


UNIVERSITY OF MINNESOTA

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Office of the Senior Vice President
for Finance and Operations

301 Morrill Hall
100 Church Street S.E.
Minneapolis, MN 55455

TO: Representative Dean Urdahl, Chair, Capital Investment Committee
Representative Bud Nornes, Chair, Higher Education and Career Readiness Policy
and Finance Committee
Representative Jim Knoblach, Chair, Ways and Means Committee
Senator David Senjem, Chair, Capital Investment Committee
Senator Julie Rosen, Chair, Finance Committee
Senator Michelle Fischbach, Chair, Higher Education Finance and Policy Committee
Commissioner Myron Frans, Minnesota Management and Budget

FROM: Brian D. Burnett, Senior Vice President 

DATE: January 17, 2018

RE: Capital Appropriation Expenditure Report

Per Minnesota Statute 135A.046, the University's annual report of progress on projects funded by the State of Minnesota through the HEAPR statute is attached. As has been the University's practice, this report also provides you information about our progress on all capital projects funded by the State.

We are pleased with the projects that have been completed and the progress toward finishing those remaining. The financial support provided by the people of the State is critical to the University's success, and we are grateful for the funding that has made the work in this report possible.

If you have any specific questions, please call Brian Swanson in University Services finance at 612-625-6665.

cc: Brian Steeves, Executive Director and Corporate Secretary, University of Minnesota
Board of Regents
Michael Berthelsen, Vice President, University Services

University of Minnesota

Capital Appropriations Expenditure Report

In fulfillment of MN 135A.046 subd. 3

January 2018

Appropriation Status

Year	Full Allocation	% Spent or Encumbered Under Contract	% Spent, Encumbered or Otherwise Obligated to Complete a Project	Comments
2012	\$ 64,060,000	100%	100%	
2016	\$ -	na	na	No appropriation
2014	\$ 119,367,000	100%	100%	
2015	\$ 26,529,000	100%	100%	
2016	\$ -	na	na	No appropriation
2017	\$ 119,934,000	70%	99%	

Definitions

Allocation: The State appropriation for each project.

Spent: The amount the University has paid to contractors from signed contracts.

Encumbered: This includes:

- a. Project amount specifically under contract with a general contractor, architect, engineer, or other vendor.
- b. Internal project where work has begun and/or internal purchase order/work has been completed.

Obligated: Funds required to complete the project that are not yet under contract.

Note: percentages are rounded.

HEAPR Spending Status

Year	HEAPR Allocation	% Spent or Encumbered Under Contract	% Spent, Encumbered or Otherwise Obligated to Complete a Project	Comments
2012	\$ 50,000,000	100%	100%	
2013	\$ -	na	na	No appropriation
2014	\$ 42,500,000	100%	100%	
2015	\$ -	na	na	No appropriation
2016	\$ -	na	na	No appropriation
2017	\$ 20,600,000.00	30%	99%	

Definitions

Allocation: The State appropriation for each project.

Spent: The amount the University has paid to contractors from signed contracts.

Encumbered: This includes:

- a. Project amount specifically under contract with a general contractor, architect, engineer, or other vendor.
- b. Internal project where work has begun and/or internal purchase order/work has been completed.

Obligated: Funds required to complete the project that are not yet under contract.

Note: percentages are rounded.

University of Minnesota

Status Report: Total Capital Appropriations 2012 to 2017
 Projected 01/31/18 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent and/or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2017 State Capital Appropriations: Major Projects							
UMD Chemical Science & Advanced Materials Building	28,267,000.00	23,199,012.81	5,067,987.19	0.00	Construction	1/31/2019	
Health Sciences Education Center	66,667,000.00	54,199,675.43	12,467,324.57	0.00	Construction	12/30/2019	
Plant Growth Facility Biological Sciences Conservatory	4,400,000.00	362,265.43	4,037,734.57	0.00	Schematic Design	12/31/2018	
Subtotal - '17 Appropriations: Major Projects	99,334,000.00	77,760,953.67	21,573,046.33	0.00			
2017 State Capital Appropriations: HEAPR Projects							
Completed Projects	9,500.00	9,500.00	0.00	0.00			
Childrens Rehab Roof Replacement	166,176.00	0.00	166,176.00	0.00	Predesign	9/1/2018	
Pattee Hall Exterior Envelope Stabilization	100,000.00	100,000.00	0.00	0.00	Design Development	N/A	For design only
Shevlin Hall Roof Replacement	315,300.00	28,700.00	286,600.00	0.00	Schematic Design	5/31/2018	
Nolte Hall Fire Alarm Upgrade	300,000.00	295,511.00	4,489.00	0.00	Construction	3/9/2018	
Recreation Ctr Roof & Skylight Replacement	1,035,386.00	1,035,386.00	0.00	0.00	Construction	2/28/2018	
MCB/Jackson Expansion Joint Wtr Infiltration	650,000.00	105,300.00	544,700.00	0.00	Design Development	11/30/2018	
Willey Hall Roof & Skylight Replacement	2,390,000.00	53,560.00	2,336,440.00	0.00	Design Development	8/31/2018	
Andersen Library Ground Water Piping Repairs	100,000.00	0.00	100,000.00	0.00	Programming	Unknown	
Vet Med Ctr South Window Replacement	748,438.00	594,774.00	153,664.00	0.00	Construction	9/28/2018	
Magrath Library Restrm Accessibility Upgrade	115,000.00	49,070.48	65,929.52	0.00	Construction	4/30/2018	
Ruttan Hall Window, Skylight, Ext Door Replcmnt	3,200,000.00	18,881.92	3,181,118.08	0.00	Procurement	5/15/2019	
Vet Med Ctr North HVAC & Code Improvements	1,300,000.00	12,163.40	1,287,836.60	0.00	Procurement	8/3/2018	
Borlaug Hall Cooling Tower Replacement	550,000.00	502,485.00	0.00	47,515.00	Substantial Completion	Occupied	
Campus Wide Elevator Renewal & Replacement	6,130,000.00	435,229.00	5,694,771.00	0.00	Procurement	3/1/2019	
Equine Center HVAC Replacement	250,000.00	186,270.88	63,729.12	0.00	Construction	3/31/2018	
UMD Sports & Hlth Ctr Mech System Upgrade	1,845,000.00	1,845,000.00	0.00	0.00	Procurement	8/15/2018	
UMM Humanities HVAC Improvements	405,500.00	106,000.00	299,500.00	0.00	Design Development	7/1/2018	
UMM Student Ctr Edson Auditorium Interior Upgrd	205,000.00	0.00	205,000.00	0.00	Design Development	7/1/2018	
UMC Campus Electrical Distribution	410,900.00	322,310.14	88,589.86	0.00	Procurement	8/31/2018	
Horticulture Res Ctr Septic System Renewal	107,000.00	15,000.00	92,000.00	0.00	Design Development	8/3/2018	
NWROC Septic System Renewal	35,000.00	0.00	35,000.00	0.00	Programming	5/31/2018	
RROC Septic System Renewal	20,000.00	0.00	20,000.00	0.00	Programming	5/31/2018	
SWROC Septic System Renewal	10,000.00	208.69	9,791.31	0.00	Construction	3/31/2018	
SWROC Ext Windows Replacement	15,000.00	14,382.72	617.28	0.00	Construction	3/31/2018	
WCROC Replace Electrical Emergency Power	100,000.00	0.00	100,000.00	0.00	Schematic Design	6/1/2018	
CFANS ROC HEAPR Projects	12,800.00	0.00	0.00	12,800.00			
Cedar Creek Replace Septic & Drain Field	29,000.00	7,137.84	21,862.16	0.00	Design Development	7/16/2018	
Itasca HEAPR Projects	3,046.00	0.00	0.00	3,046.00			
Itasca HVAC Systems Upgrade in Cabin 10	4,966.00	1,550.00	3,416.00	0.00	Construction	3/31/2018	
Itasca HVAC Systems Upgrade in Cabin 11	4,966.00	1,550.00	3,416.00	0.00	Construction	3/31/2018	
Itasca HVAC Systems Upgrade in Cabin 12	4,966.00	1,550.00	3,416.00	0.00	Construction	3/31/2018	
Itasca HVAC Systems Upgrade in Cabin 13	2,330.00	1,100.00	1,230.00	0.00	Construction	3/31/2018	
Itasca Kitchen #53 Emergency Backup Generators	14,726.00	7,363.00	7,363.00	0.00	Construction	3/31/2018	
Itasca Women's Bathhouse Emerg Generators	5,000.00	2,500.00	2,500.00	0.00	Construction	3/31/2018	
Itasca Mens Bathhouse Emerg Generators	5,000.00	2,500.00	2,500.00	0.00	Construction	3/31/2018	
Subtotal - '17 Appropriations: HEAPR Projects	20,600,000.00	5,754,984.07	14,781,654.93	63,361.00			
Total - 2017 State Capital Appropriations	119,934,000.00	83,515,937.74	36,354,701.26	63,361.00			

University of Minnesota

Status Report: Total Capital Appropriations 2012 to 2017
 Projected 01/31/18 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent and/or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2015 State Capital Appropriations: Major Projects							
MN Poultry Testing Lab-Willmar	7,779,000.00	7,737,333.24	0.00	41,666.76	Pacloseout	Occupied	Remaining funds to be converted to HEAPR
Vet Isolation Facility	18,000,000.00	18,000,000.00	0.00	0.00	Construction	7/6/2018	
Subtotal - '15 Appropriations: Major Projects	25,779,000.00	25,737,333.24	0.00	41,666.76			
2015 State Capital Appropriations: HEAPR Projects							
Completed Projects							
UMM Building Controls Upgrades	500,000.00	500,000.00	0.00	0.00			
UMM Science Domestic Hot Water Lines Replacement	7,963.63	0.00	7,963.63	0.00	Programming	7/1/2018	Converted from MN Poultry Lab
UMM Main Campus Chiller & Boiler Repairs	100,000.00	100,000.00	0.00	0.00	Construction	3/31/2018	Converted from MN Poultry Lab
UMM Regional Fitness Ctr HVAC Dampers	75,000.00	71,501.84	0.00	3,498.16	Substantial Completion	Occupied	Converted from MN Poultry Lab
UMM Regional Fitness Ctr HVAC Dampers	67,036.37	66,137.64	898.73	0.00	Construction	3/31/2018	Converted from MN Poultry Lab
Subtotal - '15 Appropriations: HEAPR Projects	750,000.00	737,639.48	8,862.36	3,498.16			
Total - 2015 State Capital Appropriations	26,529,000.00	26,474,972.72	8,862.36	45,164.92			
2014 State Capital Appropriations: Major Projects							
Tate Science & Teaching Renovation	56,700,000.00	56,700,000.00	0.00	0.00	Substantial Completion	Occupied	
UMC Lysacker Wellness Rec Ctr Addition/Remodel	9,432,195.92	9,432,195.92	0.00	0.00	Pacloseout	Occupied	
UMD Chemical Science & Advanced Mat'ls Building	1,500,000.00	1,500,000.00	0.00	0.00	Construction	1/31/2019	Appropriation is for design only
Engineering & Fisheries Lab Fish Lab Renovation	4,403,667.00	4,403,667.00	0.00	0.00	Substantial Completion	Occupied	
Bee Lab Facility	4,263,333.00	4,246,457.83	0.00	16,875.17	Pacloseout	Occupied	Remaining funds to be converted to HEAPR
Research Laboratories	8,667,000.00	8,650,124.83	0.00	16,875.17	Pacloseout	Occupied	
Subtotal - '14 Appropriations: Major Projects	76,299,195.92	76,282,320.75	0.00	16,875.17			
2014 State Capital Appropriations: HEAPR Projects							
Completed Projects							
Childrens Rehab Roof Replacement	10,124,287.97	10,124,287.97	0.00	0.00			
Armory Fire Range Abatement	139,203.03	0.00	139,203.03	0.00	Predesign	9/1/2018	
Field House Exterior Panels & Envelope	39,140.40	39,044.36	0.00	96.04	Substantial Completion	Occupied	
Moos Tower North Entrance Stairway Replacement	516,667.00	100,940.00	415,727.00	0.00	Schematic Design	7/31/2018	
Keller Hall Exterior Building Envelopment Replacement	200,000.00	13,192.92	186,807.08	0.00	Design Development	8/1/2018	
Mech Eng Phase II Renewal-Mech/Elec/Plumbing	2,358,977.73	2,330,768.64	(0.00)	28,209.09	Pacloseout	Occupied	
Alderman Hall Fire Safety & Ventilation Imprvmnts	23,650,000.00	23,618,857.39	0.00	31,142.61	Substantial Completion	Occupied	
Andrew Boss Lab Fire Sprinklers, Lab Compliance	108,070.00	107,940.84	0.00	129.16	Pacloseout	Occupied	
Vet Med Ctr North Surgery Suite HVAC/Code Imprvmnts	4,512,270.72	4,445,759.15	0.00	66,511.57	Pacloseout	Occupied	
UMM Blakely Hall Elevator Installation	300,000.00	109,311.60	190,688.40	0.00	Procurement	8/3/2018	
UMC Electrical Infrastructure Stabilization	887,126.23	868,595.48	18,530.75	0.00	Construction	4/30/2018	
UMC Heating Plant Boiler House Roof Replacement	101,992.95	0.00	101,992.95	0.00	Construction	9/1/2018	
UMC Heating Plant Boiler House Roof Replacement	85,000.00	0.00	85,000.00	0.00	Programming	6/30/2018	

University of Minnesota

Status Report: Total Capital Appropriations 2012 to 2017
 Projected 01/31/18 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent and/or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
NWROC Old Farm Shop Underground Tank Removal	30,112.42	20,984.50	9,127.92	0.00	Construction	6/30/2018	
Cloquet Forestry Center HEAPR Projects	14,955.63	0.00	0.00	14,955.63			
Subtotal - '14 Appropriations: HEAPR Projects	43,067,804.08	41,779,682.85	1,147,077.13	141,044.10			
Total - 2014 State Capital Appropriations	119,367,000.00	118,062,003.60	1,147,077.13	157,919.27			
2012 State Capital Appropriations: Major Projects							
Completed Projects	14,060,000.00	14,053,276.62	0.00	6,723.38			Letter sent to MMB for cancellation of unspent balance.
Subtotal - '12 Appropriations: Major Projects	14,060,000.00	14,053,276.62	0.00	6,723.38			
2012 State Capital Appropriations: HEAPR Projects							
Completed Projects	50,000,000.00	50,000,000.00	0.00	0.00			
Subtotal - '12 Appropriations: HEAPR Projects	50,000,000.00	50,000,000.00	0.00	0.00			
Total - 2012 State Capital Appropriations	64,060,000.00	64,053,276.62	0.00	6,723.38			
Grand Totals - 2012 to 2017	329,890,000.00	292,106,190.68	37,510,640.75	273,168.57			

University of Minnesota

Status Report: Total Capital Appropriations 2012 to 2017

Projected 01/31/18 - Definitions on last page

(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)
Project Name	Appropriation Amount	Spent and/or Encumbered	Obligated (B-C)	Unencumbered (B-C-D)	Status	Estimated Occupancy	Comments

Notes:

1) Definitions of columns:

- B. Appropriation Amount: The state appropriation for each project. Although HEAPR funds are appropriated in a block of funds, they are detailed in this report by the University's allocation.
- C. Spent or Encumbered: This includes three categories.
 - a. Amount the University has paid to contractors from signed contracts.
 - b. Project amount specifically under contract with a general contractor, architect, engineer, or other vendor.
 - c. Internal project where work has begun and/or internal purchase order/work has been completed.
- D. Obligated: Funds required to complete the project that are not yet under contract.
- E. Unencumbered: Contingency funds remaining in the project after the construction phase.

2) Definitions of project phases:

- a. Programming: Defining in detail the scope of the project, describing the facility components required to accommodate the academic/operational program, and establishing the functional and physical relationships of those components.
- b. Schematic Design Development: Evaluating alternatives for meeting the project program and establishing the general size, shape, and massing of building elements; exterior finishes; and Design Development criteria for structural, mechanical, and electrical systems.
- c. Design Development: Developing the preliminary Design Development into a detailed Design Development that establishes final floor plans, building elevations, interior and exterior materials, room finishes, building systems, furnishings, and equipment.
- d. Construction Documents: Preparing detailed drawings and specifications required to obtain bids and to describe and direct the construction work.
- e. Procurement: Soliciting bids from contractors for completing the work described in the construction documents.
- f. Construction: Mobilizing of the contractor's equipment, purchasing of building materials, and implementing the work described in the construction documents.
- g. Substantial Completion: Completing work on the project to a point that the Owner can occupy and use the facility for its intended use.
- h. Pacloseout: Making final payments to contractors and vendors, closing all contracts, and preparing the final project accounting.

University of Minnesota

Status Report: Total Capital Appropriations 2012 to 2017
 Projected 01/31/18 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent and/or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
<u>Summary of University State Capital Appropriations</u>							
<u>Total Dollars by Status</u>							
2017 Appropriations							
Major Projects	99,334,000.00	77,760,953.67	21,573,046.33	0.00			
HEAPR Projects	20,600,000.00	5,754,984.07	14,781,654.93	63,361.00			
Subtotal	119,934,000.00	83,515,937.74	36,354,701.26	63,361.00			
2015 Appropriations							
Major Projects	25,779,000.00	25,737,333.24	0.00	41,666.76			
HEAPR Projects	750,000.00	737,639.48	8,862.36	3,498.16			
Subtotal	26,529,000.00	26,474,972.72	8,862.36	45,164.92			
2014 Appropriations							
Major Projects	76,299,195.92	76,282,320.75	0.00	16,875.17			
HEAPR Projects	43,067,804.08	41,779,682.85	1,147,077.13	141,044.10			
Subtotal	119,367,000.00	118,062,003.60	1,147,077.13	157,919.27			
2012 Appropriations							
Major Projects	14,060,000.00	14,053,276.62	0.00	6,723.38			
HEAPR Projects	50,000,000.00	50,000,000.00	0.00	0.00			
Subtotal	64,060,000.00	64,053,276.62	0.00	6,723.38			
	Major Projects	215,472,195.92	193,833,884.28	21,573,046.33	65,265.31		
	HEAPR Projects Only	114,417,804.08	98,272,306.40	15,937,594.42	207,903.26		
	Grand Total: 2012-2017 Appropriations	329,890,000.00	292,106,190.68	37,510,640.75	273,168.57		
<u>Total Percent by Status</u>							
2017 Appropriations							
Major Projects	99,334,000.00	78.3%	21.7%	0.0%			
HEAPR Projects	20,600,000.00	27.9%	71.8%	0.3%			
Subtotal	119,934,000.00	69.6%	30.3%	0.1%			
2015 Appropriations							
Major Projects	25,779,000.00	99.8%	0.0%	0.2%			
HEAPR Projects	750,000.00	98.4%	1.2%	0.5%			
Subtotal	26,529,000.00	99.8%	0.0%	0.2%			
2014 Appropriations							
Major Projects	76,299,195.92	100.0%	0.0%	0.0%			
HEAPR Projects	43,067,804.08	97.0%	2.7%	0.3%			
Subtotal	119,367,000.00	98.9%	1.0%	0.1%			
2012 Appropriations							
Major Projects	14,060,000.00	100.0%	0.0%	0.0%			
HEAPR Projects	50,000,000.00	100.0%	0.0%	0.0%			
Subtotal	64,060,000.00	100.0%	0.0%	0.0%			
	Major Projects	215,472,195.92	90.0%	10.0%	0.0%		
	HEAPR Projects Only	114,417,804.08	85.9%	13.9%	1.2%		
	Grand Total: 2012-2017 Appropriations	329,890,000.00	88.5%	11.4%	1.1%		