

University of Minnesota

Capital Appropriations Expenditure Report

January 2014

Total Allocation Status

Year	Full Allocation	% Spent or Encumbered Under Contract	% Spent, Encumbered or Otherwise Obligated to Complete a Project	Comments
2010	\$89.7 million	100%	100%	
2011	\$88.8 million	99%	99%	
2012	\$64.1 million	95%	100%	

All funds appropriated prior to 2011 are 100% spent or encumbered.

Definitions

Allocation: The Legislative appropriation for each project.

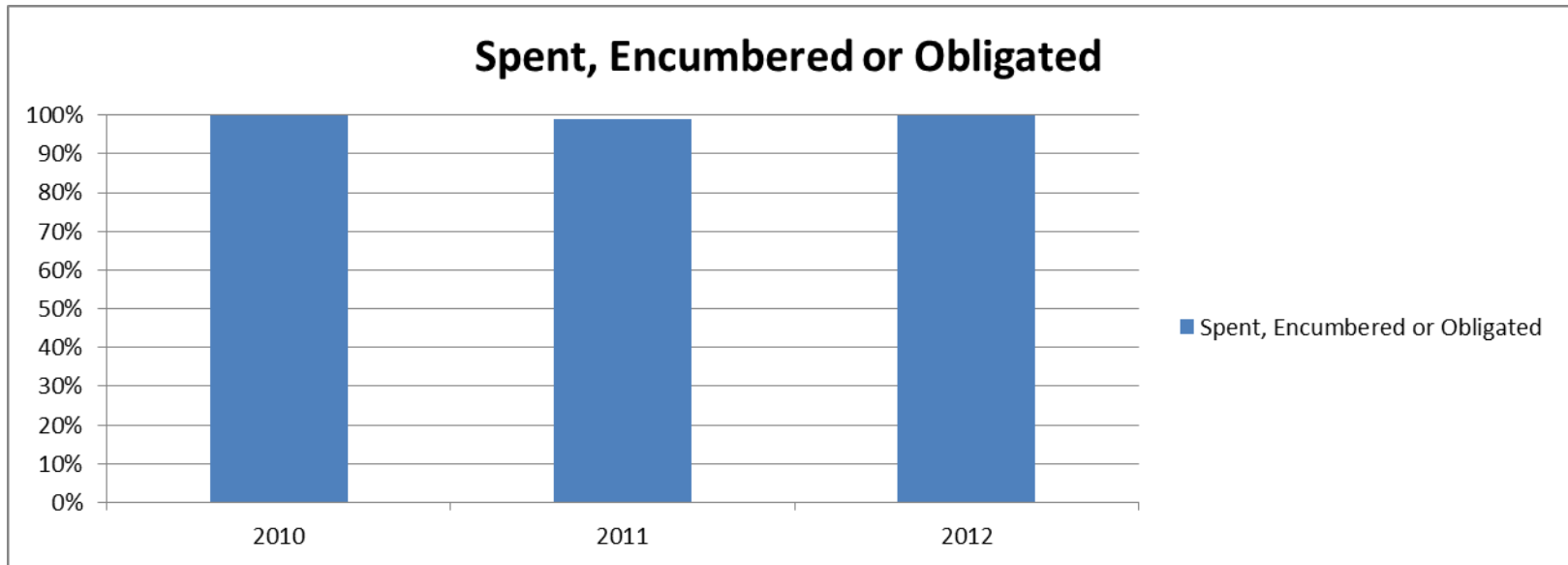
Spent: The amount the University has paid to contractors from signed contracts.

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.

Total Allocation Status



All funds appropriated prior to 2011 are 100% spent or encumbered.

HEAPR Allocation Status

Year	HEAPR Allocation	% Spent or Encumbered Under Contract	% Spent, Encumbered or Otherwise Obligated to Complete a Project	Comments
2010	\$57.8 million	100%	100%	Includes \$1.8M of funds converted from other projects.
2011	\$25.0 million	100%	100%	
2012	\$50 million	89%	99%	

All funds appropriated prior to 2012 are 100% spent or encumbered.

Definitions

Allocation: The Legislative appropriation for each project.

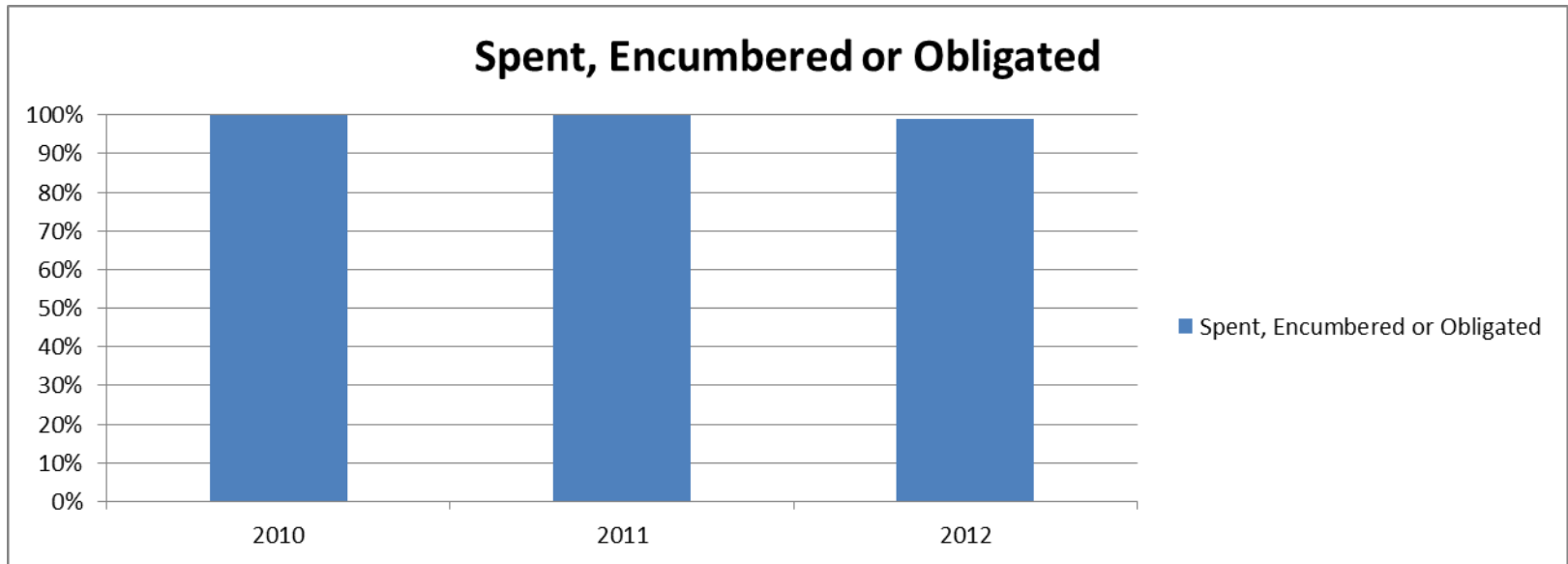
Spent: The amount the University has paid to contractors from signed contracts.

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.

HEAPR Allocation Status



All funds appropriated prior to 2012 are 100% spent or encumbered.

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Status Report: Total Capital Appropriations 2010 to 2012
 Projected 01/31/14 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2012 State Capital Appropriations: Major Projects							
Combined Heat and Power Plant	10,000,000	9,493,772	506,228	0	Design Development	10/7/2016	
Itasca New Multi-Purpose Building	4,060,000	3,886,049	173,951	0	Construction	4/7/2014	
Subtotal - '12 Appropriations: Major Projects	14,060,000	13,379,821	680,179	0			
2012 State Capital Appropriations: HEAPR Projects							
Completed Projects							
Replace SW Plaza at AHC	6,212,006	6,212,006	0	0			
Lind Hall Roof Replacement	718,952	718,952	0	0	Construction	1/31/2014	
Smith Hall Waterproof Gopherway to Walter Library	472,210	472,210	0	(0)	Pacloseout	Occupied	
Scott Hall New Elevator	196,500	195,579	0	921	Pacloseout	Occupied	
Northrop Plaza Repair	1,242,000	993,160	248,840	0	Construction	3/15/2014	
Nolte Hall Elevator Installation	156,354	130,661	25,693	0	Construction	1/31/2014	Keep project open till summer to review concrete color
Vincent Hall Roof Replacement	1,415,000	1,077,730	337,270	0	Construction	1/31/2014	
Murphy Hall Waterproof Gopherway to Tate Lab	536,000	518,997	17,003	0	Construction	7/31/2014	Work deferred until summer 2014 due to congestion
Amundson Hall Building Infrastructure	315,500	311,070	0	4,430	Pacloseout	Occupied	
Amundson Hall Chiller Modifications	3,000,000	3,000,000	0	0	Construction	9/1/2014	
Amundson Hall Roofing	106,764	106,764	0	0	Construction	6/30/2014	
Mayo Reroof Section DDD	655,000	0	655,000	0	Programming	5/30/2014	Construction to start April 2014
ReUse Center HVAC Units Replacement	335,217	308,904	26,313	0	Construction	Occupied	
Civil Engineering Remediation	220,071	220,071	0	0	Construction	3/31/2014	
Keller Hall Exterior Building Envelopment Replacement	7,868,952	7,217,134	651,818	0	Construction	1/31/2014	
Heller Hall Loading Dock Parapet	22,401	0	22,401	0	Construction Documents	11/20/2014	Construction to start May 2014
Social Sciences New Roof	137,776	137,776	0	0	Substantial Completion	Occupied	
Wilson Library VAV Upgrades	432,000	263,253	168,747	0	Construction	8/15/2014	
Wilson Library Roof Replacement	500,000	472,026	27,974	0	Construction	3/1/2014	
Humphrey Water Infiltration - Phase II	2,564,380	2,167,000	397,380	0	Construction	8/22/2014	
Mechanical Engineering Renewal	723,251	591,951	131,301	0	Construction	8/15/2014	
Akerman Hall Life Safety Code Upgrades	10,243,269	8,736,713	1,506,556	0	Construction	10/31/2016	Construction to start January 2014
Coffey Hall Fire Sprinklers & Asbestos Abatement	1,495,684	1,087,104	408,580	0	Bidding	7/31/2014	Construction to start March 2014
Coffey Hall Roof Replacement	1,935,202	1,935,202	0	0	Substantial Completion	Occupied	
Ben Pomeroy Tuckpointing	2,935,354	2,926,557	0	8,797	Substantial Completion	Occupied	
Andrew Boss Lab Chiller Replacement-Meat Science	337,807	324,720	(0)	13,087	Substantial Completion	Occupied	
Plant Growth Facilities West Window Reglazing	397,840	397,840	0	0	Construction	2/28/2014	
UMD Restroom Accessibility, Stage Lift, Elev Upgrades	720,843	720,843	0	0	Pacloseout	Occupied	
UMD Chemistry 4th Floor Emergency Exit	725,000	506,624	218,376	0	Construction	3/31/2014	
UMD Heating Plant High Pressure Boilers	235,000	222,436	12,564	0	Construction	3/31/2014	
UMD MWAH Plaza Roof Replacement	404,922	284,237	120,685	0	Construction	5/31/2014	
UMM HEAPR Projects	50,000	32,455	17,545	0	Design Development	3/31/2014	
UMM Campus Wide Pedestrian Lighting Upgrades	24,375	0	0	24,375			
UMM Campus Wide Sidewalk Replacement	50,000	49,845	(0)	155	Pacloseout	Occupied	
UMM Behmler Hall Student Financial Aid Access Impr	73,211	72,387	(0)	825	Pacloseout	Occupied	
UMM Student Ctr Fire Alarm Upgrade	25,000	15,500	9,500	0	Design Development	1/31/2014	
UMM Heating Plant Biomass Gas Burner Installation	18,256	11,500	6,756	0	Design Development	1/31/2014	
UMM Humanities Fine Arts Theatre Upgrades	120,000	88,458	31,542	0	Construction	1/31/2014	
UMM Humanities Fine Arts Metal Roof Replacement	337,700	336,656	(0)	1,044	Substantial Completion	Occupied	
UMM Humanities Fine Arts Elevator Modernization	150,000	125,002	0	24,998	Substantial Completion	Occupied	
UMM Humanities Fine Arts Cooling Tower Frame	160,000	145,098	14,902	0	Construction	1/31/2014	
UMC HEAPR Projects	150,000	91,928	58,072	0	Construction	3/31/2014	
UMC Kiehle Hall HVAC Upgrades	50,000	22,812	0	27,188	Pacloseout	Occupied	
UMC Sahlstrom Conference Ctr Fire & Life Safety	55,905	0	0	55,905			
UMC Kiehle Hall HVAC Upgrades	125,000	107,730	17,270	0	Construction	3/1/2014	
UMC Sahlstrom Conference Ctr Fire & Life Safety	394,000	381,700	0	12,300	Substantial Completion	Occupied	

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Status Report: Total Capital Appropriations 2010 to 2012
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(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
UMC Dowell Hall & Link Restroom Upgrades	190,000	171,161	18,839	0	Construction	1/31/2014	
UMC UTOC Fire & Life Safety	275,000	257,468	(0)	17,532	Pacloseout	Occupied	
NCROC Building Energy/Electrical Upgrades	45,296	35,954	9,341	0	Construction	3/31/2014	
WCROC Swine Barn Roofs	60,000	48,296	11,704	0	Construction	3/31/2014	
SR0C Roof, HVAC, Ventilation	50,000	43,544	6,456	0	Construction	3/31/2014	
Itasca Cabin #10 Well Repair/Replacement	7,473	6,964	509	0	Construction	3/31/2014	
Itasca Campus Utility Infrastructure	187,750	187,750	0	0	Construction	1/31/2014	
Itasca Lab Dining Hall Roof Replacement	64,778	9,944	54,833	0	Construction	6/30/2014	Planning during winter, roof to be done spring 2014
Cloquet Forestry Center Electrical/Transformers	50,000	15,811	34,189	0	Construction	6/30/2014	
Cedar Creek Student Cabins HVAC/Siding/Roofs	25,000	20,777	4,223	0	Construction	6/30/2014	
Subtotal - '12 Appropriations: HEAPR Projects	50,000,000	44,536,261	5,272,182	191,557			
Total - 2012 State Capital Appropriations	64,060,000	57,916,082	5,952,361	191,557			
2011 State Capital Appropriations: Major Projects							
Completed Projects	12,500,000	12,500,000	0	0			
Physics and Nanotechnology Building	51,333,000	50,782,394	0	550,606	Substantial Completion	12/26/2013	
Subtotal - '11 Appropriations: Major Projects	63,833,000	63,282,394	0	550,606			
2011 State Capital Appropriations: HEAPR Projects							
Completed Projects	9,416,949	9,416,949	0	0			
Smith Hall Women's Restroom Remodel	93,141	1,866	91,275	0	Design Development	7/31/2014	Construction to take place during summer 2014
Northrop Plaza Repair	58,646	58,646	0	0	Construction	1/31/2014	Keep project open till summer to review concrete color
Social Sciences New Roof	87,927	87,927	0	0	Construction	8/15/2014	
Akerman Hall - Upgrade Toilet Room	4,316	4,316	0	0	Bidding	7/31/2014	Construction to start March 2014
Code Compliance of 11 Elevators	664,400	639,307	0	25,093	Pacloseout	Occupied	
Code Compliance of 37 Elevators	14,619,570	14,611,724	(0)	7,846	Substantial Completion	Occupied	
Cloquet Electrical Transformers	55,051	55,051	0	0	Construction	3/31/2014	
Subtotal - '11 Appropriations: HEAPR Projects	25,000,000	24,875,786	91,275	32,939			
Total - 2011 State Capital Appropriations	88,833,000	88,158,179	91,275	583,546			

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(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2010 State Capital Appropriations: Major Projects							
Completed Projects							
Laboratory Renovations	25,224,746	25,224,746	0	0			
	6,667,000	6,667,000	0	(0)	Various Phases	Various Dates	Multiple buildings and multiple campuses
Subtotal - '10 Appropriations: Major Projects	31,891,746	31,891,746	0	0			
2010 State Capital Appropriations: HEAPR Projects							
Completed Projects							
Northrop Auditorium Interior Renovation	15,819,588	15,819,588	0	0	Construction	4/1/2014	
SAFL Infrastructure & Facility Upgrades	8,700,200	8,700,200	0	0	Pacloseout	Occupied	
SAFL Overhead Electric Service Replacement	241,753	239,293	0	2,460	Construction	1/31/2014	
Keller Hall Exterior Building Envelope Replacement	79,599	56,412	23,187	0	Construction Documents	11/20/2014	Construction to start May 2014
Faye Thompson Roof Replacement	57,081	57,081	0	0	Construction Documents	8/31/2014	
Mondale Hall Fire Alarm Upgrade	500,000	495,754	0	4,246	Pacloseout	Occupied	
Subtotal - '10 Appropriations: HEAPR Projects	57,775,254	57,745,361	23,187	6,706			
Total - 2010 State Capital Appropriations	89,667,000	89,637,107	23,187	6,706			
Grand Totals 2010 to 2012	242,560,000	235,711,369	6,066,823	781,808			

Notes:

1) Definitions of columns:

- B. Appropriation Amount: The Legislative 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. Bidding: 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.

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(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
Summary of University State Capital Appropriations							
Total Dollars by Status							
2012 Appropriations							
Major Projects	14,060,000	13,379,821	680,179	0			
HEAPR Projects	50,000,000	44,536,261	5,272,182	191,557			
Subtotal	64,060,000	57,916,082	5,952,361	191,557			
2011 Appropriations							
Major Projects	63,833,000	63,282,394	0	550,606			
HEAPR Projects	25,000,000	24,875,786	91,275	32,939			
Subtotal	88,833,000	88,158,179	91,275	583,546			
2010 Appropriations							
Major Projects	31,891,746	31,891,746	0	0			
HEAPR Projects	57,775,254	57,745,361	23,187	6,706			
Subtotal	89,667,000	89,637,107	23,187	6,706			
Grand Total: 2010-2012 Appropriations	242,560,000	235,711,369	6,066,823	781,808			
Major Projects	109,784,746	108,553,961	680,179	550,606			
HEAPR and Converted HEAPR Projects Only	132,775,254	127,157,408	5,386,644	231,202			
Total Percent by Status							
2012 Appropriations							
Major Projects	14,060,000	95%	5%	0%			
HEAPR Projects	50,000,000	89%	10%	1%			
Subtotal	64,060,000	90%	9%	1%			
2011 Appropriations							
Major Projects	63,833,000	99%	0%	1%			
HEAPR Projects	25,000,000	100%	0%	0%			
Subtotal	88,833,000	99%	0%	1%			
2010 Appropriations							
Major Projects	31,891,746	100%	0%	0%			
HEAPR Projects	57,775,254	100%	0%	0%			
Subtotal	89,667,000	100%	0%	0%			
Grand Total: 2010-2012 Appropriations	242,560,000	97%	3%	0%			
Major Projects	109,784,746	99%	1%	0%			
HEAPR and Converted HEAPR Projects Only	132,775,254	96%	4%	0%			

Project priorities may be adjusted to reflect facility condition changes

	Category	Building	Project Description	\$100M
	TWIN CITIES CAMPUS			
1	Building Systems	Mechanical Engineering	Renewal - Phase II	34,600,000
2	Building Systems	Heller Hall	Window replacement and tuckpointing	5,060,000
3	Building Systems	Washington Ave Ped. Bridge	Exterior envelope improvements	5,000,000
4	Health & Safety	Alderman Hall	Fire safety and ventilation improvements	3,600,000
5	Building Systems	Andrew Boss Lab	Fire sprinklers, lab compliance and abatement	3,500,000
6	Building Systems	Carlson School of Mgmt	Plaza waterproofing and repair	3,000,000
7	Utility Infrastructure	Minneapolis Chilled Water	Interconnect district chilled water systems	2,500,000
8	Building Systems	Vincent Hall	Window replacement	2,300,000
9	Building Systems	Keller Hall	Exterior envelope improvements	2,262,000
10	Building Systems	Barker Dance	Exterior envelope improvements	2,200,000
11	Health & Safety	PWB	Fire alarm replacement	2,000,000
12	Building Systems	Lind Hall	Window replacement	1,834,000
13	Building Systems	Learning & Environmental Sciences	HVAC and Code improvements	1,800,000
14	Building Systems	Health Sciences	Roof replacement - critical areas	1,700,000
15	Building Systems	Blegen	Window replacement	1,500,000
16	Building Systems	Vet Teaching Hospital	HVAC and Code improvements	1,300,000
17	Building Systems	Cooke Hall	Building code deficiency improvements	1,180,000
18	Utility Infrastructure	Minneapolis Storm Sewer	Construct Knoll storm sewer trunk main	1,000,000
19	Utility Infrastructure	Mayo	Fire pump transfer switch installation	1,000,000
20	Building Systems	Thompson Center	Roof replacement	947,000
21	Health & Safety	Vet Med Center South	Fire alarm and sprinkler installation	932,000
22	Health & Safety	Vet Sciences	Fire alarm and sprinkler installation	655,000
23	Building Systems	Gabbort Raptor Center	Roof replacement - critical areas	600,000
24	Health & Safety	Children's Rehab	Fire alarm replacement	400,000
25	Building Systems	Rapson Hall	Exterior waterproofing	315,000
26	Building Systems	Peik Hall	Fire alarm and sprinkler upgrades	300,000
27	Accessibility	Moos Tower / PWB	Restroom upgrade for ADA	300,000
28	Building Systems	Mayo Tunnel at PWB	Water infiltration remediation	300,000
29	Utility Infrastructure	St. Paul Storm Sewer	Stormwater infrastructure improvements	300,000
30	Utility Infrastructure	Mayo	Upgrade power feed for high-rise elevators	250,000
31	Utility Infrastructure	Hayes Hall	Replace primary electric service	250,000
32	Building Systems	Equine Center	HVAC replacement for Surgery Suite	250,000
33	Health & Safety	Lions & MTRF	Stormwater infrastructure improvements	240,000
34	Health & Safety	Smith Hall	Replace lab vacuum pumps	150,000
35	Utility Infrastructure	Alderman Hall	Replace primary electrical switchgear	150,000
36	Accessibility	Alderman Hall	New accessible entrance	150,000
37	Accessibility	Magrath Library	Restroom upgrade (unisex)	100,000
38	Accessibility	Scott Hall	Restroom upgrade (unisex), accessible water fountains	75,000
				84,000,000

Project priorities may be adjusted to reflect facility condition changes

Category	Building	Project Description	\$100M	
UMD CAMPUS				
39	Building Systems	Heller Hall	Building upgrade	5,900,000
40	Building Systems	Cina Hall	Building Renovation	2,900,000
41	Building Systems	Tweed Museum of Art	Mechanical system upgrade	500,000
			9,300,000	
UMM CAMPUS				
42	Building Systems	Heating Plant	Flue gas scrubber replacement	700,000
43	Building Systems	Behmler Hall	HVAC improvements	470,000
44	Building Systems	Blakely Hall	Elevator Installation	400,000
45	Building Systems	Humanities	HVAC improvements	380,000
46	Building Systems	Student Center	Edson Auditorium Interior upgrades	300,000
47	Building Systems	Rodney A Briggs Library	Fire alarm improvements	160,000
48	Accessibility	Rodney A Briggs Library	Restroom upgrade for ADA	160,000
49	Building Systems	Behmler Hall	Fire alarm improvements	130,000
50	Building Systems	Humanities	Fire alarm and sprinkler installation	100,000
51	Building Systems	Science Auditorium	Water line replacement	100,000
52	Building Systems	Physical Education Center	Facility upgrades	90,000
53	Health & Safety	Humanities Fine Arts	Stair Hand & Guardrail Code Upgrade	90,000
54	Building Systems	Science Auditorium	Exterior wall and stair repair	60,000
55	Health & Safety	Campus Wide	Pedestrian lighting upgrades	50,000
56	Building Systems	Student Center	Exterior envelope improvements	40,000
57	Utility Infrastructure	Education	Domestic water line replacement	40,000
58	Building Systems	Saddle Club Barn	Electrical service upgrade	30,000
			3,300,000	
UMC CAMPUS				
59	Utility Infrastructure	Campus Electric Distribution	Upgrade electric distribution infrastructure	1,700,000
			1,700,000	
RESEARCH AND OUTREACH CENTERS AND FIELD STATIONS				
60	Building Systems	WCROC - Maintenance Shop	HVAC improvements	900,000
61	Building Systems	Itasca - Assembly Hall	Geothermal Heating & Wells	225,000
62	Building Systems	Cloquet Forestry Center	Complete electrical upgrades	190,000
63	Building Systems	Horticulture Research Center	Rebuild tool shed/pump house	60,000
64	Building Systems	Cedar Creek - Lawrence Laboratory	Replace septic system and drainfield	60,000
65	Building Systems	Cedar Creek - Lodging	Replace septic system and drainfield	60,000
66	Building Systems	Itasca - Lodging (cabins 5-8, 10-13, 51, 61, 66, 70)	Thermal pane windows and insulation; multiple cabins	60,000
67	Building Systems	Itasca - Lodging and Labs (cabins 1, 2, 3, 5, 6, 7, 8, labs 40 & 41)	HVAC replacement; mini-splits for multiple cabins	54,000
68	Building Systems	Itasca - Lodging (cabin 48)	Window replacement	40,000
69	Utility Infrastructure	Itasca Campus Wide Water system	Well system upgrades	26,000
70	Building Systems	Itasca - Library Lab	Supply room remodel; abatement and lighting improvements	15,000
71	Building Systems	Itasca - Lodging (cabin 1)	Roof replacement	10,000
			1,700,000	
TOTAL - ALL CAMPUSES			100,000,000	