

# Qualifications and Proposal to Provide Energy-Savings Performance Services to the State of Connecticut



## *Qualitative Criteria Information*

RFQ/P: 12PSX0153



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### ATTACHMENTS

ANNUAL REPORTS (THREE YEARS)



To conserve our natural resources and save our environment, Johnson Controls printed this document on Mohawk 100% recycled paper, produced entirely with non-polluting, wind-generated energy. *Because it takes two gallons of water to produce a sheet of paper, printing on both sides saved 105 gallons.*

# Executive Summary



## EXECUTIVE SUMMARY

We create better  
environments  
that help people  
achieve more.



As a true partner, **your** first priority is our first priority. Our overarching focus is to ensure we foster the same care and regard for the mission and goals of the people of Connecticut.

Many people assume our business is about bricks, mortar and the systems that keep a facility running. ***In reality, our mission is to help people achieve.***

***We help teachers inspire.*** Renewable energy solutions like geothermal systems and solar arrays become living laboratories for students and teachers thanks to our grant writers who helped find available resources to fund these innovations.

***We help doctors cure.*** We optimize operations by integrating multiple information, administration, wireless, radio frequency, clinical and building systems on a single platform so a nurse can instantly locate an IV pump.

***We help leaders govern.*** When the Secretary of the Department of Public Safety and Corrections told us that while energy reduction was an issue, his biggest problem was people re-offending and returning to a correctional facility, our account executive worked to find a solution. As leaders in training, we are now offering a Green Heating Ventilation and Air Conditioning Vocational Program to provide meaningful skills to people who just need a chance to better their lives.

This document is not about what our organization can do. ***It is about what the people of Connecticut can accomplish.*** Anyone can reduce costs. It takes skill and expertise to reduce costs and improve the function of the facility to better meet the needs of the people who use it.

### Local Resources

Commitment to  
the community.  
We are  
members.



Our local resources give us a unique advantage over all other companies when it comes to servicing the needs of your facilities. We have been serving clients in Connecticut since 1902. Today we have 245 employees in the Connecticut with a wide range of skills and expertise to meet the building efficiency needs throughout the State. Another 1,520 employees are nearby in the surrounding New England area and New York to provide assistance when needed. National resources are also available to provide high level engineering, renewable technology, behavior modification and so much more.

Project stakeholders can benefit from a long-term partnership of sharing ideas, developing realistic goals and moving forward with a local team of people who have global resources. Our team is proud to bring innovative solutions to the same communities in which they live and work.

## Strong Partnership

Connecticut will receive maximum value from our experience. As the largest Energy Services Company (ESCO) in the country, we currently have 723 active projects with a total guarantee of more than \$5.4 billion. We employ 162,000 people who create a more comfortable, safe and sustainable world. Many of the world's largest companies rely on us to manage 1.8 billion square feet of their commercial real estate.

Don't let our size fool you. Working with a large company like Johnson Controls doesn't mean impersonal. For Connecticut, it means:

A big-picture partner with resources for long-term innovation.



- Strength and scale to accommodate any project size.
- Most advantageous financial solution thanks to our large portfolio of projects and solid savings guarantee.
- Purchasing power to bring maximum value.
- Significant engineering, construction and technical resources to provide rapid, thorough services.
- An investment grade credit rating to stand behind the guarantee.
- Deep understanding of all markets.
- Investments in innovative solutions so Connecticut has access to the most advantageous facility improvements.

We take pride in the work we do and hold ourselves to high standards to ensure we honor our commitment to help people achieve. In 2012, we were honored to have been ranked number five in Corporate Responsibility magazine's 12th annual 100 Best Corporate Citizens List and we were named as one of Institutional Investor magazine's most friendly shareholder companies in America.

## Personalized Service

Changing the way we find solutions to better meet your specific needs.



We recently restructured our Energy Solutions organization to better meet the needs of our clients. Small local teams now benefit from the privilege to focus. They now better direct their expertise to local markets, constantly looking at new and different ways of providing products and services to meet the specific requirements, needs and goals of clients in their own communities.

Each team is comprised of people who focus on account management, engineering and operations. They are better able to provide holistic solutions for the entire life-cycle of the project and address all aspects of design, installation and on-going client satisfaction.

First and foremost, it makes doing business with us much easier. This small group of individuals will act as a single point of contact so you know who to call when a solution is needed. They are ready to find solutions to all your building efficiency needs, now and well into the future.

**Together - Helping  
People Achieve**

We also restructured to further reduce your risk. If your project is not successful, our local team holds sole responsibility to make it right. They will not disappear when the contract is signed. They will see the project through and be ready to assist when you are ready to find additional savings opportunities.

The State of Connecticut will have access to the best technical solutions, most engaging partnership approach and total commitment on every project. The foundation of each project will begin with a thorough understanding of the unique needs, goals and scheduling requirements of stakeholders at the facility. Our overall mission is to create better environments to help people in Connecticut achieve more; we can help to improve environmental quality, stimulate sustainable economic development, and strengthen the quality of life for all.



# Overview of Approach to Energy-Savings Performance Contracting



## 1. OVERVIEW OF APPROACH TO ENERGY-SAVINGS PERFORMANCE CONTRACTING

*Provide a stand-alone overview, maximum of 5 pages, using any order or format to present your company as you wish. Include highlights on company background, market sectors served, company strengths and areas of expertise. Also include your general approach to energy-savings performance contracting: typical phases for a project and ability to support each phase (project development, energy auditing, performance/savings guarantee, financing, construction, commissioning, measurement and verification, building occupant training, post-construction maintenance support). Address how you will meet the requirements of the ESPCP.*

Johnson Controls has the depth of experience and maintains the dedicated local resources and the innovative capabilities to serve as an energy services partner for the State of Connecticut's comprehensive Energy Savings Performance Contracting program (ESPC). This overview of our company outlines our approach to energy performance contracting, our extensive project history, and our technical and management qualifications to deliver successful, innovative, on-time, on-budget sustainability projects for a variety of Connecticut clients.

### Company Background

Johnson Controls is a 127-year-old energy efficiency company. Our company's origins go back to 1885, when Warren S. Johnson, a professor at the State Normal School in Whitewater, Wisconsin, received a patent for the first electric room thermostat. His invention launched the building control industry and was the impetus for a new company. Professor Johnson and a group of Milwaukee investors incorporated the Johnson Electric Service Company in 1900 to manufacture, install, and service automatic temperature regulation systems for buildings. The company was renamed Johnson Controls in 1974.

Our company pioneered performance contracting in the mid-1980s as a viable means by which to improve and upgrade facilities via guaranteed energy and operational cost savings with no upfront capital investment. Today, Johnson Controls continues to deliver innovative infrastructure improvement solutions that directly contribute to our clients' core mission and bottom line. Performance contracting is a natural solution to reducing energy and operating costs, improving occupant comfort and updating building infrastructure for clients worldwide.

We are committed to energy efficiency and proud of our leadership role in the industry in developing and implementing successful guaranteed energy performance projects. Some of our credentials include global leadership in the certification of Leadership in Energy and Environmental Design (LEED) building projects. Our company also was named as the U.S. Environmental Protection Agency ENERGY STAR Buildings' "Ally of the Year" for



energy efficiency leadership. We also are recognized by the National Association of Energy Service Companies (NAESCO) with their highest rating of Energy Services Provider (one of only 10 firms in North America with this distinction).

As a result of our work in building efficiency, we have created the world's largest repository of workspace information derived from our experience operating and maintaining over 1.8 billion square feet of facility workspace and controlling over \$5 billion in annual energy and operations spend. This allows us to benchmark the performance of these facilities and provides us the opportunity to apply our most current best practices to achieve specific goals for new clients.

Overall, our commitment to exceeding client satisfaction in all areas of our business has contributed to decades of consistent growth and financial success. Since our beginnings in 1885, Johnson Controls has continued to develop, expanding into a global company listed 67th among Fortune 100 companies with \$40.8 billion in sales in FY2011, making us a financially sound and stable business partner.

## Market Sectors Served

The following table outlines the volume of our active performance contracting business in the United States among each market we serve.

Market	Active Performance Guarantees	Number of Projects
<b>Federal Government</b>	\$1,385,680,397	69
<b>K-12 Schools</b>	\$1,380,380,665	257
<b>Higher Education</b>	\$939,109,029	95
<b>Local Government</b>	\$923,382,681	196
<b>State Government</b>	\$385,145,119	29
<b>Healthcare</b>	\$359,869,659	60
<b>Public Housing</b>	\$63,366,860	9
<b>Private Sector</b>	\$14,725,151	7
<b>Commercial</b>	\$5,657,332	2

In nearly every state and every market, we have conducted performance contracting services and regularly work with clients to help implement sound, environmentally focused energy management programs. Across all markets, Johnson Controls currently manages 730 active performance contracts, reflecting more than \$5.4 billion of guarantees in force. **Based on Verify Markets' 2011 ESCO market analysis, Johnson Controls holds 18.2 percent of the PC market – the largest market share of any one single ESCO in North America.**

## Company Strengths and Areas of Expertise

### **A long history of performance contracting**

Johnson Controls has a successful history of implementing energy savings measures (ESMs) for many public sector clients. The references provided within this proposal validate our experience and success. We have managed performance contracts for approximately 30 years, offering comprehensive energy management programs that serve clients for the complete lifecycle of a project. Our project experience includes projects that save from the smallest amount of kWh, BTUs and/or water to the largest, most innovative and technically challenging as Johnson Controls believes all energy savings should be pursued. This rich history in energy performance contracting has created a forum of best practices, information sharing and development of innovative strategies that result in more efficient project management and added scope to your energy project.

### **A talented local team for Connecticut projects**

Johnson Controls is proud of its success in assisting our clients in working toward energy independence and sustainability, but please recognize that, as a corporation, it is our people that deserve this recognition – the same people who have and will continue to assist the State and its purchasing jurisdictions meet and exceed their energy goals.

We employ 245 men and women that live, work and raise families in Connecticut. All of these individuals are dedicated to our Building Efficiency business and many will play an active role in your energy projects. Some of our most talented and experienced energy engineers, solutions experts and account managers are local residents.

### **A commitment to the environment and renewable energy**

With scarcity of resources and global warming concerns, we know that renewable energy sources are vital to our future. Demonstrating our commitment to our clients' concerns and our own concerns about the environment, we are always examining the implementation of renewable energy sources to provide viable economic projects. In fact, Johnson Controls is currently implementing more than \$500 million in solar, photovoltaic, biomass, geothermal, landfill gas-to-energy, cogeneration and other related energy projects as part of existing performance contracting programs. Supporting our efforts in this area, we have dedicated technical experts on our renewable energy team with a combined experience of more than 130 years developing these types of projects.

Overall, our performance contracting and renewable energy solutions have reduced carbon dioxide emissions by 13.6 million metric tons and generated savings of \$7.5 billion since 2000. Using the EPA website and the GHG Reductions (tons of CO<sub>2</sub> equivalents), the following carbon reduction equivalencies were calculated:

Johnson Controls' energy efficiency projects to date in Connecticut reduced CO<sub>2</sub> emissions equivalent to:



...the carbon removed by **56,057** acres of pine forests annually (4,530,227 in North America overall)



...annual GHG emissions from **50,270** passenger vehicles (4,114,152 in North America overall)



...emissions from the energy use of **22,375** homes for one year (1,814,554 in North America overall)

### Showcasing our Commitment

Johnson Controls committed to a 30% reduction in carbon intensity by 2012. One key driver for our sustainability initiative is our newly renovated headquarters is striving to be the first Platinum-certified LEED® campus in the world, which includes the following:

- Geothermal heating and cooling
- Skylights and increased window space reduce the use of energy for indoor lighting
- Solar thermal hot water
- Solar photovoltaic and solar laminated roofing for electricity
- Water cisterns for rainwater management, irrigation and for reuse (reducing potable water consumption for new bathroom fixtures by 77 percent).
- Water efficient fixtures and appliances
- An energy and environmental awareness kiosk in the lobby provides a wealth of facility data to employees, visitors and our facility management professionals.

In the past year alone, more than 10,000 people from around the globe have visited the site to learn how Johnson Controls is transforming building efficiency.

# THE NEWS

## Helping People Achieve



Johnson Controls LEED platinum Corporate Headquarters, Glendale, WI

Johnson Controls not only helps clients save energy and reduce costs, but also invests in its own solutions. The company's headquarters campus is the largest concentration of LEED® Platinum buildings – four – ever awarded on one site.

The company's energy usage has been reduced by 21 percent, despite the recent doubling of space by adding 160,000 square feet. The company expects to recoup its spend on making the campus energy-efficient within eight years.

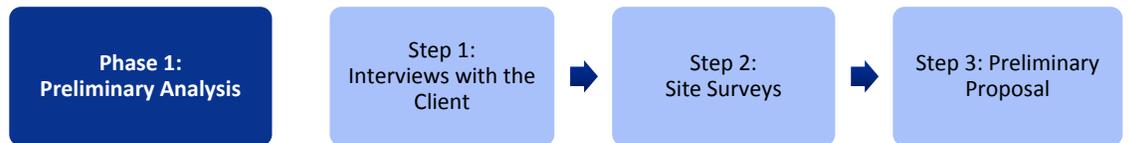
## Supersized efficiency

Johnson Controls is the largest provider of energy performance contracting services. This information comes from a number of sources, including Johnson Controls' internal database of secured projects, national data publicized in industry periodicals, and Verify Markets, a research firm specializing in analysis of the industrial, environmental, energy and water markets. Based on Verify Markets' January 2011 ESCO market analysis, Johnson Controls holds 18.2 percent of the North American performance contracting market.

## General Approach to Performance Contracting

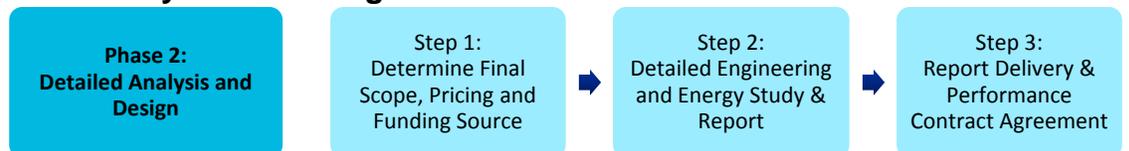
The following diagrams depict our general approach to the main phases of performance contracting. In all cases, our client is intimately involved in all phases of the project.

### Phase 1: Preliminary Analysis



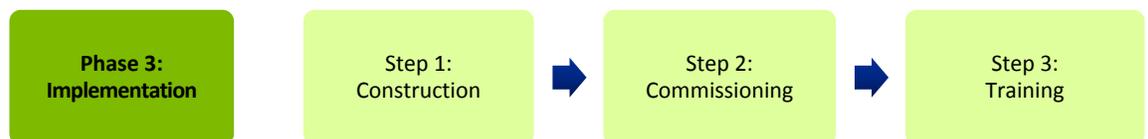
In Phase 1, we identify project objectives, target systems for improvement, and determine the potential overall benefit of implementing a performance contract.

### Phase 2 - Detailed Analysis and Design



In Phase 2, we determine the project parameters and funding sources for the project, conduct in-depth assessments of the facilities and create the proposal detailing the scope of the project.

### Phase 3: Implementation



During Phase 3, we complete project scope, close-out the project and educate the staff to effectively maintain new systems/equipment.

### Phase 4: Performance Period



In Phase 4, we compare pre-retrofit and post-retrofit conditions, provide technical assistance as contracted and detail overall project performance.

# Project History



## 2. PROJECT HISTORY

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### 2.1 Related Experience

*Describe your company's experience with each of the following:*

*2.1.1 Design, engineering, installation, maintenance and repairs associated with energy-savings performance contracts*

*2.1.2 Conversions to a different energy or fuel source, associated with a comprehensive energy efficiency retrofit*

*2.1.3 Post-installation project monitoring, data collection and reporting of savings*

*2.1.4 Overall project management and qualifications*

*2.1.5 Securing long-term financing*

*2.1.6 Financial stability*

*2.1.7 Projects of similar size and scope*

*2.1.8 In-state projects and Connecticut-based subcontractors*

*2.1.9 United States Department of Energy programs*

*2.1.10 Professional certifications*

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#### **2.1.1 Design, engineering, installation, maintenance and repairs associated with energy-savings performance contracts**

Across all markets, Johnson Controls currently manages 730 active performance contracts, reflecting more than \$5.4 billion of guarantees in force. Historically, we've implemented 3,000 guaranteed performance contracts. Based on Verify Markets' 2011 ESCO market analysis, Johnson Controls holds 18.2 percent of the PC market – the largest market share of any one single ESCO in North America. Almost all of the projects required that our company design, engineer, install, maintain and repair services.

#### **2.1.2 Conversions to a different energy or fuel source, associated with a comprehensive energy efficiency retrofit**

Our teams routinely convert energy or fuel sources to increase efficiency for our clients. We have experience with biomass combustion systems with great success. One of the most popular technologies of late is to convert biogas to employ internal-combustion engines that run a generator, which produces the electricity. Thanks to natural gas prices being so low, we expect to see significant savings opportunities to convert from fuel oil to natural gas. Converting to natural gas is one of the solutions that we believe may be particularly beneficial for Connecticut projects.

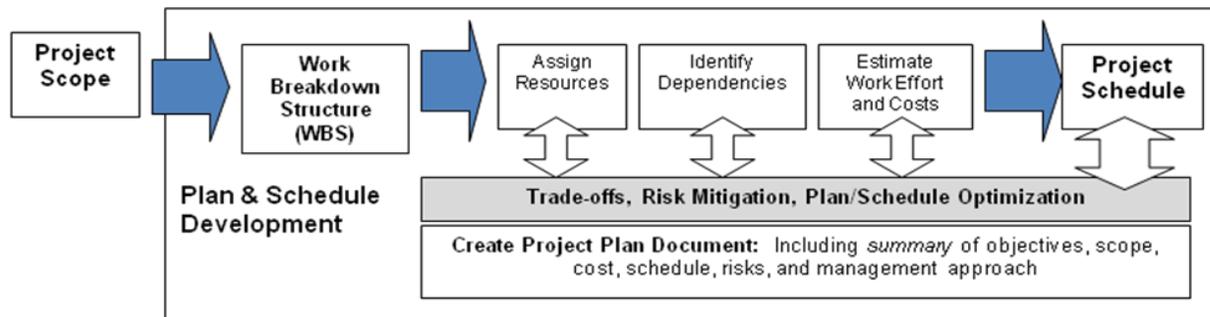
### 2.1.3 Post-installation project monitoring, data collection and reporting of savings

As stated previously, we currently manage 730 active performance contracts, reflecting more than \$5.4 billion of guarantees in force. These guarantees require post-installation project monitoring, data collection and reporting of savings to ensure we meet the guarantee.

### 2.1.4 Overall project management and qualifications

Our two key operations managers, Kevin Stromgren and Aaron Alibrio, have a combined 50+ years of project management experience.

To ensure optimum planning and scheduling of projects, our teams use a structured development process as depicted below and is based on the Project Management Institute methodology. Our process will take into account the client's business and program objectives, the scope of work required to meet those objectives, the time available for the projects, project phasing based on well defined criteria, available resources and budgets, and the risks to accomplishing the project objectives.



**Plan & Schedule Development Process**

### 2.1.5 Securing long-term financing

Johnson Controls helps our customers find financing for the majority of energy performance contracts. We have established a financing department to assist our local offices with any and all financing issues.

Andre Davis, Director of Structured Financing, will be the individual who will coordinate financing. He has more than 13 years of experience in finding the optimal rate for our clients.

### 2.1.6 Financial stability

Please refer to our response in Section 3.2: Financial Soundness and Stability of the Company.

### **2.1.7 Projects of similar size and scope**

Please refer to our response in Section 2.2: Market Sector Involvement.

### **2.1.8 In-state projects and Connecticut-based subcontractors**

Since 1902, we have provided building efficiency services in Connecticut. Some of our performance contracting client included:

- East Hartford Town and Schools
- Lawrence & Memorial Hospital
- Mohegan Sun Casino

We are currently installing projects at Town of Thomaston and Thomaston Public Schools in Connecticut. (At the Town Hall, we are installing a geothermal system.)

For all of our projects, we will focus on engaging local Connecticut subcontractors, particularly diverse business entities. We are proud of our \$1,080,814 spent company-wide with diverse suppliers in the state.

### **2.1.9 United States Department of Energy programs**

Please refer to our response in Section 3.4: Industry Accreditations.

### **2.1.10 Professional certifications**

With more than 162,000 employees, it would be near impossible for us to list all professional certifications. Pertaining to our employees who focus on building efficiency, a large number of people hold certifications in some of the following areas:

- Licensed Professional Engineers
- LEED Accredited Professional
- LEED Green Associate
- National Institute for Certification in Engineer Technologies IV (Certification for Fire Alarm)
- Certified Energy Managers
- Certified Energy Auditors
- Project Management Professionals

## 2.2 Market Sector Involvement

*Describe your company's expertise in each of the following market sectors and facility types:*

*2.2.1 State Agencies*

*2.2.2 Boards of Education*

*2.2.3 Higher education institutions – universities, colleges, and community colleges*

*2.2.4 Municipalities with population between 100,000 and 150,000*

*2.2.5 Municipalities with population under 100,000 population*

*2.2.6 Specific government building types – K-12 school buildings, correctional facilities, hospitals, laboratories, dormitories, office buildings, recreational centers, libraries, and multi-family buildings*

*2.2.7 Other non-buildings, including but not limited to wastewater treatment facilities, water meter projects, traffic signals, and street lights*

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### 2.2.1 State Agencies

Johnson Controls has performed more State Government energy performance contracting than any other ESCO and our team is always applying shared best practices to the next project to maximize the effectiveness of the project and generate more scope for the State client.

Each agency is most certainly unique in its structure, and diverse in its duties to the State and taxpayers. However, a common denominator between agencies is the ever-present set of internal and external political pressures that demand high quality work and accountability in all that they do.

Selecting the right company to partner with for an energy performance contract is an important process in which several factors should be considered. In the following paragraphs, we will highlight some of Johnson Controls' strengths and experience in working with state agencies.

#### State Government Expertise

Our team is constantly looking at new and different ways of providing solutions and services to meet the requirements, needs and goals of state government agencies. This approach creates constant innovation and smart solutions to overcome political, management and technical challenges state agencies face in today's business environment.

In our view, there are three key factors to weigh when selecting the right company to partner with on an energy performance contract: Project Management, Innovation in Energy, and Similar Project Experience.

The following table lists some recent examples of state government work performed by Johnson Controls. *(Please note – our experience in state correctional facilities is contained in an upcoming section.)*

State Government Performance Contracts Implemented by Johnson Controls		
Project Name	Location	Project Size (\$)
<b>Administrative</b>		
Florida Department of Transportation	Lake City, FL	\$2,769,575
State of California-Department of General Services – Small Building Program	Multiple sites, CA	\$12,000,000
Maryland Department of General Services	Baltimore, MD	\$21,494,864
State of West Virginia – Capitol Complex	Charleston, WV	\$18,561,763
The Judiciary-State of Hawaii	Honolulu, HI	Phase 1: \$3,000,000 Phase 2: \$7,200,000
State of Missouri	Jefferson City, MO	\$9,500,000
Wainwright and Truman State Office Buildings, Missouri	Jefferson City/St. Louis, MO	\$5,200,000
Maryland State Police	Pikesville, MD	\$5,146,730
State of Missouri Highway Patrol	Jefferson City, MO	\$2,667,216
<b>Health Care</b>		
State of Maryland Department of Health and Hygiene-Springfield State Hospital	Baltimore, MD	\$14,527,343
State of Maryland Department of Health and Hygiene-Deer's Head Hospital	Salisbury, MD	\$7,238,874
Missouri Department of Mental Health	Jefferson City, MO	\$2,117,181
Wisconsin Energy Initiative - Winnebago Mental Health Institute	Winnebago, WI	\$1,008,330
Ohio Department of Mental Retardation and Developmental Disabilities – Tiffin Development Center	Tiffin, OH	\$910,380
Wisconsin Energy Initiative - Mendota Mental Health Institute	Madison, WI	\$769,380
<b>Parks and Recreation</b>		
State of Mississippi Department of Wildlife, Fisheries and Parks	Jackson, MS	\$2,879,245
State of Tennessee Parks	Multiple sites, TN	\$4,200,000

## Why Johnson Controls?

When it comes to high profile state government projects Johnson Controls has the best-experienced local team to make your energy performance contract program a success:

- Our State Government Solutions team is dedicated to and focused on state government clients and projects.
- Our local team of engineers and project managers will give you unparalleled quality in design and management.
- Strong experience with renewable energy projects and advanced solutions to improve your building systems and reduce your carbon footprint.
- Innovation: Johnson Controls helps states deliver smart environments - bringing ingenuity to the places where employees and constituents live, work and travel by developing projects that offset the cost with savings.  
GUARANTEED!

### **2.2.2 Boards of Education**

We routinely work with Boards of Education in the K-12 market. Please refer to Section 2.2.6 for complete details of our experience in this market.

### **2.2.3 Higher education institutions – universities, colleges, and community colleges**

Johnson Controls is the energy efficiency industry leader in higher education, having approximately \$939 million worth of guarantees throughout North America. The following table lists Johnson Controls' representative projects in higher education, including both large colleges and universities, as well as community colleges.

<b>Higher Education Performance Contracting Projects Implemented by Johnson Controls</b>		
<b>Project Name</b>	<b>Location</b>	<b>Project Size (\$)</b>
Milwaukee Area Technical College Downtown	Milwaukee, WI	\$24,267
Milwaukee Area Technical College – Oak Creek	Milwaukee, WI	\$52,633
Fond du Lac Tribal Com College	Duluth, MN	\$207,730
University of Washington Bothell	Seattle, WA	\$557,121
Dakota County Tech College	Minneapolis, MN	\$699,150
Wayne Community College	Wilmington, NC	\$745,835
Paul Smiths College	Albany, NY	\$906,859
Carl Sandburg College Phase 3	Peoria, IL	\$1,132,740
Ashland University Phase 2	Cleveland, OH	\$1,170,286
Wilkes Community College	Greensboro, NC	\$1,195,803
Northern Michigan University Phase 2	Marquette, MI	\$1,428,738
Central Oregon Community College	Portland, OR	\$1,480,393
Northern Michigan University Phase I	Marquette, MI	\$1,655,181

**Higher Education Performance Contracting Projects Implemented by Johnson Controls**

Project Name	Location	Project Size (\$)
Philander Smith College	Jackson, MS	\$1,670,892
Louisiana College	Baton Rouge, LA	\$2,680,365
Davidson Community College	Greensboro, NC	\$2,957,526
Johnston Community College	Raleigh, NC	\$3,039,749
Concordia College	Hawthorne, NY	\$3,237,354
Harrisburg Area Com College Phase 2	New Cumberland, PA	\$4,065,941
Carroll College	Montana, MT	\$4,092,511
Massasoit Community College Phase 2	Lynnfield, MA	\$4,264,778
Beloit College	Madison, WI	\$4,287,562
Copiah Lincoln Community College	Jackson, MS	\$5,186,422
Museum of Science Phase I	Lynnfield, MA	\$5,315,673
Acadia University	Halifax, NS	\$5,625,000
Massasoit Community College Phase 1	Lynnfield, MA	\$6,047,996
University of Hawaii – Maui College	Kahului, HI	\$9,000,000
Dalhousie University	Halifax, NS	\$12,000,000
Bowie State University	Washington, MD	\$18,202,338
Lee College	San Antonio, TX	\$18,476,482
Tulsa Community College	Kansas City, KS	\$23,804,627
Gallaudet University	Baltimore, MD	\$24,035,263
University of Maryland College Park	Washington, MD	\$29,640,848
University of Oklahoma	Oklahoma City, OK	\$32,822,703
University of Hawaii Community Colleges – Oahu Campuses	Honolulu, HI	\$33,000,000
Lakehead University	Toronto, ON	\$36,338,760
Tulane Medical School	New Orleans, LA	\$37,175,605
Tulane University	New Orleans, LA	\$37,231,728
Northern Michigan University CHP	Appleton, WI	\$41,952,091
Kansas State University - Central Plant	Kansas City, KS	\$45,578,771

## 2.2.4 Municipalities with population between 100,000 and 150,000

In all, we have 192 municipal performance contracts in force across the country with savings guarantees of more than \$814 million.

The municipal market – both large and small city and county clients – is one of the fastest growing business sectors for Johnson Controls. Our success in this unique market is due to our approach of providing energy services and expertise specific to municipal infrastructure and municipal goals with a team dedicated to local government clients throughout each state.

Johnson Controls partners with local government agencies to develop comprehensive programs which support the achievement of a sustainable community - from green buildings and renewable energy to water and infrastructure improvements. We provide the technology, implementation expertise and funding strategies to implement projects which reduce waste, improve the environment, upgrade technology and reduce operating expenses.

County Performance Contracting Projects Implemented by Johnson Controls			
Project Name	Location		Project Size (\$)
Granite County	Phillipsburg	MT	\$124,659
Dodge County	Juneau	WI	\$324,910
Town of Hamilton	Hamilton	MA	\$351,674
Brookings County	Brookings	SD	\$436,642
Cumberland Co Government Ph 2	Fayetteville	NC	\$438,532
Ravalli County	Hamilton	MT	\$514,542
Polk County Courthouse Ph 2	Balsam Lake	WI	\$541,526
Clackamas County Public Service Bldg	Clackamas	OR	\$777,726
Toole County	Shelby	MT	\$938,301
Marshall County	Moundsville	WV	\$984,085
City of Corning	Corning	NY	\$1,176,721
Cascade County	Great Falls	MT	\$1,241,577
Perry County	New Lexington	OH	\$1,295,419
Town of Canton	Lynnfield	MA	\$1,306,610
City of Biddeford	Biddeford	ME	\$1,407,877
Flathead County	Kalispell	MT	\$1,456,033
Eaton County	Charlotte	MI	\$1,581,331
Utah County	Provo	UT	\$1,607,465
Clinton County	Lock Haven	PA	\$1,719,902
McClain County	Purcell	OK	\$1,785,067
City of Dover	Dover	NH	\$1,842,428
Grayson County	Sherman	TX	\$1,922,992
Haralson County Water Authority	Buchanan	GA	\$2,112,455
Honolulu Hale – City and County of Honolulu	Honolulu	HI	\$2,136,943
Monroe County Government	Stroudsburg	PA	\$2,205,247

County Performance Contracting Projects Implemented by Johnson Controls			
Project Name	Location		Project Size (\$)
Clark County Ph2	Vancouver	WA	\$2,255,372
City of Ithaca	Ithaca	NY	\$2,332,643
Raleigh County Commission	Beckley	WV	\$2,372,400
City of Saratoga Springs Phase II	Saratoga Springs	NY	\$2,441,794
City of Utica	Utica	NY	\$2,888,035
Genesee County	Flint	MI	\$3,916,451
Lorain County	Elyria	OH	\$3,966,060
Blair County	Hollidaysburg	PA	\$4,077,816
Sedgwick County KS Courthouse	Wichita	KS	\$4,090,840
Tompkins County	Ithaca	NY	\$4,154,367
CCBMR Cuyahoga County	Cleveland	OH	\$4,200,970
Smith County Phase 2	Tyler	TX	\$4,445,032
Anderson County	Clinton	TN	\$4,600,975
Bradford County	Towanda	PA	\$5,056,081
Harford County Government	Bel Air	MD	\$5,404,031
Cumberland Co Government	Fayetteville	NC	\$6,216,888
Cumberland Co Government Ph 1	Fayetteville	NC	\$6,216,888
City of Rome	Rome	NY	\$8,572,565
Peoria County	Peoria	IL	\$8,619,873
Hawaii Municipal Building-Hawaii Police Department (HMB-HPD)	Honolulu	HI	\$9,560,817
Polk County Water Authority	Cedartown	GA	\$11,217,739
Prince Georges County Government	Forestville	MD	\$12,201,636
East Hartford Town and Schools – Phases 1 & 2	East Hartford	CT	\$12,500,000
Wilson County	Lebanon	TN	\$14,121,087
Franklin County	Columbus	OH	\$34,267,794
Preston County	Kingwood	WV	\$41,350,409

### 2.2.5 Municipalities with population under 100,000 population

Please refer to our response in Section 2.2.4. We do not track our projects by size of municipality.

## 2.2.6 Specific government building types – K-12 school buildings, correctional facilities, hospitals, laboratories, dormitories, office buildings, recreational centers, libraries, and multi-family buildings

### K-12

Johnson Controls' commitment to education began in 1885 with our founder, Professor Warren Johnson, who wanted to make his classroom more conducive to learning. He is credited with inventing the first electric thermostat. Today, Johnson Controls continues to build upon this rich tradition of creating optimal environments for student achievement.

The K-12 market is one of our primary vertical markets serving small, rural school districts as well as larger school districts. We have more than \$1.3 billion in outstanding energy savings guarantees with K-12 schools throughout North America. Over time, we have developed a significant infrastructure of experienced, world-class engineering, project management, measurement and verification and service professionals who deliver high quality, innovative projects that help our clients improve their educational environments.

From basic lighting and HVAC retrofits installed 30 years ago to current projects for large multi-district solar installations, wind farms, and lifecycle program management initiatives, Johnson Controls consistently serves the public school market, while enhancing our offerings to meet the changing needs of schools. Reducing, and ultimately eliminating, environmentally harmful emissions and wasteful practices is a top priority for which we all share responsibility. Our performance contracting approach with K-12 schools not only includes implementing necessary energy improvements to school facilities, but we also have proven programs in place to educate students, faculty and other staff on the importance of sustainable living practices. With the growing focus on energy efficiency, we also have helped our educational clients with green workforce curriculum development to ensure that our students are introduced to career options in this area. Integrating energy management solutions with teaching our next generation of energy conscious citizens is a hallmark of Johnson Controls' K-12 strategy.

Our company supports national organizations, such as the American Association of School Administrators (AASA), that allow us to interact with key K-12 leaders from across the United States and keep abreast of facility-related challenges and activities. In addition, Johnson Controls sponsors the annual Igniting Creative



### Creating optimal learning environments

We work with more than 4,000 school districts providing a wide range of facility services. Regarding performance contracting specifically, we currently have 265 active K-12 performance contracting projects, representing \$1,077,499,934 in guarantees.

Energies (ICE) competition for students who have an interest in energy efficiency sustainable buildings. In all 50 states, teachers, parents, and faculty from the winning students' schools are recognized, and each school receives a cash reward from Johnson Controls' Blue Sky Foundation.

Along with the expertise to develop economically sound projects for K-12 districts, we dedicate resources to identify and obtain additional funding to help reduce the initial capital investment required for energy efficiency capital retrofits. These sources of funding generally fall into the category of rebates or grants. Local teams are well versed in understanding local utility rebates and state-level grants available to school districts. On a national level, Johnson Controls monitors federal legislation and other activities that can result in additional grants being made available. We employ a full-time grant writer to support our local teams in applying for and obtaining grant funding. A notable example of this is Johnson Controls' award of \$40 million in zero-interest Clean Renewable Energy Bonds (CREBs) funding for a multi-school district wind farm in Minnesota.

At a strategic level, Johnson Controls' scope of offerings is directly connected to supporting our client's district-level goals and various department-level strategies across their entire organization. This allows us to provide the most significant impact on energy efficiency for our clients. We use this overall strategy as a starting point and then customize specific projects around the goals of each client.

In the following table, we provide a small sampling of active performance contracting projects in the K-12 market led by Johnson Controls. These projects include both small and larger school districts.

K-12 Performance Contracting Projects Implemented by Johnson Controls		
Project Name	Location	Project Size (\$)
Arbor Vitae Schools	WI	\$98,904
Starkville School District Ph 3	MS	\$313,935
Wyandotte Schools Phase 4	MI	\$338,001
McCook Central School District	SD	\$347,670
Beloit School District	WI	\$358,409
Leola School District	SD	\$383,175
Aberdeen Central High School	SD	\$402,000
Starkville School District Ph II	MS	\$442,378
Pierre School District	SD	\$517,519
Warren-Alvarado-Oslo	MN	\$699,328
Bristol School District P1	PA	\$709,951
Marlette Community Schools	MI	\$762,509
Indian River School District Phase 2	DE	\$872,159
Stephen Argyle School District	MN	\$924,031
Warren County Career Center	OH	\$1,102,035
Wagner Schools Phase 2	SD	\$1,227,950
Fort Leboeuf School District	PA	\$1,245,255
Bogalusa City Schools	LA	\$1,314,194
Perry County Schools	AL	\$1,363,213

K-12 Performance Contracting Projects Implemented by Johnson Controls		
Project Name	Location	Project Size (\$)
Wyandotte Schools Phase III	MI	\$2,162,064
Waukegan SD Phase V	IL	\$2,199,869
Clarion Area Schools	PA	\$3,223,762
Louisiana School for the Deaf Ph 2	LA	\$4,421,960
Bristol School District P3	PA	\$4,454,539
Mt. Diablo USD Phase 2	CA	\$5,674,185
Mt Diablo USD Phase 1	CA	\$6,495,140
Erie Community School District No 1	IL	\$6,684,539
Laurens School District 55	SC	\$6,850,851
Perry Local Schools	OH	\$6,852,150
Parma City Schools	OH	\$19,821,795
Huntsville City Schools	AL	\$29,122,996
Babylon Union Free School District	NY	\$3,505,501
Baldwin Union Free Schools	NY	\$2,300,000
Bethpage Schools	NY	\$2,880,956
Brentwood Union Free School District	NY	\$17,948,435
Brockport Central School District	NY	\$3,478,386
Buffalo City Schools Ph 5	NY	\$8,980,500
Buffalo City Schools Phase 1	NY	\$9,914,500
Buffalo City Schools Phase 2	NY	\$14,701,900
Buffalo City Schools Phase 3	NY	\$8,582,400
Buffalo City Schools Phase 4	NY	\$13,928,000
Carle Place Schools	NY	\$1,970,700
Chappaqua School District	NY	\$11,900,000
Chatham Central School District	NY	\$2,400,400
Cheektowaga Central School District	NY	\$3,900,100
Cheektowaga Central School District Phase 2	NY	\$2,218,600
City of Kingston Schools	NY	\$5,339,800
Comsewogue Schools	NY	\$3,186,000
Comsewogue Union Free School District Phase 2	NY	\$3,584,900
Connetquot Central School District	NY	\$11,269,700
Deer Park Union Free School District	NY	\$10,302,500
East Ramapo Schools	NY	\$9,555,200
East Rochester Union Free School District	NY	\$930,100
Eastchester Union Free School District	NY	\$6,599,300
Eastport South Manor School District	NY	\$8,062,393
Fayetteville Manlius Central School District Phase 2	NY	\$2,175,500
Fayetteville Manlius Central School District Phase 3 - Green	NY	\$2,175,700
Glen Cove Schools	NY	\$8,326,900
Greenport Union Free School District	NY	\$675,000
Half Hollow Hills School District	NY	\$16,400,000
Hampton Bays Schools	NY	\$422,000

<b>K-12 Performance Contracting Projects Implemented by Johnson Controls</b>		
<b>Project Name</b>	<b>Location</b>	<b>Project Size (\$)</b>
Harborfields Central School District	NY	\$4,402,600
Hastings-On-Hudson Union Free School District	NY	\$1,800,000
Hauppauge Schools	NY	\$2,360,000
Herricks School District	NY	\$3,855,200
Hewlett Woodmere	NY	\$5,182,500
Holland Central School District	NY	\$1,358,000
Island Trees Union Free School District	NY	\$5,046,697
Islip Union Free School District	NY	\$3,090,400
Ken Ton Union Free School District Phase 1	NY	\$13,048,000
Ken Ton Union Free School District Phase 2	NY	\$1,444,700
Kings Park Central School District - Phase 2	NY	\$2,925,000
Lackawanna Central School District	NY	\$2,675,900
Lackawanna Central School District Phase 2	NY	\$1,900,000
LaFargeville Central School District	NY	\$1,078,000
Lansing Central School District	NY	\$3,992,400
Liberty Central School District	NY	\$2,044,000
Lindenhurst Schools	NY	\$5,232,700
Locust Valley Central School District	NY	\$3,757,000
Manhasset Public Schools	NY	\$3,304,200
Massapequa School District Phase 2	NY	\$5,900,000
Massapequa Schools	NY	\$8,015,000
Mattituck Cutchogue Union Free School District	NY	\$1,644,900
Mexico Academy and Central School District	NY	\$5,047,400
Millbrook Central School District	NY	\$1,925,700
Miller Place School District	NY	\$2,560,000
Mineola Schools	NY	\$1,925,000
Mineola Schools PH 2	NY	\$1,411,100
Mount Sinai School District	NY	\$3,700,000
Newark Central School District	NY	\$2,549,800
Newark Central School District Phase 2	NY	\$260,900
North Bellmore Union Free School District	NY	\$3,283,700
Oneida City School District	NY	\$2,671,500
Peekskill Central School District	NY	\$5,019,300
Plainview- Old Bethpage Schools	NY	\$2,925,400
Plainview Schools	NY	\$2,925,000
Port Washington Schools	NY	\$2,793,900
Poughkeepsie City Schools	NY	\$2,800,000
Rhinebeck Central School District	NY	\$1,426,900
Rhinebeck Central School District Phase 2	NY	\$813,400
Riverhead School District	NY	\$8,700,900
Roslyn Union Free School District	NY	\$3,000,000
Sachem School District Phase 2	NY	\$16,026,500
Scarsdale Union Free School District	NY	\$10,570,028

K-12 Performance Contracting Projects Implemented by Johnson Controls		
Project Name	Location	Project Size (\$)
Shoreham Schools	NY	\$4,500,000
Smithtown Schools Phase 3	NY	\$4,000,000
Southampton Union Free School District Phase 2	NY	\$3,100,000
Southold School District	NY	\$1,540,500
Three Village Central School District	NY	\$11,076,900
Tompkins Seneca Tioga (TST) BOCES	NY	\$2,900,800
Warwick Schools	NY	\$3,000,000
Warwick Valley Central School District - Phase 2	NY	\$4,880,000
Waterville Central School District	NY	\$1,380,400
West Hempstead School District	NY	\$2,902,200
West Islip Union Free School District	NY	\$1,157,000
West Hampton Beach Union Free School District	NY	\$3,109,000
Yonkers Public Schools	NY	\$10,570,028

### Office Buildings

Johnson Controls' performance contracting work in all markets involves implementing energy savings measures in a range of building types, including office buildings. We manage energy retrofits in office buildings maintained by numerous state, local and federal government clients as well as private sector and commercial entities.

One of the largest, most recent office building performance contracts that we are managing is for the State of California Department of General Services' Small Building Program. This project involves work in 46 sites throughout the state, and includes \$12 million of building retrofits.

The table below lists some of our client sites where we are performing work in office buildings.

Performance Contracting Projects implemented by Johnson Controls in Office Buildings			
Project	Location		Project Size (\$)
Clackamas County Public Service Bldg	Clackamas	OR	\$777,726
Center for Disease Control	Atlanta	GA	\$1,289,275
Preston County	Kingwood	WV	\$1,350,409
City of Porterville	Porterville	CA	\$1,450,187
City of Lafayette	Lafayette	CO	\$1,552,914
Grayson County	Sherman	TX	\$1,922,992
Honolulu Hale – City and County of Honolulu	Honolulu	HI	\$2,136,943
Ford WHO	Dearborn	MI	\$2,155,440
GSA Bannister Complex	Kansas City	MO	\$3,491,534
Lorain County	Elyria	OH	\$3,966,060

Performance Contracting Projects implemented by Johnson Controls in Office Buildings			
Project	Location		Project Size (\$)
Tompkins County	Ithaca	NY	\$4,154,367
NASA Ames DO 1	Moffet Field	CA	\$5,127,899
Pennsylvania Department of General Service	Harrisburg	PA	\$5,290,439
Harford County Government	Bel Air	MD	\$5,404,031
KCMO City Complex Facilities	Kansas City	MO	\$5,414,391
City of Baytown	Baytown	TX	\$6,090,829
Peoria County	Peoria	IL	\$8,619,873
Baltimore City Government	Baltimore	MD	\$9,208,763
Hawaii Municipal Building-Hawaii Police Department (HMB-HPD)	Honolulu	HI	\$9,560,817
Baltimore City Government Phase 3	Baltimore	MD	\$9,783,219
Baltimore City Government Phase 2	Baltimore	MD	\$10,844,973
Polk County Water Authority	Cedartown	GA	\$11,217,739
PJKK Federal Bldg	Honolulu	HI	\$12,915,592
City of El Paso	El Paso	TX	\$20,309,402
Maryland DGS DC MSC	Baltimore	MD	\$21,494,864
Maryland Department of General Services DC MSC and Annapolis Bldgs	Baltimore	MD	\$31,413,536
Franklin County	Columbus	OH	\$34,267,794
Empire State Building	New York	NY	\$20,000,000

## Correctional Facilities

Our experience goes beyond performance contracting as well. Johnson Controls implemented more than 1,000 projects in jails, detention centers and corrections facilities over the last 13 years. These projects include new construction, maintenance, retrofits and performance contracts. The following table lists some of our larger performance contracting clients in the correctional market.

Please note that many of our corrections projects include multiple sites, as well as multiple project phases. This will demonstrate our successful track record of performance contracting in correctional facilities, many times with multiple sites over multiple phases. Further, as applicable technologies change, we bring these improvements to the attention of our clients who have found it beneficial to implement the performance contracting approach again and again.



### Addressing security issues

Based on our experience in secure environments, we have standard processes in place to ensure the safety and security of all involved in the project:

- Tool Accountability Program (counting tools when entering and leaving, bright colored handles, etc.)
- Team Identification (client-issued identification, matching colored uniform shirts with our logo, etc.)
- Safety on the Job Site (site safety procedures, our standard safety process, etc.)

State Correctional Institutions			
Project Name	City, State	Total Project \$	Year Constructed
Alabama Department of Corrections	Multiple Sites, AL	\$50,500,000	In Construction
California Department of Corrections	Multiple Sites, CA	\$1,000,000	2008
Indiana Department of Correction (Phase I)	Indianapolis, IN	\$25,200,000	2006-2007
Indiana Department of Correction (Phase II)	Indianapolis, IN	\$10,700,000	2007
Kentucky Department of Corrections	Multiple Sites, KY	\$3,300,000	2008
Indiana Department of Correction (Phase III)	Indianapolis, IN	\$9,700,000	2010
Missouri Department of Corrections	Multiple Sites, MO	\$17,100,000	2008
New York Department of Corrections	Albany, NY	\$19,158,491	2004-2005
Pennsylvania Department of Corrections – SCI Laurel Highlands	Somerset, PA	\$ 44,169,443	2007
Pennsylvania Department of Corrections – SCI Cresson	Cresson, PA	\$14,713,040	2006
Pennsylvania Department of Corrections – SCI Mercer	Mercer, PA	\$811,737	2002-2003
South Carolina Department of Corrections	Statewide, SC	\$14,817,244	2009
Tennessee Department of Corrections - Northwest Correctional Complex	Tiptonville, TN	\$2,500,000	2005-2006
Utah Department of Corrections	Draper, UT	\$11,000,000	2003-2004
Virginia Department of Corrections - Phase 1	Richmond, VA	\$13,381,629	2006
Virginia Department of Corrections - Phase 2	Richmond, VA	\$17,198,333	2007
Virginia Department of Corrections - Phase 3	Richmond, VA	\$14,000,000	In Construction

State Correctional Institutions			
Project Name	City, State	Total Project \$	Year Constructed
Virginia Department of Corrections - Phase 4	Richmond, VA	\$18,000,000	In Construction
Wisconsin Energy Initiative - Oshkosh Correctional Facility	Oshkosh, WI	\$2,309,535	2002
Wisconsin Energy Initiative - Racine Correctional Facility	Sturtevant, WI	\$1,812,525	2002-2003
Wisconsin Energy Initiative - Waupun Correctional Facility	Waupun, WI	\$1,788,000	1999-2000
Wisconsin Energy Initiative - Taycheedah Correctional Facility	Fond du Lac, WI	\$560,730	2002-2003
Wisconsin Energy Initiative - Oakhill Correctional Facility	Oregon, WI	\$485,656	2005-2006
Wisconsin Energy Initiative - Fox Lake Correctional	Fox Lake, WI	\$465,877	2002-2003
Wisconsin Energy Initiative - Kettle Moraine Correctional Facility	Kettle Moraine, WI	\$430,890	2002-2003

### Green Jobs Training Program

Johnson Controls developed the Green Heating Ventilation and Air Conditioning Vocational Program for the Indian Creek Correctional Center in Chesapeake, Va. The company provided the curriculum and the training for correctional instructors for potential careers as service mechanics, controls technicians and maintenance specialists. Research shows that education of this nature can reduce the likelihood of inmates returning to prison. Our team would welcome the opportunity to discuss a similar program for Connecticut.

Johnson Controls is working with the Virginia Department of Corrections to design and build a Green Learning Lab as part of the Governor's Audit Reentry Initiative. The vision of the reentry initiative is that every offender transitions successfully from prison to his or her neighborhood as a law-abiding, productive member of the community.

The Green Learning Labs takes aim at one goal of the reentry initiative, which is to teach offenders functional, educational and vocational competencies based on employment market demand and public safety requirements.

Located at one of the Department's reentry points, the Lab will be equipped with mechanical HVAC equipment that will be used to train participating inmates for green careers. Inmates will have the opportunity to learn how to operate and support the equipment using energy efficient operations and maintenance practices.

Johnson Controls and the Department will jointly assess inmate aptitude and develop curriculum and course materials that best suit them, ultimately helping participants prepare for careers such as HVAC technicians and facility electricians, among others.

Development of the Lab and the ongoing training are being funded through savings generated by the energy efficiency upgrades made under the performance contract.

Sports complexes, stadiums, arenas, athletic fields, recreational facilities, etc.

The following table lists some of the performance contracts that Johnson Controls has implemented in stadiums, arenas, sports facilities, and other facilities for public assembly.

<b>Sports Complexes, Stadiums, and Other Recreational Facility Performance Contracts Implemented by Johnson Controls</b>			
<b>Project</b>	<b>Location</b>		<b>Project Size (\$)</b>
Beaconsfield	Beaconsfield	QC	\$318,029
Town of North Smithfield	North Smithfield	RI	\$429,890
Town of Wenham	Wenham	MA	\$641,136
Milwaukee Zoo	Milwaukee	WI	\$1,054,436
Prairie Capital Convention Center	Springfield	IL	\$3,494,855
Broome County Veterans Memorial Arena Binghamton	Binghamton	NY	\$3,732,253
City of Glens Falls Civic Center	Glens Falls	NY	\$4,536,815
Pasadena Convention Center	Pasadena	CA	\$4,631,121
St Louis Convention Center	St. Louis	MO	\$4,893,649
Kentucky Fair and Expo Center - SOL	Louisville	KY	\$9,472,391
Kennedy Center	Washington	DC	\$13,574,268
Dallas Convention Center	Dallas	TX	\$23,853,765

Other government facilities, libraries, data/communication centers, laboratories, etc.

The following table lists some recent examples of state government work performed by Johnson Controls in libraries, research labs and other government facilities.

Libraries, Labs and Other Government Performance Contracts Implemented by Johnson Controls			
Project	Location		Project Size (\$)
Environmental Protection Agency	Ada	OK	\$345,243
Hanford Bldg 326	Richland	WA	\$369,542
Wisconsin Energy Initiative - UW Madison Biotron	Madison	WI	\$572,235
Cleveland Heights Library	Cleveland Heights	OH	\$750,000
Gerald R Ford Library	Ann Arbor	MI	\$874,512
USGS-NWHC	Madison	WI	\$1,193,754
DOE Nevada	North Las Vegas	NV	\$1,651,049
AEP	Mountaintop	PA	\$3,203,425
Sealed Air	Iowa Park	TX	\$3,567,060
Argonne National Laboratory	Argonne	IL	\$4,699,040
National Animal Disease Center	Ames	IA	\$12,298,780
Lawrence Livermore National Lab	Albuquerque	NM	\$26,144,697
Tulane Medical School	New Orleans	LA	\$37,175,605
Department of Energy - Hanford 300 Area	Richland	WA	\$41,852,752
Department of Energy - Hanford 200 Area	Richland	WA	\$66,430,008
Oak Ridge National Laboratory	Oak Ridge	TN	\$89,000,000

**2.2.7 Other non-buildings, including but not limited to wastewater treatment facilities, water meter projects, traffic signals, and street lights**

[Transportation facilities \(airport, harbor, highways, parking structure, tunnels, transit, etc.\)](#)

Johnson Controls has worked on several performance contracts encompassing multiple facilities within transportation departments, such as the Colorado Department of Transportation, the Port Authority of New York and New Jersey, and the California Small Building Program, which includes work for the Department of Motor Vehicles. Below we have listed details about these and other performance contracts with transportation facilities.

Transportation Facility Performance Contracts Implemented by Johnson Controls		
Project	Location	Project Size (\$)
Colorado Department of Transportation	Multiple sites, CO	\$12,000,000
Tulsa International Airport – Tulsa Airport Improvement Authority	Tulsa, OK	\$11,368,317
JFK Airport - Port Authority of New York and New Jersey	New York, NY	\$14,985,573
Florida Department of Transportation	Lake City, FL	\$2,769,575
State of California Department of General Services – Small Building Program (including Department of Motor Vehicles)	Multiple sites, CA	\$12,000,000

[Water meters/automated meter reading](#)

Since 1999, we have implemented nearly 100 water meter projects involving one million meters. The matrix below shows some of our recent projects in which we upgraded meters.

Client	# of Meters
Tyler, TX	30,692
Olathe, KS	34,040
Kingsport, TN	36,108
Anderson, IN	37,375
Hollywood, FL	40,072
Cuyahoga Falls, OH	42,375
Duluth, MN	53,884
Cary, NC	60,151
Evansville, IN	68,000
Ocala, FL	77,646



Pumping stations (includes water and wastewater facilities)

Implementing energy and operational efficiency measures in the pumping and supervisory control and data acquisition (SCADA) processes has the potential to deliver significant savings and we can help you find the best solutions.

Water and Wastewater Performance Contracting Projects Implemented by Johnson Controls		
Project	Location	Project Size (\$)
Benbrook Water	Dallas, TX	n/a
City of Mt. Vernon Water Plant	Mount Vernon, IN	\$3,776,773
City of Port Huron – Water	Port Huron, MI	\$7,935,820
Haralson County Water Authority	Buchanan, GA	\$2,112,455
Lorain County Water Authority	LaGrange, OH	\$13,549,016
Middletown Water	Middletown, OH	\$9,908,858
Patriot Municipal Water Utility	Patriot, IN	\$1,673,901
Polk County Water Authority	Cedartown, GA	\$11,217,739

Treatment plants (includes water and wastewater)

Johnson Controls’ work with the Back River Waste Water Treatment Plant in Baltimore, Maryland, is one of the largest, recent performance contracts in this market sector. This project included more than \$14 million in facility improvements and will produce more than \$33 million in energy savings over the 15-year contract term.

**City of Rome, NY**

Like many small American cities, Rome is struggling to maintain services and make critical infrastructure improvements in the wake of state and local budget cuts, as well as a shrinking tax base. And, as part of its economic development plan, the City is actively marketing itself to attract new businesses and keep its economy strong. Rome partnered with Johnson Controls to make major upgrades, including installing variable speed drives on low-lift pumps at the water filtration plant and a fine bubble aeration system at the wastewater treatment plant. We also expanded the capacity of the treatment plant to accommodate “high strength” wastes to allow the City to generate additional revenue as well as help attract new businesses to Rome.

### Refuse or solid waste facilities (includes landfills, resource recover, recycling)

Johnson Controls' landfill gas to energy project with Little Rock, Arkansas is our best example of our work in this market sector. The project was implemented in 2008 and will produce more than \$6 million in energy savings for the city over the 15-year contract term.

We also are implementing a similar landfill project with the Pennsylvania Department of Corrections at the State Correctional Institution at Laurel-Highlands.

We have dedicated team members on our renewable energy solutions project development team that have specific expertise in the design and utilization of biogas from landfills and wastewater treatment plants, as well as alternative fuel and biomass projects.

### Traffic signals

In recent years, counties and municipalities have begun converting traditional red-amber-green traffic lights and pedestrian crossing signals that use incandescent bulbs to a light emitting diode (LED) system that cuts electricity use by 80% to 90% and can last up to 10 times longer, thus reducing both energy and maintenance costs. Improved safety is an additional benefit because LEDs produce a brighter light than incandescent bulbs – both during the day and after dark.

Johnson Controls has upgraded traffic signals and traffic lighting for several clients as part of a performance contracting project. These clients include:

- City of Lafayette, CO
- Hillsborough County, FL
- Cherokee County, GA
- City of Little Rock, AR
- City of South Bend, IN
- Brevard County, FL
- City of Cocoa Beach, FL
- City of Tyler, TX
- City of Honolulu, HI
- City of Royal Oak, MI

### Street lights

We provided upgrades to street lights in the following cities:

- City of Compton, CA
- City of Glenwood Springs, CO
- City of Kenosha, WI
- City of Anderson, IN
- City of Luling, TX
- City of Hallettsville, TX
- City of El Paso, TX

## 2.3 Project List

*Using the format of the table below, list all energy-savings performance contract projects developed and implemented by your company within the past five years.*

*Include only projects where work was directly performed by your company. If it is relevant to list projects performed under contract to another company, clearly identify the company with overall responsibility for that project and the project's relevance to this item 2.3.*

In the past five years, we have implemented approximately 455 performance contracts. As such, descriptions of all of these projects would be too voluminous to include in our proposal (but are available by request if necessary). The following list is abridged for your review.

Performance Contracting Projects Completed in Last Five Years (Abbreviated)						
Project Name	Facility Type	City	State	Project Size (Dollars)	Project Size (Square Feet)	Year Completed
Westside Union School District	K-12 School	Quartz Hill	CA	\$10,904,365	580,583	11/1/2010
Grand Junction City of	Office	Grand Junction	CO	\$2,046,342	266,055	1/1/2010
Pueblo County	Other	Pueblo	CO	\$3,887,167	654,759	10/1/2011
Delaware State University	University / College	Dover	DE	\$11,260,925	N/A	2/1/2013
City of Richmond	Other	Richmond	IN	\$2,672,692	80,000	9/1/2010
City of Olathe	Other	Olathe	KS	\$11,938,056	145,191	4/1/2011
Western Kentucky University	University / College	Bowling Green	KY	\$10,467,965	5,000,000	7/1/2011
Morehouse Parish Schools	K-12 School	Bastrop	LA	\$2,013,861	771,773	10/1/2008
Massasoit Community College Phase 1	University / College	Brockton	MA	\$2,673,353	540,037	8/1/2011
Massasoit Community College Phase 2	University / College	Brockton	MA	\$4,893,468	540,037	6/1/2012
Town of Swampscott Public Schools	K-12 School	Swampscott	MA	\$868,325	494,766	3/1/2012
Town of Wenham	Public Assembly	Wenham	MA	\$548,955	71,594	6/24/2011
Maryland Department of General Services DC MSC and Annapolis Buildings	Office	Baltimore	MD	\$23,443,796	4,021,000	1/1/2011
Maryland Dept of Agriculture	Research and Lab	Annapolis	MD	\$1,764,929	177,811	3/1/2010
City of Royal Oak Phase II	Office	Royal Oak	MI	\$562,126	61,895	11/1/2011
Genesee County	Office	Flint	MI	\$9,433,691	631,447	4/1/2012

Performance Contracting Projects Completed in Last Five Years (Abbreviated)						
Project Name	Facility Type	City	State	Project Size (Dollars)	Project Size (Square Feet)	Year Completed
Kalamazoo County PC P2	Office	Kalamazoo	MI	\$711,683	486,309	5/1/2011
Wyandotte Schools Phase IV	K-12 School	Wyandotte	MI	\$2,328,172	918,778	4/1/2010
Albany Schools 745	K-12 School	Albany	MN	\$2,176,361	308,016	1/1/2010
City of Arlington	Other	Arlington	MN	\$650,194	62,550	3/1/2010
City of Northfield (MN)	Other	Northfield	MN	\$3,259,675	251,555	10/1/2009
Mississippi Department of Wildlife, Fisheries and Parks	Museum	Jackson	MS	\$729,000	153,541	5/1/2008
City of Missoula	Other	Missoula	MT	\$1,306,869	143,642	5/1/2011
Flathead County	Other	Kalispell	MT	\$2,399,515	210,458	6/1/2009
Toole County	Other	Shelby	MT	\$2,372,888	113,406	2/1/2011
Cumberland Co Government Ph 2	Other	Fayetteville	NC	\$554,192	808,536	6/1/2011
Madison County Schools	K-12 School	Marshall	NC	\$3,574,936	383,299	6/1/2010
City of Dover Phase I	Other	Dover	NH	\$2,128,898	392,550	10/1/2011
Waterford Township School Dist	K-12 School	Waterford	NJ	\$4,457,612	138,348	2/1/2013
Wyckoff School District	K-12 School	Wyckoff	NJ	\$4,093,252	346,999	8/1/2011
Baldwin Union Free Schools	K-12 School	Baldwin	NY	\$2,301,820	760,988	3/1/2007
City of Corning NY	Other	Corning	NY	\$1,176,721	100,441	2/1/2010
City of Ithaca New York	All	Ithaca	NY	\$2,332,643	221,480	4/1/2008
City of Rome	Other	Rome	NY	\$8,572,565	247,000	11/1/2009
City of Saratoga Springs Phase II	Other	Saratoga Springs	NY	\$2,441,794	281,427	12/1/2009
City of Utica	Other	Utica	NY	\$2,888,035	275,438	10/1/2009
Concordia College	University / College	Bronxville	NY	\$5,428,661	250,000	6/1/2012
Connetquot CSD PC	K-12 School	Bohemia	NY	\$11,269,691	1,093,710	10/1/2011
Deer Park UFSD PC	K-12 School	Deer Park	NY	\$10,302,546	795,320	1/1/2012
East Ramapo P2	K-12 School	Spring Valley	NY	\$3,898,103	1,429,491	5/1/2013
Eastchester UFSD PC	K-12 School	Eastchester	NY	\$6,599,344	430,220	10/31/2013
Eastport South Manor School District	K-12 School	Manorville	NY	\$8,062,393	516,700	2/1/2014
Empire State Building	Office	New York	NY	\$20,000,000	2,824,973	2/1/2011
Geneva EPC	Other	Geneva	NY	\$3,915,400	152,113	12/1/2011
Half Hollow Hills School District	K-12 School	Dix Hills	NY	\$16,400,000	1,393,515	1/1/2012
Middle Country	K-12 School	Centereach	NY	\$13,550,000	1,558,549	1/2/2012
Millbrook Central School District	K-12 School	Millbrook	NY	\$1,925,726	228,812	10/1/2010
Mineola Schools PH II	K-12 School	Mineola	NY	\$1,411,100	423,445	7/1/2008
Nassau County Community College PC	University / College	Garden City	NY	\$5,564,486	1,519,756	1/1/2012
Poughkeepsie City Schools PC	K-12 School	Poughkeepsie	NY	\$5,547,547	735,944	10/1/2012
Riverhead School District PC	K-12 School	Riverhead	NY	\$8,700,955	693,004	10/1/2012

Performance Contracting Projects Completed in Last Five Years (Abbreviated)						
Project Name	Facility Type	City	State	Project Size (Dollars)	Project Size (Square Feet)	Year Completed
Shoreham Schools	K-12 School	Shoreham	NY	\$4,862,655	448,280	8/1/2008
Smithtown Schools Phase 3	K-12 School	Smithtown	NY	\$4,486,054	1,492,043	11/1/2010
Staten Island Hospital Shared Savings	Hospital (Acute Care)	Staten Island	NY	\$4,649,817	792,000	1/1/2010
Three Village CSD PC	K-12 School	Stony Brook	NY	\$11,076,996	1,409,491	7/1/2011
Village of Johnson City NY	Office	Johnson City	NY	\$999,503	104,500	6/1/2009
West Islip UFSD	K-12 School	West Islip	NY	\$7,901,029	943,303	12/31/2011
Yonkers Public Schools PC	K-12 School	Yonkers	NY	\$6,072,973	961,625	4/1/2010
City of Lakewood	Office	Lakewood	OH	\$3,185,000	274,884	1/1/2010
Cuyahoga Falls	Other	Cuyahoga Falls	OH	\$17,425,586	500,000	4/1/2010
Franklin County	Office	Columbus	OH	\$17,726,724	1,205,850	1/1/2011
Perry Local Schools	K-12 School	Massillon	OH	\$5,202,886	694,961	8/1/2011
Springfield Schools	K-12 School	New Middletown	OH	\$1,484,492	1,560,000	10/1/2009
McClain County	Other	Purcell	OK	\$982,403	35,000	8/1/2010
Tulsa Community College	University / College	Tulsa	OK	\$10,998,692	1,352,016	4/1/2011
University of Oklahoma	University / College	Oklahoma City	OK	\$18,292,216		11/1/2011
Clackamas County DSB CUP	Office	Clackamas	OR	\$15,842,366	157,951	6/1/2009
Mt Hood Community College	University / College	Gresham	OR	\$7,695,200	683,364	9/1/2010
Blair County	Other	Hollidaysburg	PA	\$2,440,500	418,645	4/1/2008
Jersey Shore Phase 3	K-12 School	Jersey Shore	PA	\$983,508	375,535	1/1/2010
McGuffey School District	K-12 School	Claysville	PA	\$1,341,537	408,110	4/1/2008
Penncrest Schools Phase 2	K-12 School	Saegertown	PA	\$2,510,276	252,100	1/1/2011
Pennsylvania Department of General Service	Office	Harrisburg	PA	\$2,836,476	252,167	7/1/2009
Wernersville State Hospital	Hospital (Acute Care)	Wernersville	PA	\$8,171,573	718,200	11/1/2011
East Providence Schools	K-12 School	East Providence	RI	\$11,658,134	939,620	7/1/2012
North Smithfield Schools	K-12 School	Slatersville	RI	\$3,618,765	220,000	9/1/2011
Town of North Smithfield	Public Assembly	North Smithfield	RI	\$434,548	46,026	9/1/2011
City of Lancaster	Other	Lancaster	SC	\$2,954,295	72,000	4/1/2007
South Carolina Department of Corrections	Public Order and Safety	Columbia	SC	\$14,463,658	1,562,680	1/1/2011
Williamsburg County Schools	K-12 School	Kingstree	SC	\$6,644,378	556,000	8/1/2009

Performance Contracting Projects Completed in Last Five Years (Abbreviated)						
Project Name	Facility Type	City	State	Project Size (Dollars)	Project Size (Square Feet)	Year Completed
Pierre School District	K-12 School	Pierre	SD	\$193,042	135,424	12/1/2009
Platte Schools	K-12 School	Platte	SD	\$2,876,825	100,000	10/1/2008
Wagner Schools Phase 2	K-12 School	Wagner	SD	\$1,569,834	215,000	6/1/2010
Wilson County	K-12 School	Lebanon	TN	\$10,799,344	2,300,000	5/1/2011
Central Texas College	University / College	Killeen	TX	\$12,578,031	2,000,000	11/1/2009
City of Fort Worth Phase 3	Other	Fort Worth	TX	\$5,178,937	1,214,392	10/1/2008
Dallas Convention Center	Public Assembly	Dallas	TX	\$15,955,356	2,217,053	11/1/2008
Lee College	University / College	Baytown	TX	\$9,972,735	430,348	10/1/2009
Park City	Other	Park City	UT	\$1,159,668	539,728	9/1/2010
Utah National Guard	Military Complex	Draper	UT	\$2,745,493	708,276	12/1/2011
Richmond Public Schools	K-12 School	Richmond	VA	\$4,685,349	300,000	5/1/2010
Virginia State University	University / College	Petersburg	VA	\$2,729,130	1,113,095	2/1/2008
Rutland City Public Schools	K-12 School	Rutland	VT	\$1,527,557		10/1/2011
City of Puyallup	Other	Puyallup	WA	\$149,273	10,000	6/1/2011
University of Washington Bothell	University / College	Bothell	WA	\$1,343,510	841,312	3/1/2011
City of Kenosha	Office	Kenosha	WI	\$475,266	65,500	2/1/2008
Marshall County	Office	Moundsville	WV	\$751,400	54,924	4/1/2012
Preston County	Office	Kingwood	WV	\$1,233,608	70,512	12/1/2011

## 2.4 Project References

Provide detailed information on energy-savings performance contract projects your company completed that can be used for references. Expand on the information provided in the previous section to give details on individual projects.

<b>East Hartford Town &amp; Schools - Phase 1 &amp; 2</b>			
		<p><b>LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)</b></p> <p>Twenty one (21) ESMs installed in town and school buildings include:</p> <ul style="list-style-type: none"> <li>▪ Lighting upgrades and controls: Energy efficient lighting fixtures were installed and occupancy controls to turn off the light when the space is unoccupied</li> <li>▪ Heating systems upgrade: Install boiler burner controls, install an energy efficient furnace and replace failed steam traps</li> <li>▪ Cooling and refrigeration system: Replace and upgrade one chiller and install controllers on walk-in freezers and coolers and cooling towers were replaced and upgraded to increase efficiency and availability</li> <li>▪ Water conservation: Measures included installing low-flow fixtures on sinks, toilets and shower heads to reduce water consumption</li> <li>▪ Energy management system: Upgrade to optimize HVAC equipment operation and improve comfort level in 18 buildings</li> <li>▪ Building envelope improvement: Install window films to reduce cooling load, weatherize 20 buildings to reduce air infiltration and insulate roof and attics.</li> <li>▪ Renewable energy: Installed 5 kW solar PV on the roof of one building and upgrade the solar thermal system at one town building (Fire House)</li> </ul>	
		<p><b>PROJECT DATES (START &amp; END)</b></p> <p>Audit Acceptance: Phase 1: May 2007 Phase 2: June 2010 Construction: Phase 1: July 2007 - May 2009 Phase 2: July 2010</p>	<p><b>CONTACT INFORMATION</b></p> <p>Al Costa Director of Facilities Telephone: (860)-622-5952 Fax: (860)-289-0492 E-mail: acosta@easthartford.org</p>
<p><b>FACILITY TYPE</b></p> <p>Schools, town offices, &amp; municipal buildings.</p>	<p><b>TOTAL SQUARE FOOTAGE</b></p> <p>2.1M</p>		
<p><b>CITY/STATE</b></p> <p>East Hartford, CT</p>	<p><b>NUMBER OF BUILDINGS</b></p> <p>30</p>		
<p><b>TOTAL CONTRACT AMOUNT</b></p> <p>\$12.5M</p>	<p><b>TOTAL PROJECT CAPITAL COST</b></p> <p>\$12.3M</p>		
<p><b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b></p> <p>Guaranteed Savings Contract 12 Year Term</p>	<p><b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b></p> <p>State bonds; Johnson Controls did not provide financing assistance</p>		

<b>East Hartford Town &amp; Schools - Phase 1 &amp; 2</b>			
<i>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</i>	IPMVP Option A & B	<i>WAS THE PROJECT COMPLETED AS SCHEDULED?</i>	This project was completed as planned.
<i>PROJECT PERSONNEL</i>	<p>Name: John Sanborn Role: Maintaining client relationship and delivering M&amp;V reports. Assigned to CT Projects: Yes</p> <p>Name: Kevin Stromgren Role: Operation Manager Assigned to CT Projects: Yes</p> <p>Name: Fidele Mazimpaka Role: Performance Engineer Manager Assigned to CT Projects: Yes</p>	<i>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</i>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<i>COMMENTS</i>	Phase 2 installation started in October 2010 and completed in March 2012. Savings from Phase 1 and Phase 2 performance contracts on track to be achieved.		

**EAST HARTFORD TOWN & SCHOOLS - PHASE 1**  
**(PHASE 2 PHASE 2 INSTALLATION COMPLETED IN FEBRUARY 2012)**

<i>UNITS</i>	<i>PROJECTED ANNUAL ENERGY SAVINGS</i>	<i>GUARANTEED ANNUAL ENERGY SAVINGS</i>	<i>ACTUAL ENERGY SAVINGS</i>				
			<i>YEAR 1</i>	<i>YEAR 2</i>	<i>YEAR 3</i>	<i>YEAR 4</i>	<i>YEAR 5</i>
<i>KWH</i>	2,612,038	2,327,500	2,579,263	2,400,845			
<i>KW DEMAND</i>	676	646	670	670			
<i>THERMS</i>	10,781	10,565	10,710	10,457			
<i>GALLONS</i>	817,000	817,000	1,245,000	1,149,000			
<i>(OTHER)</i>							

## Lawrence & Memorial Hospital

### *LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)*

Eighteen ESMS installed include:

- Lighting Upgrades and Controls: Install efficient lighting fixtures and lighting controls to turn off light in unoccupied spaces.
- Cooling System Upgrade: Replace and upgrade three 450-ton chillers with three 680-ton efficient chillers and install one cooling tower (with VFDs on fans).
- Water conservation measures included installing low-flow fixtures on sinks and toilets to reduce water usage and install controls on condensate tempering kits to avoid wasting water when there is no condensate running through the pipes from the sterilizers.
- A Metasys® building energy management system was deployed to integrate and control electrical and mechanical systems for maximum efficiency and comfort at the main hospital in New London, CT.
- Electric Upgrade: Install a transformer isolation switch to allow the hospital to isolate any main transformer for repair or maintenance and remain grid connected.
- HVAC Equipment Replacement and Upgrade: three large air handling units were replaced to allow better ventilation and temperature control.
- Heating System Upgrade: A burner retrofit and controls on one steam boiler allowed the hospital to use one boiler during the summer months, instead of two.



<b>PROJECT DATES (START &amp; END)</b>	Audit Acceptance: Sept. 2010 Const.: Sept. 2010 to Feb. 2012	<b>CONTACT INFORMATION</b>	Steve Gadaree Senior Project Manager Telephone: (860)-447-0711 X 2291 E-mail: sgadaree@lmhosp.org
<b>FACILITY TYPE</b>	Hospital	<b>TOTAL SQUARE FOOTAGE</b>	674,600
<b>CITY/STATE</b>	New London, CT	<b>NUMBER OF BUILDINGS</b>	Three sites
<b>TOTAL CONTRACT AMOUNT</b>	\$9.2 M	<b>TOTAL PROJECT CAPITAL COST</b>	\$8.5M
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract 10 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	Connecticut Health and Educational Facilities Authority Bonds. We did not assist with financing.
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	IPMVP Option A & B	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	Yes, the project was completed as scheduled.
<b>PROJECT PERSONNEL</b>	Name: Fidele Mazimpaka Role: Performance Engineer Manager Assigned to CT Projects: Yes	<b>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</b>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<b>COMMENTS</b>	This contract qualified for \$2 million in utility incentives from Connecticut Light & Power.		

*LAWRENCE & MEMORIAL HOSPITAL*

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS					
			YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	
<i>kWh</i>	2,464,384	2,365,809	Construction completed in March 2012. Guaranteed Savings on the track to be achieved.					
<i>kW</i>								
<i>MMBTU</i>	28,459	27,320						
<i>GALLONS</i>	7,749,000	7,439,040						
<i>(OTHER)</i>								

### Mohegan Sun Casino



#### LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)

Four ESMs installed include:

- Hotel Room Energy Management: Install thermostats, passive infrared motion detectors and doorbells to control space temperatures and reduce energy consumption in more than 1,200 hotel rooms and suites.
- Demand Control Ventilation (CO<sub>2</sub>) and Variable Frequency Drives: Track occupancy in gaming area (CO<sub>2</sub> monitoring) and control supply and return fan speeds to supply only required amount of fresh air and avoid cooling or heating excessive outdoor air.
- Boilers Automation Control: Install automatic sequencing and staging controls to improve boilers efficiency.
- Hotel Operation & Maintenance Savings: Install a centralized control system to address cold/ hot zone complaints, reducing operating costs associated with staff travel time to hotel rooms to physically address comfort issues.

<b>PROJECT DATES (START &amp; END)</b>	Audit Acceptance: April 2002 Construction: May 2002 to Aug. 2002	<b>CONTACT INFORMATION</b>	Dan Webster Director of Engineering Telephone: (860)-862-7758 Fax: (860)-862-7737 E-mail: dwebster@mohegansun.com
<b>FACILITY TYPE</b>	Hospitality& Tourism	<b>TOTAL SQUARE FOOTAGE</b>	4 Million
<b>CITY/STATE</b>	Montville, CT	<b>NUMBER OF BUILDINGS</b>	1,356 hotel rooms, three gaming areas, 10,000 seats arena, etc.
<b>TOTAL CONTRACT AMOUNT</b>	\$1.9M	<b>TOTAL PROJECT CAPITAL COST</b>	\$1,445,000
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract 10 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	Mohigan Tribal Gaming Authority. Johnson Controls did not assist with financing
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	IPMVP Option A & B	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	Yes, the project was completed as scheduled.
<b>PROJECT PERSONNEL</b>	Name: Fidele Mazimpaka Role: Performance Engineer Assigned to CT Projects: Yes  Name: John Sanborn Role: Performance Engineer Assigned to CT Projects: Yes	<b>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</b>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<b>COMMENTS</b>	<ul style="list-style-type: none"> <li>▪ Achieved savings exceed guaranteed savings by more than 40% annually</li> <li>▪ Additional energy savings measures were proposed and installed by Johnson Controls during the performance period. They include kitchen hood controls and demand control ventilation with "aircuity" system.</li> </ul>		

*MOHEGAN SUN CASINO*

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS				
			YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
<i>kWh</i>	1,320,881	1,268,046	1,872,339	2,179,159	2,796,416	2,429,868	3,025,593
<i>kW</i>							
<i>MMBTU</i>	13,787	13,098	9,534	9,940	11,032	10,391	14,007
<i>GALLONS</i>							
<i>(OTHER)</i>							

### Boston Museum of Science



#### LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)

Seventeen ESMS installed include:

- Lighting Retrofit and Controls: 193 energy efficient lighting fixtures were installed in addition to 180 occupancy sensors to turn off lights when spaces are unoccupied.
- Heating Systems Upgrade: Provide burner management system on three boilers to increase efficiency.
- Cooling System: Increase cooling efficiency by replacing one chiller, one cooling tower and associated controls for free cooling during cold months.
- Energy Management System: Expand controls on major HVAC equipment to allow demand control ventilation based on occupancy, HVAC equipment optimal start/stop and install Facility Index Performance software to track and report equipment malfunctioning.
- Building Envelope Improvement: weatherization of entry ways, windows, doors, etc. to reduce air infiltration through the building envelope
- Renewable Energy: Installed 27 kW photovoltaic panels to generate electricity and reduce carbon footprint.

<b>PROJECT DATES (START &amp; END)</b>	Audit Acceptance: Sept. 2009 Const.: Oct. 2009 - Oct. 2010	<b>CONTACT INFORMATION</b>	Paul Ippolito Director of Facilities Telephone: (617) 584-0154 E-mail: pippolito@mos.org
<b>FACILITY TYPE</b>	Science museum	<b>TOTAL SQUARE FOOTAGE</b>	480,000
<b>CITY/STATE</b>	Boston, MA	<b>NUMBER OF BUILDINGS</b>	1
<b>TOTAL CONTRACT AMOUNT</b>	\$4.1 M	<b>TOTAL PROJECT CAPITAL COST</b>	\$3.6M
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract 4 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	Self-funded. Johnson Controls did not assist with financing.
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	IPMVP Option A and B	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	Yes, the project was completed as scheduled.
<b>PROJECT PERSONNEL</b>	Name: Fidele Mazimpaka Role: Performance Engineer Manager Assigned to CT Projects: Yes	<b>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</b>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<b>COMMENTS</b>	The performance contract has allowed Boston Museum of Science to get closer to its 20% energy reduction goal.		

#### BOSTON MUSEUM OF SCIENCE

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS				
			YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
kWh	1,470,561	1,441,150	1,441,577				
MMBTU	6,157	6,034	6,041				

**University of Massachusetts - Amherst**



**LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)**

Thirty-seven ESMs installed include:

- Lighting upgrades: More energy-efficient technologies (~110,000 fixtures) were installed.
- Heating systems upgrade: Over 8,000 failed steam traps were replaced to reuse steam rather than let it simply escape unused; and old, leaking underground steam pipes throughout the campus were replaced as well.
- Cooling system: Chillers and cooling towers were replaced and upgraded to increase efficiency and availability.
- Water conservation: Measures included installing low-flow fixtures on sinks and toilets to reduce water usage, and recycling effluent water from the town of Amherst wastewater treatment plant through a reverse osmosis system and reusing it for make-up water at the power plant.
- Building energy management: A Metasys® building energy management system was deployed to integrate and control electrical and mechanical systems for maximum efficiency and comfort throughout the university campus.
- Electric power generation: Capabilities were increased from 2 to 3.9 megawatts by upgrading the aging back-pressure steam generator with a new efficient one.

<b>PROJECT DATES (START &amp; END)</b>	Audit Acceptance: June 2004 Construction: July 2004 – Dec. 2006	<b>CONTACT INFORMATION</b>	Patrick Daly, Director of Physical Plant Telephone: (413)-545-0601 Fax: (413)-545-0729 E-mail: pdaly@facil.umass.edu
<b>FACILITY TYPE</b>	Research labs, dorms, dining commons, classrooms, offices, arts and athletic buildings	<b>TOTAL SQUARE FOOTAGE</b>	9.6 million
<b>CITY/STATE</b>	Amherst, MA	<b>NUMBER OF BUILDINGS</b>	120
<b>TOTAL CONTRACT AMOUNT</b>	\$42M	<b>TOTAL PROJECT CAPITAL COST</b>	\$40 Million
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract 10 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	State bonds; Johnson Controls did not assist with financing
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	IPMVP Option C	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	Small delays were addressed due to scope changes in ESM designs during construction to accommodate the client needs and abate asbestos.

University of Massachusetts - Amherst			
<i>PROJECT PERSONNEL</i>	Name: Kevin Stromgren Role: Operation Manager Assigned to CT Projects: Yes	<i>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</i>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
	Name: Fidele Mazimpaka Role: Performance Engineer Manager Assigned to CT Projects: Yes		
<i>COMMENTS</i>	<ul style="list-style-type: none"> <li>Energy efficiency and water conservation measures helped the university win the 2006 Massachusetts Environmental Purchasing and Sustainability Award</li> <li>After construction, achieved savings exceed guaranteed savings by more than 15% annually</li> <li>Installed water conservation measures reduce water consumption by 40% annually, equivalent to approximately 25 million cubic feet per year.</li> <li>Environmental benefits: energy efficient measures have allowed the university to reduce 20,000 metric tons of carbon dioxide emission annually.</li> </ul>		

UNIVERSITY OF MASSACHUSETTS - AMHERST

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS				
			YEAR 1 (CONSTRUCTION)	YEAR 2 (CONSTRUCTION)	YEAR 3 (CONSTRUCTION)	YEAR 4	YEAR 5
KWH	36,650,000	36,081,581	6,530,000	21,110,859	20,984,182	21,916,455	19,610,402
KW DEMAND	34,550	33,939	21,549	34,795	34,894	43,328	34,556
MMBTU							
WATER (KGALLONS)	182,915	180,043	71,720	185,142	234,460	210,010	201,012
STEAM (MLLBS)	284,760	258,697	129,358	229,141	297,285	311,619	357,590



### Dutchess Community College

#### LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)

##### Phase 1

- Gas chiller
- Variable frequency drives
- Energy management system

##### Phase 2

- Geothermal heating and cooling system for Bowne Hall

##### Phase 3

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>▪ Lighting and lighting controls</li> <li>▪ Building envelope weatherization</li> <li>▪ Boiler controller</li> <li>▪ Water conservation</li> <li>▪ Window film</li> <li>▪ Energy management system upgrade</li> <li>▪ Synchronous belt drives</li> <li>▪ Damper replacement</li> </ul> | <ul style="list-style-type: none"> <li>▪ Lab hood retrofit</li> <li>▪ Glycol loop heat recovery</li> <li>▪ Connect out buildings to central boiler plant</li> <li>▪ Install oil tanks for interruptible gas rates</li> <li>▪ Variable speed drive on kitchen hood</li> <li>▪ Computer power management</li> </ul> |
|---|---|

<b>PROJECT DATES (START &amp; END)</b>	Phase 1: Audit Acceptance: Dec. 2001 Construction: Jan. 2002 – Dec. 2004	<b>CONTACT INFORMATION</b>	Ms. Bridgette Anderson, Assistant Dean of Administration 845-431-8655 banderso@sunydutchess.edu
	Phase 2: Audit Acceptance: Dec. 2005 Construction: Jan. 2006 – Sept. 2006		
	Phase 3: Audit Acceptance: Sept. 2006 Construction: Mar. 2007 – Dec. 2008		
<b>FACILITY TYPE</b>	Educational facilities	<b>TOTAL SQUARE FOOTAGE</b>	834,000
<b>CITY/STATE</b>	Poughkeepsie, NY	<b>NUMBER OF BUILDINGS</b>	9
<b>TOTAL CONTRACT AMOUNT</b>	Phase 1 - \$2,400,000 Phase 2 - \$1,800,000 Phase 3 - \$3,173,174	<b>TOTAL PROJECT CAPITAL COST</b>	Phase 1 - \$2,400,000 Phase 2 - \$1,800,000 Phase 3 - \$3,173,174
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract Phase 1 - 10 Year Term Phase 2 - 10 Year Term Phase 3 - 15 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	Phase 1 - SUNY capital appropriation and bank loan Phase 2 - SUNY capital appropriation and bank loan Phase 3 - Bank loan  The client preferred to secured funding without our assistance.

Dutchess Community College			
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	Phase 1 – Options A and B Phase 2 – Stipulated Phase 3 – Options A and B	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	These projects were completed as planned.
<b>PROJECT PERSONNEL</b>	Name: Cory Rywalt, CEM Role: Performance Engineer Assigned to CT Projects: Yes	<b>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</b>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<b>COMMENTS</b>	<p>In 2003 Dutchess Community College was awarded the DOE Energy Star Leadership in Energy Award, the first community college to receive this award. Johnson Controls is in Phase 3 of our project.</p> <p>“Johnson Controls is currently completing phase 3 of a multi-year performance contract on our campus. The projects have reduced our campus energy use by over 30%, and include a multiyear service contract. Johnson Controls continues to provide excellent technical and service support to Dutchess Community College, supporting our energy and facilities needs”.</p> <p>- Bridgette Anderson, Associate Dean of Administration, Campus Facilities Management, Dutchess Community College</p> <p>Johnson Controls partnered with Dutchess Community College and the New York State's Energy Research and Development Authority (NYSERDA) to use energy grants and performance contracting to pay for major building system improvements from savings.</p>		

**DUTCHESS COMMUNITY COLLEGE – PHASE 1**

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS				
			YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
kWh	544,256	544,256	675,833	724,132	725,275	913,027	753,852
kW DEMAND	3,000/mo	3,000/mo	4,210	4,336	4,466	4,600	4,738
MMBTU							
GALLONS							

**DUTCHESS COMMUNITY COLLEGE – PHASE 3\***

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS				
			YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
kWh	723,853	723,853	726,777	748,580	771,038		
kW DEMAND							
THERMS	1,155	1,155	1,188	1,224	1,260		
GALLONS							

\*Phase 2 included the geothermal heating system that was part of a major renovation project. The savings were stipulated, so there was no measurement and verification.

### East Meadow Schools



#### LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)

- Lighting Retrofit/Upgrade
- Boiler Upgrade
- Boiler Controls

<b>PROJECT DATES (START &amp; END)</b>	Audit Acceptance: Feb. 2003 Construction: Feb. 2004 – Mar. 2005	<b>CONTACT INFORMATION</b>	Patrick Pizzo, Director of Facilities 516-478-5509 ppizzo@eastmeadow.k12.ny.us
<b>FACILITY TYPE</b>	K-12 Education	<b>TOTAL SQUARE FOOTAGE</b>	1,340,020
<b>CITY/STATE</b>	Westbury, NY	<b>NUMBER OF BUILDINGS</b>	9
<b>TOTAL CONTRACT AMOUNT</b>	\$3,077,926	<b>TOTAL PROJECT CAPITAL COST</b>	\$3,077,926
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract 18 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	Public bond; Johnson Controls did not assist with financing
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	Option A (Measured Savings)	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	Yes, this project was completed as scheduled.
<b>PROJECT PERSONNEL</b>	Name: Robert Rolston Role: Project Manager Assigned to CT Projects: No	<b>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</b>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<b>COMMENTS</b>	Johnson Controls successfully completed two phases of EPC and currently looking forward to Phase 3.		

#### EAST MEADOW SCHOOLS

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS				
			YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
kWH	1,174,011	1,174,011	1,641,057	1,809,123	1,723,816	1,776,980	1,802,358
OIL	3,217	3,217	4,603	5,075	4,835	4,984	5,056

**Virginia Department of Corrections - Phase 2**

<b>Virginia Department of Corrections - Phase 2</b>			
		<i>LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)</i>	
		<ul style="list-style-type: none"> <li>▪ Heating, Ventilating and Air Conditioning</li> <li>▪ Control System Upgrades</li> <li>▪ High Efficiency Motors</li> <li>▪ Heat Pump Condensing Unit Replacements</li> <li>▪ Facility Management System</li> </ul>	
<b>PROJECT DATES (START &amp; END)</b>	Audit Acceptance: March 2007 Construction: June 2007 – Nov. 2008	<b>CONTACT INFORMATION</b>	Kim Lipp Director, Capital and Finance 804-674-3102 Kimberley.lipp@vadoc.virginia.gov
<b>FACILITY TYPE</b>	Correctional facilities	<b>TOTAL SQUARE FOOTAGE</b>	1,025,807
<b>CITY/STATE</b>	Various locations	<b>NUMBER OF BUILDINGS</b>	70
<b>TOTAL CONTRACT AMOUNT</b>	\$12,913,271	<b>TOTAL PROJECT CAPITAL COST</b>	\$10,077,786
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract 15 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	Virginia State Master Lease. Johnson Controls worked with Virginia Treasury in administering the process.
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	IPMVP Options A and B	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	Completed on schedule
<b>PROJECT PERSONNEL</b>	Name: Role: Assigned to CT Projects:	<b>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</b>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<b>COMMENTS</b>	Since implementing this phase, the Department selected Johnson Controls to implement two more phases.		

**VIRGINIA DEPARTMENT OF CORRECTIONS - PHASE 2**

<b>UNITS</b>	<b>PROJECTED ANNUAL ENERGY SAVINGS</b>	<b>GUARANTEED ANNUAL ENERGY SAVINGS</b>	<b>ACTUAL ENERGY SAVINGS</b>				
			<b>YEAR 1</b>	<b>YEAR 2</b>	<b>YEAR 3</b>	<b>YEAR 4</b>	<b>YEAR 5</b>
<b>KW</b>	4,186,734	3,977,398	4,076,589	4,094,113			
<b>THERMS</b>	5,296	5,031	13,464	13,464			
<b>KGAL</b>	55,187	52,427	71,509	71,509			
<b>GAL LP</b>	52,814	50,174	115,135	115,335			
<b>TONS OF SAWDUST</b>	827	785.5	785.9	785.9			

**State of Maryland, Department of Health and Hygiene  
Springfield Hospital**



**LIST OF IMPROVEMENTS (RETROFIT AND OPERATIONAL)**

- Boiler Decentralization
- Decommissioning of the power plant
- Lighting Retrofits
- HVAC Restoration
- Infiltration Sealing
- Water conservation
- Steam trap replacements
- Maintenance Support services

<b>PROJECT DATES (START &amp; END)</b>	Audit Acceptance: Dec. 2001 Construction: Jan. 2001 – Sept. 2002	<b>CONTACT INFORMATION</b>	Paula Langmeade Chief Executive Officer (410) 970-7000 plangmead@dhhm.state.md.us
<b>FACILITY TYPE</b>	State psychiatric hospital	<b>TOTAL SQUARE FOOTAGE</b>	1,683,289
<b>CITY/STATE</b>	Sykesville, MD	<b>NUMBER OF BUILDINGS</b>	20
<b>TOTAL CONTRACT AMOUNT</b>	\$6,060,707	<b>TOTAL PROJECT CAPITAL COST</b>	\$10,875,394
<b>TYPE OF CONTRACT, FINANCING ARRANGEMENT &amp; CONTRACT TERM</b>	Guaranteed Savings Contract 13 Year Term	<b>SOURCE OF FUNDS AND FIRM'S ROLE IN SECURING FUNDS</b>	State of Maryland Master Lease Johnson Controls arranges financing options for the client, typically with a third party lender. We do not benefit financially on the financing package provided.
<b>M&amp;V APPROACH INCLUDING WHICH SAVINGS WERE STIPULATED</b>	IPMVP Option C Whole Facility	<b>WAS THE PROJECT COMPLETED AS SCHEDULED?</b>	This project was completed as scheduled.
<b>PROJECT PERSONNEL</b>	The personnel from this project will not provide primary support for State of Connecticut projects.	<b>DESCRIPTION OF GUARANTEE AND HOW CLIENT WAS COMPENSATED FOR SHORTFALLS</b>	Savings are verified and reported annually. In the event of a shortfall, Johnson Controls provides shortfall payments as provided in the agreement.
<b>COMMENTS</b>			

**STATE OF MARYLAND, DEPT OF HEALTH AND HYGIENE  
SPRINGFIELD HOSPITAL**

UNITS	PROJECTED ANNUAL ENERGY SAVINGS	GUARANTEED ANNUAL ENERGY SAVINGS	ACTUAL ENERGY SAVINGS				
			YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
kWH	447,353	360,769	360,769	360,769	360,769	360,769	360,769
THERMS	1,398,555	1,061,368	1,357,703	1,237,333	1,198,383	1,122,357	1,199,862
KGAL	37,828	32,154	37,116	58,672	82,656	39,507	36,221
OPERATIONAL (\$)	538,460	538,460	538,460	557,306	576,812	597,000	617,895