	\$10,000,000	\$10,000,000						Complete
Heating Plant Upgrade (aka Cogeneration Chiller Facility) <sup>B</sup>	\$89,150,000	\$7,250,000	\$81,900,000					Planning
Intramural, Recreational & Intercollegiate Facilities	\$48,892,037	\$31,500,000				\$4,051,806	\$13,340,231	Complete
Jorgensen Renovation	\$2,200,000	\$2,200,000						Complete
Koons Hall Renovation/Addition	\$1,300,000	\$1,300,000						Planning
Lakeside Renovation	\$5,235,200	\$3,800,000				\$1,435,200		Complete
Law School Renovations/Improvements	\$25,582,775	\$17,500,000		\$8,000,000		\$82,775		Complete
Library/Student Computer Center Renovation-Health Center	\$1,556,530	\$1,400,000					\$156,530	Complete
Main Building Renovation-Health Center	\$25,385,000	\$25,385,000						Design
Manchester Hall Renovation	\$2,000,000	\$2,000,000						Complete



## CURRENT PROJECTS FUND SOURCES & STATUS: UCONN 2000 - PHASE III

(As of June 30, 2012)

<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>	<i>Project Status</i>
Mansfield Training School Improvements	\$3,500,000	\$3,500,000						Design
Medical School Academic Building Renovation-Health Center	\$3,700,000	\$3,700,000						Complete
Natural History Museum Completion	\$999,669	\$500,000					\$499,669	Complete
North Hillside Road Completion	\$2,000,000	\$2,000,000						Design
Old Central Warehouse	\$1,126,000	\$1,126,000						Planning
Planning & Design Costs (UCHC)	\$25,000,000	\$25,000,000						Planning/Design
Psychology Building Renovation/Addition	\$5,650,000	\$5,650,000						Construction
Research Tower-Health Center	\$49,565,000	\$49,565,000						Complete
Residential Life Facilities	\$9,309,675	\$4,300,000				\$5,009,675		Planning
School of Pharmacy/Biology Completion	\$6,000,000	\$6,000,000						Complete
Stamford Campus Improvements	\$518,676	\$500,000				\$18,676		Planning
Storrs Hall Addition	\$15,565,000	\$15,115,000				\$450,000		Complete
Student Union Addition	\$13,000,000	\$13,000,000						Complete
Support Building Addition/Renovation-Health Center	\$100,000	\$100,000						Planning
Technology Quadrant: Phase III	\$18,000,000			\$18,000,000				Planning
Torrey Renovation Completion & Biology Expansion	\$1,500,000	\$1,500,000						Planning
Torrington Campus Improvements	\$500,000	\$500,000						Planning
Waterbury Downtown Campus	\$950,000	\$450,000					\$500,000	Planning
West Hartford Campus Renovations/Improvements	\$10,750,000	\$10,400,000				\$350,000		Planning
Young Building Renovation/Addition	\$9,750,000	\$9,500,000				\$250,000		Construction
UCHC New Construction and Renovation	\$54,700,000	\$54,700,000						Planning
<b>Totals</b>	<b>\$904,397,782</b>	<b>\$769,000,000</b>	<b>\$81,900,000</b>	<b>\$26,000,000</b>	<b>\$320,694</b>	<b>\$12,161,948</b>	<b>\$15,015,140</b>	

\* Reflects project funding received as of June 30, 2012.

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

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

## FUTURE PROJECTS: UCONN 2000 - PHASE III

Commissary Warehouse  
Incubator Facilities  
Library Storage Facility  
Observatory  
Parking Garage #3  
Student Health Services  
Support Facility (A&ES)

## **PREVAILING WAGE COMPLIANCE REPORT**

The attachments referred to below cover the reporting period from April 1, 2012 through September 30, 2012 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 2012 Report Number Thirty-five 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. No report was received from the Department of Labor for this reporting period.*

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

**ATTACHMENT A**  
ALPHABETICAL LISTING OF CONTRACTORS AND SUBCONTRACTORS  
REPORTING PERIOD: APRIL 1, 2012 THRU SEPTEMBER 30, 2012

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
A Clear View Window Cleaning LLC	37 Burnham Street		Enfield	CT	06082
A Secondino & Son, Inc	21 Acorn Road		Branford	CT	06405
A&A Window Products, Inc	15 Joseph Street		Malden	MA	02148
AAA Pavement Marking LLC		PO Box 826	Somers	CT	06071
AAIS Corporation	802 Boston Post Road	PO Box 260066	West Haven	CT	06516
Able Builders Corporation	33 Pine Street		Columbia	CT	06237
Acorn Glass, Inc	30 Century Drive		Stratford	CT	06615
Acoustical Thermal Insulators	101 Old Bedford Road		Westport	MA	02790
Acoustics, Inc	58 Alna Lane		East Hartford	CT	06108
Action Air Systems, Inc	131 Adams Street		Manchester	CT	06040
ACV Concrete LLC	46 Marina Court	PO Box 1842	Meriden	CT	06451
Addison Electric	960 Migeon Avenue		Torrington	CT	06790
Advanced Caulking & Restoration LLC	75 Elliott Street East		Hartford	CT	06114
Air Temp Mechanical Services	360 Captain Lewis Drive		Southington	CT	06489
A-Line Contracting	64 Jordan Lane		North Windham	CT	06256
All Phase Restoration LLC	204 Leigh Road		Cumberland	RI	02864
All State Construction, Inc	449 Cooke Street	PO Box 805	Farmington	CT	06032
Allied Restoration Corporation	162 Governor Street	PO Box 280835	East Hartford	CT	06128
All-Phase Enterprises, Inc	191 West Stafford Road	PO Box 6	Stafford Springs	CT	06076
Allstate Fire Systems	92 Weston Street, Suite 44	PO Box 2350	Hartford	CT	06146
AMA Environmental LLC	27 Muddy Brook Road		Ellington	CT	06029
Amansie Cleaning Service	1511 Main Street, Unit G200B		Worcester	MA	01603
American Concrete Pumping	147 Pickering Street		Portland	CT	06480
American Masons General Contractors, Inc	69 Hurd Park Road		East Hampton	CT	06424
American Pride Insulation Company, Inc	120 Manton Avenue		Providence	RI	02909
Amore Carpet and Floor Covering, Inc	1165 Boston Post Road		West Haven	CT	06516
Architectural Sheet Metal	13 Pleasant Street		Manchester	CT	06040
Armani Restoration, Inc	191 Franklin Avenue		Hartford	CT	06114
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 Strre		East Hartford	CT	06108
Automated Logic Contracting Services (DBA Automated Logic Connecticut)	29 North Plains Highway Suite 17		Wallingford	CT	06492
B&L Construction, Inc	756 Middlesex Turnpike		Old Saybrook	CT	06475
Barall & Konover Floors, Inc	714 Blue Hills Avenue		Hartford	CT	06112
Barker Steel LLC	55 Sumner Street		Milford	MA	07157
Bath Consultants, Inc	311 Greens View Drive		Algonquin	IL	60102
Bay State Building Specialties, Inc	144 Lundquist Drive		Braintree	MA	02184

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COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Baystate Home Guard, Inc	38 Dawes Street		Springfield	MA	01109
Bear Steel Erectors, Inc		PO Box 161	East Lyme	CT	06333
Beaulieu Company LLC	132 1/2 Pine Street	PO Box 5061	Manchester	CT	06040
Beau's Seating Company, Inc	377 Wilbur Avenue		Swansea	MA	02777
Bergen, Inc	54 Whisper Way		Eaton	OH	45320
Berkshire Concrete Cutting	3595 Winsted Road		Torrington	CT	06790
Besam Entrance Solutions	346 Greenwood Street, Suite 1		Worcester	MA	01607
B-G Mechanical Contractors, Inc	6 Second Avenue		Chicopee	MA	01020
Bia Masonry LLC	82 Vera Street		West Hartford	CT	06119
BKM Total Office (Office Environments of New England LLC)	300 East River Drive		East Hartford	CT	06108
BNC Enterprise LLC	37 Fyler Road		East Hartford	CT	06027
BNM Flooring		PO Box 448	Coventry	CT	06237
Bonner Electric, Inc	1865 Norwich-New London Tpke	PO Box 366	Uncasville	CT	06382
Brayman Hollow Masonry, Inc	455 Brayman Hollow Road		Pomfret Center	CT	06259
BT Tile & Carpet	905 Norwich New London Tpke		Uncasville	CT	06382
BW Dexter II, Inc	562 Westcott Road		Danielson	CT	06239
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
Caplow Mechanical, Inc	5 Hamden Park Drive		Hamden	CT	06517
Carlin Construction Company LLC	5 Shaw's Cove, Suite 103		New London	CT	06320
Castle Concrete Corporation	504 Forest Road	PO Box 696	Northford	CT	06472
Catania Excavating	28 Brittany Drive		Durham	CT	06422
CB Seating, Inc	36 Canal Street, Suite 290		Somersworth	NH	03878
CCI, LLC	30 Harris Street	PO Box 229	Putnam	CT	06260
Ceco Concrete Construction LLC	23A Old Windsor Road		Bloomfield	CT	06002
Celling Systems, Inc	7 Diana Court		Cheshire	CT	06410
Central Conn Acoustics, Inc	105 North Cherry Street	PO Box 519	Wallingford	CT	06492
Certified Electrical Services LLC	122 Boston Turnpike		Pomfret Center	CT	06259
CG Carpet LLC	75 King Street		East Hartford	CT	06108
Chad Heidenis	18 Fairview		Portland	CT	
Chase Glass Company	73-75 James Street		East Hartford	CT	06108
Cherry Hill Glass Company, Inc	20 Elm Street		Branford	CT	06405
Civittilo Masonry, Inc	15 Holmes Road		Newington	CT	06111
CKS Electrical Construction	77 West Town Street		Norwich	CT	06360
CLP Resources, Inc	1015 A Street		Tacoma	WA	98401
CMC Drywall (Giovanni Cinamella)	201 Regan Road (Unit 6A)		Vernon	CT	06066
Cogswell Sprinkler Company, Inc	22 Canterbury Street		Worcester	MA	01610

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Coit Excavating, Inc	161 Hough Road		Bozrah	CT	06334
Columbia Sheet Metal	4 Commerce Drive		North Windham	CT	06256
Commercial Roofing & Contracting, Inc	340 Kennedy Drive	PO Box 647	Putnam	CT	06260
Commercial Storefront Services, Inc	1265 John Fitch Boulevard		South Windsor	CT	06074
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 Carpentry Corporation	1850 Silas Deane Highway		Rocky Hill	CT	06067
Connecticut Restroom Specialties	40 South Street		Danbury	CT	06810
Connecticut Roofing Company	90 Codfish Falls Road		Storrs	CT	06268
CRF, Inc, Interior Systems	364 Putnam Pike	PO Box 138	Dayville	CT	06241
Crocker Architectural Sheet Metal Company, Inc	129 Southbridge Road		North Oxford	MA	01537
CT Mason Contractors	191 Franklin Avenue		Hartford	CT	06114
CT Metal Structures	750 Willis Street		Bristol	CT	06010
CT Paving LLC	145 Dividend Road, Unit 8		Rocky Hill	CT	06067
CT Rebar Installers LLC	78 Spencer Avenue		Guilford	CT	06437
CT Temperature Controls LLC	714 North Mountain Road		Newington	CT	06131
Curtainwalls & Windows, Inc	76 Depot Road, Building #2		Kensington	CT	06037
Custom Electric, Inc	52 Main Street		Manchester	CT	06042
Custom Flooring Concepts LLC	85 Belden Street		New Britain	CT	06051
Dalene Hardwood Flooring Company, Inc	45 Nutmeg Road South		South Windsor	CT	06074
Daniel O'Connells and Sons	480 Hamden Street		Holyoke	MA	01040
Daniel's Caulking LLC	46 Kennedy Road Unit 5		South Windsor	CT	06074
Data-Link Corporation	98 Main Street		South Meriden	CT	06451
DC Sheetmetal LLC		PO Box 6027	Yantic	CT	06389
Diakonea Insulation	35 Lynn Drive		Preston	CT	06365
Distinctive Gardens & Tree Care LLC	48 Patria Road		South Windsor	CT	06074
Do-All Drywall Operations, Inc	40 Scitico Road		Somers	CT	06071
Donahue General Contractors, Inc	93 Windham Road		Hampton	CT	06247
Draperies, Inc	226 Main Street		Norwalk	CT	06851
Ducci Electrical Contractors	427 Goshen Road		Torrington	CT	06790
Duct & Vent Cleaning of America, Inc	311 Page Boulevard		Springfield	MA	01104
Ducto LLC	13 Britton Drive		Bloomfield	CT	06002
Dyco Industries, Inc	229 South Satellite Road		South Windsor	CT	06074
Eagle Fence & Guardrail	56 South Canal Street	PO Box 7077	Plainville	CT	06062
Eagle Rivet Roof Service Corporation	15 Britton Drive		Bloomfield	CT	06002
East Coast Haz Mat Removal, Inc	494 East 41 Street		Paterson	NJ	07504
Eastern Electric, Inc		PO Box 2116	Vernon	CT	06066

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Eastern Energy Services LLC	15 Wisconsin Avenue		Norwich	CT	06360
Eastside Flooring	36 Parkview Road		Hamden	CT	06514
EDI Landscape LLC	2070 West Street		Southington	CT	06489
Electrical Connections, Inc	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
Electrical Energy Systems Corporation Voice & Data LLC	215 Captain Lewis Drive		Southington	CT	06489
Enfield Builders, Inc	1654 King Street	PO 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
Ernest Peterson, Inc	1830 Broad Street		Hartford	CT	06114
Federal Rent A Fence		PO Box 266	West Berlin	NJ	08091
Ferguson Electric Company, Inc	112 Northwest Drive		Plainville	CT	06062
First Class Construction LLC	190 New Park Drive		Berlin	CT	06037
Flooring Solutions, Inc	54C Vermont Avenue		Warwick	RI	02888
Fulton Foundation, Inc	21 East Street		Morris	CT	06783
G Donovan Associates, Inc	627 Route 32, North Franklin, CT	PO Box 249	Lebanon	CT	06249
G&R Valley, Inc Mechanical Contractors	350 Chapel Road		South Windsor	CT	06074
Garrison Sand & Gravel, Inc	53 Palmer Road		Chaplin	CT	06235
Garrity Asphalt Reclaiming, Inc	22 Peters Road		Bloomfield	CT	06002
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
Gesick & Associates	19 Cedar Island Avenue		Clinton	CT	06413
GG's Custom Metals, Inc	785 New Ludlow Road		South Hadley	MA	01075
GKN Inc. dba B-T Tile & Carpet Co.	905 Norwich-New London Turnpike		Uncasville	CT	06382
GL Capasso, Inc	34 Lloyd Street		New Haven	CT	06513
GreenScapes, Inc	15 Teichert Lane		Hebron	CT	06248
Greenwood Industries, Inc		PO Box 2800	Worcester	MA	01603
Guerrieri Masonry, Inc	94 Marion Street		Hartford	CT	06106
H Carr & Sons, Inc	15 Lakewood Drive, Unit 6		Oakdale	CT	06353
Harrington Engineering, Inc		PO Box 819	Old Saybrook	CT	06475
Hartford Sprinkler Company, Inc	4 Britton Drive		Bloomfield	CT	06002
Haz-Pros, Inc	125-A Brook Street		West Hartford	CT	06110
HB Communications, Inc	60 Dodge Avenue		North Haven	CT	06473
HHS Mechanical Contractors, Inc	80 Colonial Road		Manchester	CT	06042
Hoffman Architects Inc	2321 Whitney Avenue		Hamden	CT	06518
Hop River Concrete, Inc	231 Route 6		Columbia	CT	06237

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COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
IBS Contracting LLC		PO Box 134	South Glastonbury	CT	06073
IFI Industrial Floors, Inc	13 Davenport Street		Chicopee	MA	01013
Industrial Riggers, Inc	300 Chase River Road		Waterbury	CT	06704
Intelligent Signage, Inc		PO Box 1091	Enfield	CT	06083
Interstate Electrical Services Corporation	6B Northwood Drive		Bloomfield	CT	06002
Island International Industries New England LLC	79 Brook Street		Rehoboth	MA	02769
J&B Mechanical Contractors	89 Church Street		East Hartford	CT	06108
J&M Steel Erectors LLC		PO Box 651	North Branford	CT	06471
J&P Construction Corporation	224 Krug Road		Preston	CT	06365
J&S General Contractors LLC	155 Eddon Drive		East Haven	CT	06512
Jacobs Building & Remodeling	90 Mountain View Avenue		Bristol	CT	06010
Jarosz Welding	544 Ledyard Street		Hartford	CT	06114
JBR Glass & Construction LLC	274 Mansfield Road		Ashford	CT	06278
Jean Phillippe Pechie, dba Groundscapes		PO Box 246	East Killingly	CT	06243
JJ's Ceramic Tile LLC	34 Old Coventry Road		Andover	CT	06232
John Stratfach & Sons, Inc	62 Airport Road	PO Box 1278	Westerly	RI	02891
Johnson Controls Inc	21 Griffin Rd North Suite 4		Windsor	CT	06095
Johnson Controls Inc		PO Box 905240	Charlotte	NC	28290-5240
Johnson Controls Inc		PO Box 93107	Chicago	IL	60673-3107
Joseph Campbell (Eastern Mechanical)		PO Box 57	Lebanon	CT	06249
Joseph Cohn & Son Tile & Tz LLC	50 Devine Street		North Haven	CT	06473
JS Sullivan Cable Company, Inc	123 East Aurora Street		Waterbury	CT	06708
JW Flynn LLC		PO Box 753	Granby	CT	06035
KBE Building Corporation, Inc	30 Batterson Park Road		Farmington	CT	06032
Kelly Construction Services, Inc	30 Post Road		Enfield	CT	06082
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
L&D Mechanical Insulation	182 Gallup Hill Road		Ledyard	CT	06339
L&R Plumbing & Heating LLC	224 Long Swamp Road		Wolcott	CT	06616
L.P. Electric	12 Laurence Street		Vernon	CT	06066
Lab Furniture Installations & Sales, Inc	11 River Street, Suite 2		Middleton	MA	01949
Laboratory Specialists, Inc	453 South Street East		Raynham	MA	02767
Lavallee Overhead Door, Inc	151 Strong Road		South Windsor	CT	06074
LePine Electric	436 Lisbon Road		Canterbury	CT	06331
Liberty Landscapes LLC		PO Box 7	South Windsor	CT	06074
Liebert Corporation	1050 Dearborn Drive		Columbus	OH	43085
Liebert Corporation		PO Box 70474	Chicago	IL	60673

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COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
LK Sheet Metal, Inc	35 Wrobel Place		East Hartford	CT	06108
Lupachino & Salvatore	15 Northwood Drive		Bloomfield	CT	06002
Luther Fence, Inc	145 Leonard Drive		Groton	CT	06340
M Brett Painting Company, Inc	458 Shore Road		Old Lyme	CT	06371
M Frank Higgins & Company	780 North Mountain Road		Newington	CT	06111
Macchi Engineers LLC	44 Gillett Street		Hartford	CT	06105
MacKenzie Painting Company	60 Mead Street		Straford	CT	06615
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
Marguerite Concrete, Inc	11 Rosenfeld Drive		Hopedale	MA	01747
Marlyn Construction Company, Inc	142 Daleville Road		Willington	CT	06279
Mather Corporation	21 West Dudley Town Road		Bloomfield	CT	06002
McDowell Building & Foundations, Inc	24 Custer Street		West Hartford	CT	06110
McLellan Tree Service, Inc	145 Brickyard Road		Farmington	CT	06032
MCM Acoustics LLC	151 New Park Avenue		Hartford	CT	06106
McPhee Electric Ltd	505 Main Street		Farmington	CT	06032
MechCo Insulation		PO Box 435	Montville	CT	06353
Medeiros Hydro Seeding and Landscaping Construction Company, Inc	165 Bumstead Road		Monson	MA	01057
Mega Mechanical Systems Corporation	182 Oakwood Drive		Glastonbury	CT	06033
Melting Point Welding & Fabrication LLC	151 South Main Street		Brooklyn	CT	06234
Midstate Site Development LLC		PO 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
Milton James (Tyson Electric Contractors, LLC)	23 Mayfair Road		Bloomfield	CT	06002
Miscellaneous Steel & Rail	71 Edwin Road	PO Box 572	South Windsor	CT	06074
MK Construction, Inc	6 Plum Lane		South Windsor	CT	06074
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	One Four Mile River Road		Old Lyme	CT	06371
Moretrench American Corporation	100 Stickle Avenue		Rockaway	NJ	07866
Mota Brothers Asbestos LLC	68 New Park Avenue	PO Box 261208	Hartford	CT	06126
MT Ford Industries, Inc		PO Box 871	South Windsor	CT	06074
Natgun Corporation	11 Teal Road		Wakefield	MA	01880
NER Construction Management Corporation	867 Woburn Street		Wilmington	MA	01887
Net Services LLC	1185 Elm Street Extension	PO Box 847	Rocky Hill	CT	06067
New Cambridge Painting Company LLC	164 Fleetwood Road		Bristol	CT	06010
New England Blacktop, Inc	541 Griswold Street		Glastonbury	CT	06033



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New England Glass and Mirror	31 Connecticut Avenue		Norwich	CT	06360
New England Scaffolding, Inc	85 Mill Street		Brockton	MA	02301
New England Service & Controls LLC	52 Green Hollow Road		Moosup	CT	06354
New Generations Masonry LLC	341 Hillside Avenue		Hartford	CT	06106
New Haven Glass & Mirror	47 Laura Street		New Haven	CT	06512
Newtech Installation USA, Inc	438 Main Street, Suite 305		Middletown	CT	06457
Noble Construction	39 Main Street		Centerbrook	CT	06409
Norconn Services Company, Inc	5 Anngina Drive	PO Box 885	Enfield	CT	06083
Northeast Interior Systems of New England	750 School Street		Pawtucket	RI	02860
Northeast Lightning Protection LLC	10 Peters Road		Bloomfield	CT	06002
Northeast Steel Erectors LLC		PO Box 2111	Bristol	CT	06011
Northeast Tradesmen, Inc	250 Pomeroy Avenue, Suite 102		Meriden	CT	06450
Northeastern Cleaning, Inc	1675 Saybrook Road		Middletown	CT	06457
Northeastern Engineering & Contracting Company	115 Daleville School Road		Willington	CT	06279
Northwest Contractors	28 Greenwoods Road		North Granby	CT	06060
Norwalk Marine Contractors, Inc	245 Access Road		Stratford	CT	06615
NT Oliva, Inc	89 Church Street		East Hartford	CT	06108
O&G Industries, Inc	112 Wall Street		Torrington	CT	06790
Orissa LLC	45 Andover Drive		Rocky Hill	CT	06067
Orlando Annulli & Sons, Inc	147 Hale Road	PO Box 610	Manchester	CT	06045
Oscar's Abatement LLC	29 1/2 Meadow Street		Hartford	CT	06114
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
Patriot Steel LLC	7 Riverdale Road		Enfield	CT	06082
Pelweld Industries LLC	734 Hebron Avenue		Glastonbury	CT	06033
Pepin Steel & Iron Works LLC	47 Waterbury Road		Bristol	CT	06010
Performance Plumbing & Heating LLC	609 Migeon Avenue		Torrington	CT	06790
PGP Group LLC dba Atlas Companies	30 Northeast Industrial Road		Branford	CT	06405
Pierre Marchand Architectural Millwork LLC	154 North Main Street		Norwich	CT	06360
Pioneer Valley Concrete Service, Inc	66 North Chicopee Street		Chicopee	MA	01020
Plumbfire Mechanical LLC	88 Norwich-New London Turnpike		Uncasville	CT	06382
Pomerantz Contracting	64 Jordan Lane		North Windham	CT	06256
Preferred Painting		PO Box 2116	Willington	CT	06279
Premier Electrical Contractor LLC	344 Blue Hills Avenue		Hartford	CT	06112
Prime Electric LLC	33 Wisconsin Avenue Suite 101		Norwich	CT	06360
Professional Drywall Construction	2119 Riverdale Street		West Springfield	MA	01089
Progressive Sheetmetal LLC	36 Mascolo Road		South Windsor	CT	06074

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QSR Steel Corporation LLC	300 Locust Street		Hartford	CT	06114
Quality Mechanical Corporation	231 Silver Sands Road		East Haven	CT	06512
R B Arello Company, Inc	157 Southbridge Road		North Oxford	MA	01537
R&C Electric LLC	31 Loomis Lane		Bristol	CT	06010
Ramco Environmental, Inc	253 Locust Street		Hartford	CT	06114
Richards Corporation	72 North Harwinton Avenue		Terryville	CT	06786
RJB Concrete Pumping LLC	588 Winsted Road		Torrington	CT	06790
RLG Floor Covering LLC	97 Seaman Circle		Manchester	CT	06040
Robert G Lefevre	69 Quinebaug Drive		Danielson	CT	06239
Rocky Masonry & Landscaping	127 Wesley Street		Waterbury	CT	06708
Roofers Edge	1588 East Mountain Road		Westfield	MA	01085
Roweski Painting LLC	182 Edgewood Street		Hartford	CT	06112
Ruby Glass Company, Inc	151 Jefferson Avenue		New London	CT	06320
S G Milazzo & Company, Inc	148 Dividend Road		Rocky Hill	CT	06067
S&H Tile LLC	95 Stanley Drive		Andover	CT	06232
Safety Marking, Inc	460 Bostwick Avenue		Bridgeport	CT	06705
Sahwmut Design & Construction	118 Washington Avenue		North Haven	CT	06473
Santoro, Inc	207 Stamm Road		Newington	CT	06111
Sarazin General Contracting, Inc.	6 Commerce Drive		North Windham	CT	06256
Schneider Electric	1650 West Crosby Road		Carrollton	TX	75006
Schneider Electric	300 Brickstone Square, Suite 101		Andover	MA	01810
Sea & Shore Contracting	11 Randolph Road		Randolph	MA	02368
Selective Service LLC	206 Center Street		Manchester	CT	06040
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
Southern Electric LLC	24 Meadow Street		Hartford	CT	06114
Southern New England Electrical Testing LLC	3 Buel Street, Unit 2		Wallingford	CT	06492
Spectrum Floors, Inc	299 Blacks Road	PO Box 861	Cheshire	CT	06410
Stamford Wrecking Company	30 Nutmeg Drive		Trumbull	CT	06611
Stanley Wiesen, Inc/SWI Glass & Metal	290 Prospect Avenue		Hartford	CT	06106
State-Wide Electric, Inc	109A Commerce Street		Glastonbury	CT	06033
Steeltech Building Products, Inc	636 Nutmeg Road North		South Windsor	CT	06074

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Steven D Gelinas	265 Canterbury Road		Plainfield	CT	06374
Stonehedge Landscaping Company	1616 Willard Avenue		Newington	CT	06111
Stonington Services, LLC, dba Brand Fire Services	2 Chapman Lane		Gales Ferry	CT	06339
Strategic Building Solutions	135 New Road		Madison	CT	06443
Structure Enterprises, Inc	755 Bread & Milk Street		Coventry	CT	06238
Superior Finishes LLC	20 Race Avenue, Unit 1		Plainville	CT	06062
Superior Glass Works LLC	238 Winthrop Drive		Cheshire	CT	06410
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	420 Windsor Street		Hartford	CT	06120
Tabacco & Son Builders, Inc	45 Stafford Avenue		Bristol	CT	06010
Talevi Enterprises, Inc		PO Box 461	Berlin	CT	06037
The Concrete Supplement Company	272 Norfolk Road	PO Box 501	Litchfield	CT	06759
The Davey Tree Expert Company	1500 N Mantua		Kent	OH	44240
The Jack Farrelly Company	97 Old Poquonock Road		Bloomfield	CT	06002
The Nasi Group LLC	84 Gallup Lane		Waterford	CT	06385
The Smedley Company	40 Flax Mill Road		Branford	CT	06405
The Summit Crane Company		PO Box 9037	Bristol	CT	06011
Thermal Fireproofing & Acoustics Company	83 Farwell Street		West Haven	CT	06516
Thomas W. Raftery, Inc	1055 Broad Street		Hartford	CT	06106
Thomaston Site Works LLC	17 Seymour Road		Terryville	CT	06786
Titan Mechanical Contractors, Inc	150 Batson Drive		Manchester	CT	06042
Titan Roofing, Inc	165 Harding Street		Worcester	MA	01604
TLT Mechanical Insulation LLC		PO Box 1354	Cheshire	CT	06410
Total Fence LLC	525 Ella Grasso Boulevard		New Haven	CT	06519
Total Wall Systems, Inc	54 North Harbor Street		Branford	CT	06405
Tradesource, Inc	205 Hallene Road, Units 211-212		Warwick	RI	02886
Trinity Contract Glazing LLC	76 O'Sullivan Drive		Bristol	CT	06010
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 Glass & Mirror Company Ltd	15 Stockhouse Road		Bozrah	CT	06334
United Steel, Inc	164 School Street		East Hartford	CT	06108
Vandzant LLC	732 Plainfield Road		Griswold	CT	06351
Veilleux Concrete Cutting LLC		PO Box 439	South Windsor	CT	06074
Walch & Company, Inc	35 North River Road		Tolland	CT	06084
Warehouse Store Fixture Company	84 Progress Lane		Waterbury	CT	06705

**ATTACHMENT A**  
ALPHABETICAL LISTING OF CONTRACTORS AND SUBCONTRACTORS  
REPORTING PERIOD: APRIL 1, 2012 THRU SEPTEMBER 30, 2012

COMPANY NAME	ADDRESS 1	ADDRESS 2	CITY	STATE	ZIP CODE
Wayne J Griffin Electric, Inc	116 Hopping Brook Road		Holliston	MA	01746
Windham Industries, Inc		PO Box 240	North Windham	CT	06256
Wings Testing & Balancing	94 North Branford Road		Branford	CT	06405
Wiremen, Inc	138 Manhan Street	PO Box 721	Waterbury	CT	06720
Witch Enterprises, Inc	467 Silver Street	PO Box 673	Agawam	MA	01001
WJ Mountford Company	170 Commerce Way		South Windsor	CT	06074
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.

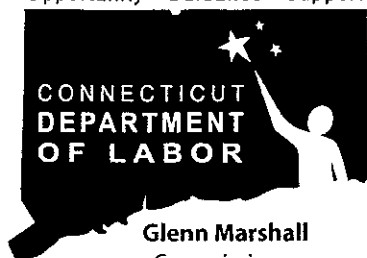
The University requests, as part of the Pre-Qualification process, the disclosure of information regarding each applicant's record of compliance with the state's prevailing wage and payment laws. The list of applicants is compared to the Debarment List, (Attachment C), issued by the State of Connecticut 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.



June 11, 2012

## 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

Name of Person or Firm	Expiration Date
-City Electrical Enterprises LLC, Hartford	December 22, 2012
Lloyd Thompson, an individual	December 22, 2012
-Sun Ray Electric LLC, Prospect	February 3, 2013
Reinaldo (Ron) DeSousa, an individual	February 3, 2013
-Pine Ridge Enterprises Inc., Wallingford	August 7, 2013
Anai Kijewski, an individual	August 7, 2013
Chester Kijewski, an individual	August 7, 2013
-All Acoustical Ceilings LLC	December 1, 2014
Malissa L. Forti, an individual	December 1, 2014
-Royal Welding LLC, Charlotte, NC	February 3, 2015
Gilman Derosier, an individual	February 3, 2015
-Gatollari Enterprises Inc., Rochelle Park, NJ	Indefinite
Robert Gatollari, an individual	Indefinite
-Canterbury Communications, Canterbury	Indefinite
Marion T. Mershon, an individual	Indefinite

Any inquiries regarding this list should be directed to the Wage and Workplace Standards Division at (860)263-6790.

Glenn Marshall  
Labor Commissioner

Modified: June 11, 2012

## 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>NAME OF FIRM OR INDIVIDUAL</b>	<b>CITY, STATE</b>	<b>DATE OF EXPIRATION</b>
AnRod Construction	Orlando, FL	September 11, 2014
- Antonio Rodriguez, an individual	Orlando, FL	September 11, 2014
Big Bears Construction Inc.	Dale City, Ca	September 11, 2014
- Jack Wang, an individual	Dale City, Ca	September 11, 2014
Brick Staining Technology Inc.	Manchester, PA	September 29, 2014
-Robert Bush, an individual	Manchester, PA	September 29, 2014
Central Valley Construction	Stockton, CA	August 16, 2012
-Tony Arnaiz, an individual	Stockton, CA	August 16, 2012
Certified Plumbing & Heating Inc.	Centereach, NY	September 11, 2014
-Claire Piscitelli, an individual	Centereach, NY	September 11, 2014
Compel Construction Company	LaPlata, MD	September 11, 2014
-Melvin Adams, an individual	LaPlata, MD	September 11, 2014
Crane Electric Inc.	Bronx, NY	January 11, 2013
-Hugh McLaughlin, an individual	Bronx, NY	January 11, 2013
-Keelan McLaughlin, an individual	Bronx, NY	March 28, 2014
Federal Construction & Consulting LLC	Bronx, NY	September 29, 2014
- Fernando Madrigal, an individual	Bronx, NY	September 29, 2014
Metro Services Enterprises	Daytona Beach, FL	September 8, 2014
Metro Services Enterprises USA Corporation	Daytona Beach, FL	September 8, 2014
-Jose Ventura, an individual	Daytona Beach, FL	September 8, 2014
Morrison, Don J., an individual	Niehart, MT	Indefinite
Oz, Roni, an individual	Plantation, FL	Indefinite
Rainbow Electric Company	Great Falls, MT	Indefinite
SAS Finishes Inc.	East Windsor, CT	March 28, 2014
-Stephen Lateano, an individual	East Windsor, CT	March 28, 2014
Susquehanna Valley Mechanical Contractors Inc.	Selinsgrove, PA	March 28, 2014
-Gary Romig, Sr., an individual	Selinsgrove, PA	March 28, 2014
Veltri Electric Inc.	Washington, PA	September 29, 2014
-John Veltri, an individual	Washington, PA	September 29, 2014
Veterans Construction LLC	Providence, RI	September 29, 2014
-Larry Ervin, an individual	Providence, RI	September 29, 2014
W.M. Painting Inc.	Falls River, MA	March 28, 2014
-Wayne Mello, an individual	Falls River, MA	March 28, 2014

