

Capital Appropriations Expenditure Report

In fulfillment of MN 135A.046 subd. 3

January 2022



UNIVERSITY OF MINNESOTA
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Major Projects - Spending Status

Year	Major Projects Allocation	% Spent or Encumbered Under Contract	% Spent, Encumbered or Otherwise Obligated to Complete a Project	Comments
2017	\$ 95,070,002	100%	100%	\$4,263,998 converted to 2017 HEAPR
2018	\$ 34,400,000	89%	93%	
2019	\$ -	na	na	No appropriation
2020	\$ 36,886,000	89%	100%	

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
2017	\$ 24,863,998	100%	100%	\$4,263,998 converted to 2017 HEAPR
2018	\$ 45,000,000	98%	99%	
2019	\$ -	na	na	No appropriation
2020	\$ 38,495,000	85%	97%	

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.



Applicable Statutes

135A.046 ASSET PRESERVATION AND REPLACEMENT.

Subdivision 1. Purpose.

The legislature recognizes that postsecondary governing boards operate campus physical plants that in number, size, and programmatic use differ significantly from the physical plants operated by state departments and agencies. However, the legislature recognizes the need for standards to aid in categorizing and funding capital projects. The purpose of this section is to provide standards for those higher education projects that are intended to preserve and replace existing campus facilities.

Subd. 2. Standards.

Capital budget expenditures for Higher Education Asset Preservation and Replacement (HEAPR) projects must be for one or more of the following: code compliance including health and safety, Americans with Disabilities Act requirements, hazardous material abatement, access improvement, or air quality improvement; building energy efficiency improvements using current best practices; or building or infrastructure repairs necessary to preserve the interior and exterior of existing buildings; or renewal to support the existing programmatic mission of the campuses. Up to ten percent of an appropriation awarded under this section may be used for design costs for projects eligible to be funded from this account in anticipation of future funding from the account.

Subd. 3. Reporting priorities.

Each postsecondary governing board shall establish priorities within its Higher Education Asset Preservation and Replacement projects. By January 15 of each year, it shall submit to the commissioner of management and budget and to the chairs of the higher education finance divisions, the senate Finance Committee, and the house of representatives Capital Investment Committee a list of the projects that have been paid for with money from a higher education asset preservation and replacement appropriation during the preceding calendar year as well as a list of those priority projects for which Higher Education Asset Preservation and Replacement appropriations will be sought in that year's legislative session.

3.197 REQUIRED REPORTS.

A report to the legislature must contain, at the beginning of the report, the cost of preparing the report, including any costs incurred by another agency or another level of government.

Per the requirements set forth in Minnesota Statue 3.197, the cost to prepare this report was \$300.





UNIVERSITY OF MINNESOTA

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Crookston Duluth Morris Rochester Twin Cities

The University of Minnesota is an equal opportunity educator and employer.

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Status Report: Total Capital Appropriations 2017 to 2020

Projected 01/31/2022 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent and/or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2020 State Capital Appropriations: Major Projects							
Institute of Child Development Bldg Replacement	29,200,000	25,656,943	3,543,057	0	Construction	8/1/2022	
Fraser Hall Chemistry Undergraduate Teaching Facility	3,286,000	2,664,183	621,818	0	Procurement	7/3/2023	Construction to start June 2022 if funded
A.B. Anderson Hall Renovation	4,400,000	4,400,000	0	0	Construction	6/1/2022	
Subtotal - '20 Appropriations: Major Projects	36,886,000	32,721,125	4,164,875	0			
2020 State Capital Appropriations: HEAPR Projects							
Completed Projects	932,485	932,485	0	(0)			
Elliott Hall Accessible Restroom	100,000	13,143	86,857	0	Procurement	6/30/2022	
Lind Hall Renovation	664,805	664,805	0	0	Construction	10/31/2022	
VCRC Roof Repairs	550,329	522,269	0	28,060	Pacloseout	Occupied	
Children's Rehab Roof Replacement	894,656	807,655	0	87,001	Pacloseout	Occupied	
PWB Generator & Fire Pump Replacement	16,624	13,590	3,035	0	Construction Documents	6/30/2022	
Weisman Automatic Fire Suppression System	1,705,181	1,615,313	89,868	0	Construction	4/1/2022	
Ferguson Hall Roof Replacement	1,768,524	1,768,524	0	0	Construction	9/2/2022	
Mech Eng Phase III Renewal	12,329,611	10,544,315	1,785,296	0	Construction	12/22/2021	
Ted Mann Roof Replacement	3,517,769	3,071,001	0	446,768	Substantial Completion	Occupied	
Campuswide Elevator Renewal	1,000,000	745,685	254,315	0	Design Development	Unknown	
Biosystems & Ag Eng Roof Replacement	2,520,380	2,520,380	0	0	Construction	9/2/2022	
Haecker Hall Roof Replacement	1,858,835	1,640,417	218,418	0	Construction	2/1/2022	
Food Science & Nutrition Bldg Infrastructure	100,000	74,694	25,306	0	Design Development	3/31/2022	
Animal Sci/Vet Med Accessible Restroom	150,000	20,555	129,445	0	Design Development	6/30/2022	
UMD Chemistry Hazardous Materials Abatement	535,890	292,617	0	243,273	Pacloseout	Occupied	
UMD Sports & Health Ctr HVAC Phase II	1,801,118	1,523,445	277,673	0	Construction	6/30/2022	
UMD Sports & Health Ctr Fire Alarm	500,000	500,000	0	0	Construction	4/1/2022	
UMD Humanities Lower Level HVAC Renewal	106,945	30,000	76,945	0	Design Development	6/30/2022	
UMD AB Anderson Hall Asbestos Abatement	500,000	500,000	0	0	Construction	6/30/2022	
UMD Med School Generator Replacement	50,000	0	50,000	0	Design Development	4/1/2022	
UMD NRRI Elevator Modernization	800,000	510,307	289,693	0	Construction	8/1/2022	
UMD NRRI Roof Replacement	1,479,168	1,367,576	(0)	111,593	Substantial Completion	Occupied	
UMM Campuswide Controls Renewal Phase II	115,000	53,907	61,093	0	Construction	6/30/2022	
UMM HVAC and Chiller Renewal	50,000	49,000	1,000	0	Construction	4/30/2022	
UMM Electronic Door Access/Security	138,968	96,103	42,865	0	Construction	4/30/2022	
UMM Sewer Replacement & Water Service Repairs	123,719	117,062	6,657	0	Construction	5/31/2022	
UMM Multi-Ethnic Res Ctr Elev Installation-Design	75,000	53,625	21,375	0	Design Development	5/31/2022	
UMM Behmler Hall Water Infiltration Corrections	90,000	69,561	20,439	0	Construction	3/31/2022	
UMM Student Ctr Sprinkler/Fire Panel/Pump Repairs	333,000	202,014	130,986	0	Construction	4/30/2022	
UMM Science Building HVAC Repairs	87,017	86,967	50	0	Construction	6/30/2022	
UMM Briggs Library HVAC Controls	232,000	214,970	17,030	0	Construction	4/30/2022	
UMM Cougar Sport Ctr Accessibility Improvements	160,000	130,000	30,000	0	Construction	5/31/2022	
UMM Cougar Sport Ctr Safety Improvements	10,000	9,500	500	0	Construction	4/30/2022	
UMM Heating Plant Chiller Control Panel	206,448	204,380	2,068	0	Construction	6/30/2022	
UMM Humanities Fine Arts Membrane Roof Replc	172,000	15,000	157,000	0	Procurement	8/31/2022	
UMC Campus Wide Electrical Distribution Phase 3	700,000	672,090	27,910	0	Construction	7/30/2022	
UMC Central Mall/North Quadrant Watermain Imprvmnts	255,337	18,975	236,362	0	Design Development	8/19/2022	
UMC Owen Hall Exterior Façade, Window/Door Replc	185,000	27,329	157,671	0	Design Development	8/20/2022	

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Status Report: Total Capital Appropriations 2017 to 2020

Projected 01/31/2022 - Definitions on last page

(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)
Project Name	Appropriation Amount	Spent and/or Encumbered	Obligated	(B-C-D) Unencumbered	Status	Estimated Occupancy	Comments
UMC Owen Hall Fire Suppression & Code Imprvmnts	125,000	35,170	89,830	0	Design Development	8/20/2022	
UMC Bergland Lab Building Controls Replacement	85,000	77,018	7,982	0	Construction	2/1/2022	
Cedar Creek Project Balances	41,242	0	0	41,242	Programming	Unknown	
Cedar Creek Dormitory Kitchen Furnace Replacement	6,000	4,891	0	1,109	Pacloseout	Occupied	
Cedar Creek Burr Oak House Window Replacement	20,000	19,172	0	828	Pacloseout	Occupied	
Cedar Creek Burr Oak House Roof Replacement	14,000	12,199	(0)	1,801	Pacloseout	Occupied	
Cedar Creek Crane House Window Replacement	26,500	26,413	0	87	Pacloseout	Occupied	
Cedar Creek Chickadee Cabin Electrical Upgrade	9,750	8,566	0	1,184	Pacloseout	Occupied	
Itasca Lodging Thermal Pane Windows	44,400	0	44,400	0	Procurement	6/30/2022	
Itasca Lodging Foundation Rebuild for Reuse	624	(0)	624	0	Procurement	6/30/2022	
Arboretum Oswald Visitor Ctr Roof Replacement	116,000	109,250	6,750	0	Construction	3/31/2022	
Cloquet Critical Infrastructure Renewal	30,000	29,900	100	0	Design Development	6/30/2022	
Arboretum/Horticulture Res Ctr Well Utility Rebuild	120,000	103,813	0	16,187	Substantial Completion	Occupied	
Hubachek Well Corrections for Reliability	361,693	19,125	342,568	0	Construction	9/30/2022	
Hubachek Critical Infrastructure Renewal	35,000	0	35,000	0	Design Development	6/30/2022	
NCROC Hog Barn Boiler & Plumbing Replcmnt	153,021	153,021	0	0	Construction	8/1/2022	
NWROC Ag Res Ctr Window Replacement	75,000	55,930	19,070	0	Construction	4/30/2022	
NWROC Ag Res Ctr HVAC Controls Replcmnt	42,000	33,225	8,775	0	Construction	4/30/2022	
NWROC Farm Shop HVAC Controls Replcmnt	50,000	24,061	25,939	0	Construction	5/31/2022	
SROC Replace Underground Fuel Tanks	180,000	111,332	68,668	0	Construction	8/31/2022	
SWROC Project Balances	3,458	0	0	3,458	Programming	Unknown	
SWROC Critical Infrastructure Renewal	17,500	0	0	17,500	Programming	6/30/2021	
SWROC Cont Ed Bldg Window/Door Replcmnt	31,542	24,944	6,598	0	Construction	4/30/2022	
SWROC Res Office Bldg Window Replacement	40,000	35,902	4,098	0	Construction	4/30/2022	
WCROC Admin Bldg HVAC Controls Replcmnt	2,500	0	2,500	0	Procurement	4/30/2022	
WCROC Maintenance Shop Infrastructure Imprv	48,959	14,648	34,311	0	Design Development	6/30/2022	
Subtotal - '20 Appropriations: HEAPR Projects	38,495,000	32,597,838	4,897,071	1,000,091			
Total - 2020 State Capital Appropriations	75,381,000	65,318,963	9,061,946	1,000,091			
<u>2018 State Capital Appropriations: Major Projects</u>							
Pillsbury Hall Rehabilitation	24,000,000	22,573,547	(0)	1,426,453	Pacloseout	Occupied	
UMD Glensheen Renewal	4,000,000	2,494,615	1,505,385	0	Design/Construction	9/30/2022	
Morris Teaching and Learning Spaces	3,200,000	2,425,610	36,667	737,723	Programming/Pacloseout	Occupied	
Crookston Teaching and Learning Spaces	3,200,000	3,124,803	0	75,197	Pacloseout	2/15/2021	
Subtotal - '18 Appropriations: Major Projects	34,400,000	30,618,575	1,542,052	2,239,374			
<u>2018 State Capital Appropriations: HEAPR Projects</u>							
Completed Projects	31,567,565	31,567,565	0	0			
Health Sciences Elevator Modernization	814,028	814,028	0	0	Construction	4/30/2022	
Cooke Heat Recovery Unit Replacement	750,000	287,377	462,623	0	Construction Documents	12/1/2022	
Anderson Create Single Use Accessible Restroom	104,737	13,293	91,444	0	Procurement	6/30/2022	
Ferguson Hall Roof Replacement	400,855	400,855	0	0	Construction	9/2/2022	
Andrew Boss Lab HVAC, Life Safety, & Accessibility	10,049,722	9,918,067	(0)	131,655	Pacloseout	Occupied	

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(A) Project Name	(B) Appropriation Amount	(C) Spent and/or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
UMC Campus Wide Electrical Distribution	597,631	597,631	0	0	Construction	7/30/2022	
Cedar Creek Project Funds	3,305	0	0	3,305	Programming	Unknown	
NCROC Hog Barn Boiler & Plumbing Replacement	31,614	31,614	0	0	Construction	8/1/2022	
WCROC Replace Underground Fuel Tanks	5,047	5,047	0	(0)	Construction	6/30/2022	
Itasca Classroom Lab HVAC Replacement	14,000	6,500	7,500	0	Construction	3/31/2022	
Cloquet Septic System Renewal	661,495	646,743	0	14,752	Pacloseout	Occupied	
Subtotal - '18 Appropriations: HEAPR Projects	45,000,000	44,288,720	561,567	149,712			
Total - 2018 State Capital Appropriations	79,400,000	74,907,295	2,103,619	2,389,086			
<u>2017 State Capital Appropriations: Major Projects</u>							
UMD Chemical Science & Advanced Materials Building	24,073,677	24,073,677	0	0	Closed	Occupied	4,193,322.72 converted to 2017 HEAPR
Health Sciences Education Center	66,667,000	66,667,000	0	(0)	Pacloseout	Occupied	
Plant Growth Facility Biological Sciences Conservatory	4,329,325	4,329,325	0	(0)		3/1/2021	70,674.93 converted to 2017 HEAPR
Subtotal - '17 Appropriations: Major Projects	95,070,002	95,070,002	0	(0)			
<u>2017 State Capital Appropriations: HEAPR Projects</u>							
<u>Completed Projects</u>	21,805,599	21,805,599	0	0			
UMD SPHC Pool Mechanical Replacement	1,623,480	1,623,480	0	0	Construction	4/30/2022	Converted HEAPR - October 2020
UMD Kirby Roof Replacement	1,007,369	1,007,369	0	0	Construction	3/31/2022	Converted HEAPR - October 2020
UMD NRRRI Elevator Renewal	43,377	43,377	0	0	Construction	7/31/2022	
UMD NRRRI Coleraine HVAC	384,172	384,172	0	0	Construction	3/31/2022	Converted HEAPR - October 2020
Subtotal - '17 Appropriations: HEAPR Projects	24,863,998	24,863,998	0	0			
Total - 2017 State Capital Appropriations	119,934,000	119,934,000	0	(0)			
Grand Totals - 2017 to 2020	274,715,000	260,160,258	11,165,565	3,389,177			

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Status Report: Total Capital Appropriations 2017 to 2020

Projected 01/31/2022 - Definitions on last page

(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)
Project Name	Appropriation Amount	Spent and/or Encumbered	Obligated	(B-C-D) Unencumbered	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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(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)
Project Name	Appropriation Amount	Spent and/or Encumbered	Obligated	(B-C-D) Unencumbered	Status	Estimated Occupancy	Comments
<u>Summary of University State Capital Appropriations</u>							
<u>Total Dollars by Status</u>							
2020 Appropriations							
Major Projects	36,886,000	32,721,125	4,164,875	0			
HEAPR Projects	38,495,000	32,597,838	4,897,071	1,000,091			
Subtotal	75,381,000	65,318,963	9,061,946	1,000,091			
2018 Appropriations							
Major Projects	34,400,000	30,618,575	1,542,052	2,239,374			
HEAPR Projects	45,000,000	44,288,720	561,567	149,712			
Subtotal	79,400,000	74,907,295	2,103,619	2,389,086			
2017 Appropriations							
Major Projects	95,070,002	95,070,002	0	(0)			
HEAPR Projects	24,863,998	24,863,998	0	0			
Subtotal	119,934,000	119,934,000	0	(0)			
Major Projects	204,851,002	191,007,540	10,603,998	3,239,464			
HEAPR Projects Only	108,358,998	101,750,556	5,458,639	1,149,803			
Grand Total: 2017-2020 Appropriations	274,715,000	260,160,258	11,165,565	3,389,177			
<u>Total Percent by Status</u>							
2020 Appropriations							
Major Projects	36,886,000	89%	11%	0%			
HEAPR Projects	38,495,000	85%	13%	3%			
Subtotal	75,381,000	87%	12%	1%			
2018 Appropriations							
Major Projects	34,400,000	89%	4%	7%			
HEAPR Projects	45,000,000	98%	1%	0%			
Subtotal	79,400,000	94%	3%	3%			
2017 Appropriations							
Major Projects	95,070,002	100%	0%	0%			
HEAPR Projects	24,863,998	100%	0%	0%			
Subtotal	119,934,000	100%	0%	0%			
Major Projects	204,851,002	93%	5%	2%			
HEAPR Projects Only	108,358,998	94%	5%	1%			
Grand Total: 2017-2020 Appropriations	274,715,000	95%	4%	1%			