


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 Mary Murphy, Chair, Capital Investment Committee
Representative Connie Bernardy, Chair, Higher Education Finance and Policy Committee
Representative Lyndon Carlson Sr., Chair, Ways and Means Committee
Senator David Senjem, Chair, Capital Investment Committee
Senator Julie Rosen, Chair, Finance Committee
Senator Paul Anderson, Chair, Higher Education Finance and Policy Committee
Commissioner Myron Frans, Minnesota Management and Budget

FROM: Brian D. Burnett, Senior Vice President 

DATE: January 16, 2019

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: Eric W. Kaler, President, University of Minnesota
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 2019

Appropriation Status

Year	Full Allocation	% Spent or Encumbered Under Contract	% Spent, Encumbered or Otherwise Obligated to Complete a Project	Comments
2014	\$ 119,367,000	100%	100%	
2015	\$ 26,529,000	100%	100%	\$750,000 converted to HEAPR
2016	\$ -	na	na	No appropriation
2017	\$ 99,334,000	80%	100%	
2018	\$ 34,400,000	8%	88%	Working on fundraising to meet State obligation for uncommitted portion (\$4M UMD Glensheen)

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
2014	\$ 42,500,000	100%	100%	
2015	\$ -	na	na	No appropriation
2016	\$ -	na	na	No appropriation
2017	\$ 20,600,000	87%	99%	
2018	\$ 45,000,000	53%	93%	

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 2014 to 2018

Projected 01/31/2019 - 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
2018 State Capital Appropriations: Major Projects							
Pillsbury Hall Rehabilitation	24,000,000	2,544,079	21,455,921	0	Schematic Design	8/27/2021	
UMD Glensheen Renewal	4,000,000	0	0	4,000,000			Working on fundraising to meet state obligation
Morris Teaching and Learning Spaces	3,200,000	59,533	3,140,467	0			
Crookston Teaching and Learning Spaces	3,200,000	296,096	2,903,904	0			
Subtotal - '18 Appropriations: Major Projects	34,400,000	2,899,708	27,500,292	4,000,000			
2018 State Capital Appropriations: HEAPR Projects							
Completed Projects	200,000	200,000	0	0			
UMTC Emergency Renewal	1,491,390	0	0	1,491,390	Programming	Unknown	
Knoll Area Infrastructure Renewal	6,487,874	1,005,132	5,482,742	0	Design Development	8/28/2020	
Cooke Heat Recovery Unit Replacement	750,000	175,920	574,080	0	Design Development	8/31/2019	
Field House Exterior Envelope and Flooring	5,200,000	5,200,000	0	0	Design Development	10/31/2019	
PWB Fire Alarm System Upgrade	5,511,432	5,511,432	0	0	Construction	11/30/2019	
Anderson Accessible Restroom Upgrade	100,000	1,847	98,153	0	Design Development	8/31/2019	
Anderson Hall Structural Repairs	600,000	532,004	0	67,996	Substantial Completion	12/31/2018	
Humphrey Partial Roof, Skylight & Tuckpointing	3,000,000	0	3,000,000	0	Schematic Design	8/30/2019	
WBOB Entry Drive and Plaza Waterproofing	1,900,000	0	1,900,000	0	Procurement	9/27/2019	
2019 Twin Cities Elevator Modernization	1,500,000	0	1,500,000	0	Procurement	12/6/2019	
Green Hall Accessible Restroom Upgrade	100,000	1,811	98,189	0	Design Development	8/31/2019	
Vet Med South Accessible Restroom Upgrade	150,000	0	0	150,000	Programming	8/31/2019	
Biological Sciences Cooling Tower Replacement	525,000	10,000	515,000	0	Design Development	8/31/2019	
Andrew Boss Lab HVAC, Life Safety, & Accessibility	10,160,000	8,488,103	1,671,898	0	Construction	6/19/2020	
Skok Hall Accessible Restroom Upgrades	100,000	1,555	98,445	0	Design Development	8/31/2019	
UMD Campus Wide Lighting & Controls Retrofit	403,954	89,260	314,694	0	Construction	8/31/2019	
UMD Chemistry Electric & Fire Alarm Replacement	200,000	0	0	200,000	Programming	8/31/2019	
UMD Kirby Student Center Water Line Replacement	200,000	1,304	198,696	0	Design Development	8/31/2019	
UMD Tweed HVAC Remediation	400,000	400,000	0	0	Construction	8/31/2019	
UMD Darland Fire Sprinkler, ADA & Lighting Upgrade	400,000	261,478	138,522	0	Construction	8/31/2019	
UMD Ward Wells Fieldhouse Floor Replacement	2,000,000	1,634,896	365,104	0	Construction	8/31/2019	
UMD NRRI Elevator Modernization	425,000	1,806	423,194	0	Design Development	8/31/2019	
UMM Campus Wide Controls Upgrade	183,779	39,474	144,305	0	Construction	5/31/2019	
UMM Saddle Club Barn East Demolition & Repairs	115,000	0	0	115,000	On Hold	Unknown	
UMM Saddle Club Barn Electrical Service Renewal	35,000	0	0	35,000	On Hold	Unknown	
UMM Behmler Hall New Air Handling Unit	100,000	100,000	0	0	Construction	5/31/2019	
UMM Blakely HVAC Upgrade	700,000	42,000	658,000	0	Design Development	8/31/2019	
UMC Campus Wide Electrical Distribution	597,631	0	597,631	0	Construction	8/31/2019	
UMC Lysacker Gym Seating Code Upgrades	300,000	300,000	0	0	Construction	8/31/2019	
Cedar Creek Critical Infrastructure Needs	70,533	0	0	70,533	Programming	8/31/2019	
Cedar Creek Lodging Septic Replacement	10,500	9,245	0	1,255	Substantial Completion	3/31/2019	
Itasca Lodging & Labs HVAC & Plumbing Replacement	81,033	0	0	81,033	Programming	8/31/2019	
Cloquet Critical Infrastructure Needs	200,000	0	0	200,000	Programming	8/31/2019	
Cloquet Septic System Renewal	140,000	0	0	140,000	Programming	8/31/2019	
NWROC Dust Emission Mitigation	200,000	0	0	200,000	Programming	8/31/2019	
NCROC Building Envelope Upgrades	16,874	0	0	16,874	Programming	5/31/2019	

University of Minnesota

Status Report: Total Capital Appropriations 2014 to 2018

Projected 01/31/2019 - 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
WCROC Maint Shop Infrastructure	120,000	0	0	120,000	Programming	8/31/2019	
WCROC Well Casing Replacement	25,000	21,429	3,571	0	Construction	8/31/2019	
Hubachek Critical Infrastructure Needs	300,000	0	0	300,000	Programming	8/31/2019	
Subtotal - '18 Appropriations: HEAPR Projects	45,000,000	24,028,696	17,782,223	3,189,081			
Total - 2018 State Capital Appropriations	79,400,000	26,928,404	45,282,515	7,189,081			
<u>2017 State Capital Appropriations: Major Projects</u>							
UMD Chemical Science & Advanced Materials Building	28,267,000	25,442,862	2,824,138	0	Construction	5/31/2019	
Health Sciences Education Center	66,667,000	49,955,185	16,711,815	0	Construction	12/30/2019	
Plant Growth Facility Biological Sciences Conservatory	4,400,000	3,974,427	425,573	0	Construction	5/15/2019	
Subtotal - '17 Appropriations: Major Projects	99,334,000	79,372,475	19,961,525	0			
<u>2017 State Capital Appropriations: HEAPR Projects</u>							
<u>Completed Projects</u>	4,632,899	4,632,899	0	0			
Shevlin Hall Roof Replacement	265,300	263,945	0	1,355	Pacloseout	Occupied	
Field House Exterior Panels & Envelope	253,242	253,242	0	0	Design Development	10/31/2019	
Moos Tower North Plaza Water Infiltration	214,000	113,499	100,501	0	Design Development	8/31/2019	
PWB Fire Alarm & AHU Upgrade	438,568	438,568	0	0	Construction	11/30/2019	
MCB/Jackson Expansion Joint Wtr Infiltration	186,000	105,300	80,700	0	Design Development	8/31/2019	
Willey Hall Roof & Skylight Replacement	2,390,000	2,390,000	0	0	Construction	5/31/2019	
Andersen Library Ground Water Piping Repairs	100,000	78,647	0	21,353	Substantial Completion	3/31/2019	
Mech Eng Phase II Renewal-Mech/Elec/Plumbing	83,371	68,998	14,373	0	Construction	Occupied	
Campus Wide Elevator Renewal & Replacement	4,030,000	4,030,000	0	0	Construction	8/31/2019	
2019 Twin Cities Elevator Modernization	2,100,000	234,931	1,865,069	0	Procurement	12/6/2019	
Vet Med Ctr South Window Replacement	254,119	209,688	0	44,431	Pacloseout	Occupied	
BioScience 3rd & 4th Floor HVAC Upgrade	277,413	137,491	139,922	0	Procurement	5/31/2019	
Ruttan Hall Window, Skylight, Ext Door Replcmnt	3,200,000	3,093,363	0	106,637	Substantial Completion	Occupied	
Vet Med Ctr North HVAC & Code Improvements	1,300,000	1,300,000	0	0	Substantial Completion	Occupied	
Equine Center HVAC Replacement	250,000	193,074	0	56,926	Pacloseout	Occupied	
UMC Campus Electrical Distribution	410,900	261,182	149,718	0	Construction	8/31/2019	
SWROC Septic System Renewal	10,000	6,542	3,458	0	Construction	5/31/2019	
WCROC Farrowing Barn Septic System Replacement	11,063	377	10,686	0	Construction	5/31/2019	
WCROC Dairy Septic Barn System Replacement	11,063	789	10,274	0	Construction	5/31/2019	
WCROC Gues House Septic System Replacement	11,064	2,268	8,796	0	Construction	5/31/2019	
NWROC Septic System Renewal	35,000	2,162	32,838	0	Construction	5/31/2019	
Horticulture Res Ctr Septic System Renewal	92,044	51,749	40,295	0	Construction	5/31/2019	
Cloquet Dining Hall Floor & Plumbing Replacement	14,956	0	0	14,956	Programming	5/31/2019	
Cedar Creek Replace Septic & Drain Field	29,000	29,000	0	0	Construction	3/31/2019	
Subtotal - '17 Appropriations: HEAPR Projects	20,600,000	17,897,714	2,456,629	245,658			
Total - 2017 State Capital Appropriations	119,934,000	97,270,189	22,418,154	245,658			

University of Minnesota

Status Report: Total Capital Appropriations 2014 to 2018
 Projected 01/31/2019 - 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>2015 State Capital Appropriations: Major Projects</u>							
MN Poultry Testing Lab-Willmar	7,779,000	7,719,210	0	59,790	Pacloseout	Occupied	750,000 converted to HEAPR
Vet Isolation Facility	18,000,000	18,000,000	0	0	Pacloseout	Occupied	
Subtotal - '15 Appropriations: Major Projects	25,779,000	25,719,210	0	59,790			
<u>2015 State Capital Appropriations: HEAPR Projects</u>							
Completed Projects	682,964	682,964	0	0			
UMM Regional Fitness Ctr HVAC Dampers	67,036	65,199	1,838	0	Substantial Completion	Occupied	Converted from MN Poultry Lab
Subtotal - '15 Appropriations: HEAPR Projects	750,000	748,162	1,838	0			
Total - 2015 State Capital Appropriations	26,529,000	26,467,373	1,838	59,790			
<u>2014 State Capital Appropriations: Major Projects</u>							
Tate Science & Teaching Renovation	56,700,000	56,700,000	0	0	Substantial Completion	Occupied	
UMC Lysacker Wellness Rec Ctr Addition/Remodel	9,432,196	9,432,196	0	0	Closed	Occupied	
UMD Chemical Science & Advanced Mat'ls Building	1,500,000	1,500,000	0	0	Construction	1/31/2019	Appropriation for design only
Research Laboratories	8,620,733	8,620,733	0	0	Closed	Occupied	
Subtotal - '14 Appropriations: Major Projects	76,252,929	76,252,929	0	0			
<u>2014 State Capital Appropriations: HEAPR Projects</u>							
Completed Projects	43,114,071	43,114,071	0	0			
Subtotal - '14 Appropriations: HEAPR Projects	43,114,071	43,114,071	0	0			
Total - 2014 State Capital Appropriations	119,367,000	119,367,000	0	0			
Grand Totals - 2014 to 2018	345,230,000	270,032,965	67,702,507	7,494,528			

University of Minnesota

Status Report: Total Capital Appropriations 2014 to 2018

Projected 01/31/2019 - 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.

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Status Report: Total Capital Appropriations 2014 to 2018
 Projected 01/31/2019 - 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
Summary of University State Capital Appropriations							
Total Dollars by Status							
2018 Appropriations							
Major Projects	34,400,000	2,899,708	27,500,292	4,000,000			
HEAPR Projects	45,000,000	24,028,696	17,782,223	3,189,081			
Subtotal	79,400,000	26,928,404	45,282,515	7,189,081			
2017 Appropriations							
Major Projects	99,334,000	79,372,475	19,961,525	0			
HEAPR Projects	20,600,000	17,897,714	2,456,629	245,658			
Subtotal	119,934,000	97,270,189	22,418,154	245,658			
2015 Appropriations							
Major Projects	25,779,000	25,719,210	0	59,790			
HEAPR Projects	750,000	748,162	1,838	0			
Subtotal	26,529,000	26,467,373	1,838	59,790			
2014 Appropriations							
Major Projects	76,252,929	76,252,929	0	0			
HEAPR Projects	43,114,071	43,114,071	0	0			
Subtotal	119,367,000	119,367,000	0	0			
Major Projects	235,765,929	184,244,322	47,461,817	4,059,790			
HEAPR Projects Only	109,464,071	85,788,643	20,240,690	3,434,739			
Grand Total: 2014-2018 Appropriations	345,230,000	270,032,965	67,702,507	7,494,528			
Total Percent by Status							
2018 Appropriations							
Major Projects	34,400,000	8%	80%	12%			
HEAPR Projects	45,000,000	53%	40%	7%			
Subtotal	79,400,000	34%	57%	9%			
2017 Appropriations							
Major Projects	99,334,000	80%	20%	0%			
HEAPR Projects	20,600,000	87%	12%	1%			
Subtotal	119,934,000	81%	19%	1%			
2015 Appropriations							
Major Projects	25,779,000	100%	0%	0%			
HEAPR Projects	750,000	100%	0%	0%			
Subtotal	26,529,000	100%	0%	0%			
2014 Appropriations							
Major Projects	76,252,929	100%	0%	0%			
HEAPR Projects	43,114,071	100%	0%	0%			
Subtotal	119,367,000	100%	0%	0%			
Major Projects	235,765,929	78%	20%	2%			
HEAPR Projects Only	109,464,071	78%	18%	3%			
Grand Total: 2014-2018 Appropriations	345,230,000	78%	20%	2%			