

Twin Cities Campus

Office of Associate Vice President
for Budget and Finance, Chief
Financial Officer and Treasurer

Office of Executive Vice President
and Provost

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MAR 11 2002

February 14, 2002

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OF MINN. LEGISLATURE

To: Rep. Jim Knoblach, Chair, House Capital Investment Committee
Rep. Peggy Leppik, Chair, House Higher Education Finance Committee
Sen. Keith Langseth, Chair, Senate Capital Investment Committee
Sen. Deanna Wiener, Chair, Senate Higher Education Budget Division
Sen. Doug Johnson, Chair, Senate Finance Committee
Pam Wheelock, Commissioner, Minnesota Department of Finance

From: Richard Pfutzenreuter *Fitz*
CFO and Treasurer, University of Minnesota

RE: Capital Appropriation Expenditure Report

As required by Minnesota Statutes 135A.046, I am forwarding you a report on the University's progress in completing projects funded by the State of Minnesota through the HEAPR statute. As has been the University's practice, this report also provides you information about our progress in completing all capital projects funded by the State.

We are pleased with the projects that have been completed and the progress in completing those remaining. All projects funded with appropriations prior to 1998 have been completed and 99% of the funds you have appropriated to the University in 1998 and 2000 have been expended or are contractually obligated with builders.

Enclosed are:

1. Summary graphs showing our progress spending capital appropriations
2. A project specific timeline for design and construction
3. A detailed financial spreadsheet for all HEAPR and major projects

If you have any specific questions, please call Mike Berthelsen at 612-626-9279.

—Minn. Stat. 135A.046 Subd. 3 —



University of Minnesota

Capital Appropriations Expenditure Report

February 15, 2002

U of M HEAPR Status



- ◆ Funding Summary: \$31 million 1998-2000
 - 2000 \$9 million
 - 1998 \$4 million

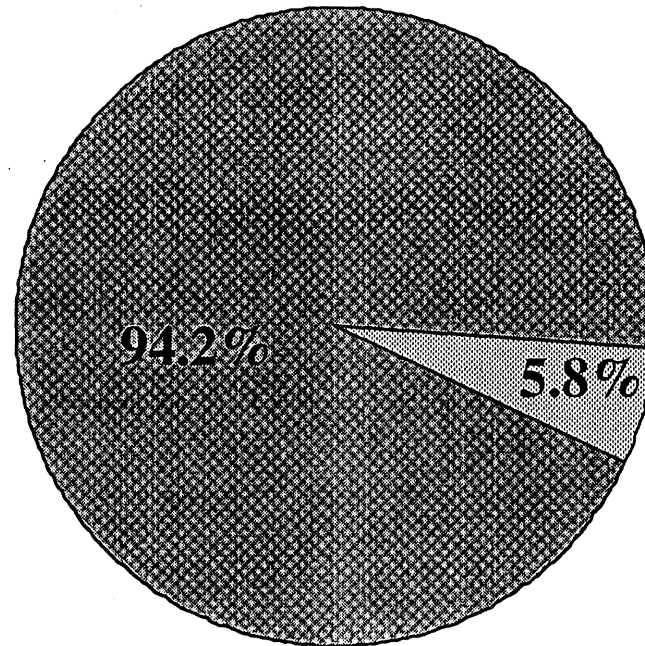
- ◆ Status January 31, 2002
 - 100 percent allocated to projects in capital budget
 - Percent of Funds Spent or Contractually Obligated
 - ◆ 2000 93.8%
 - ◆ 1998 95.1%

U of M HEAPR Status 1998 -2000



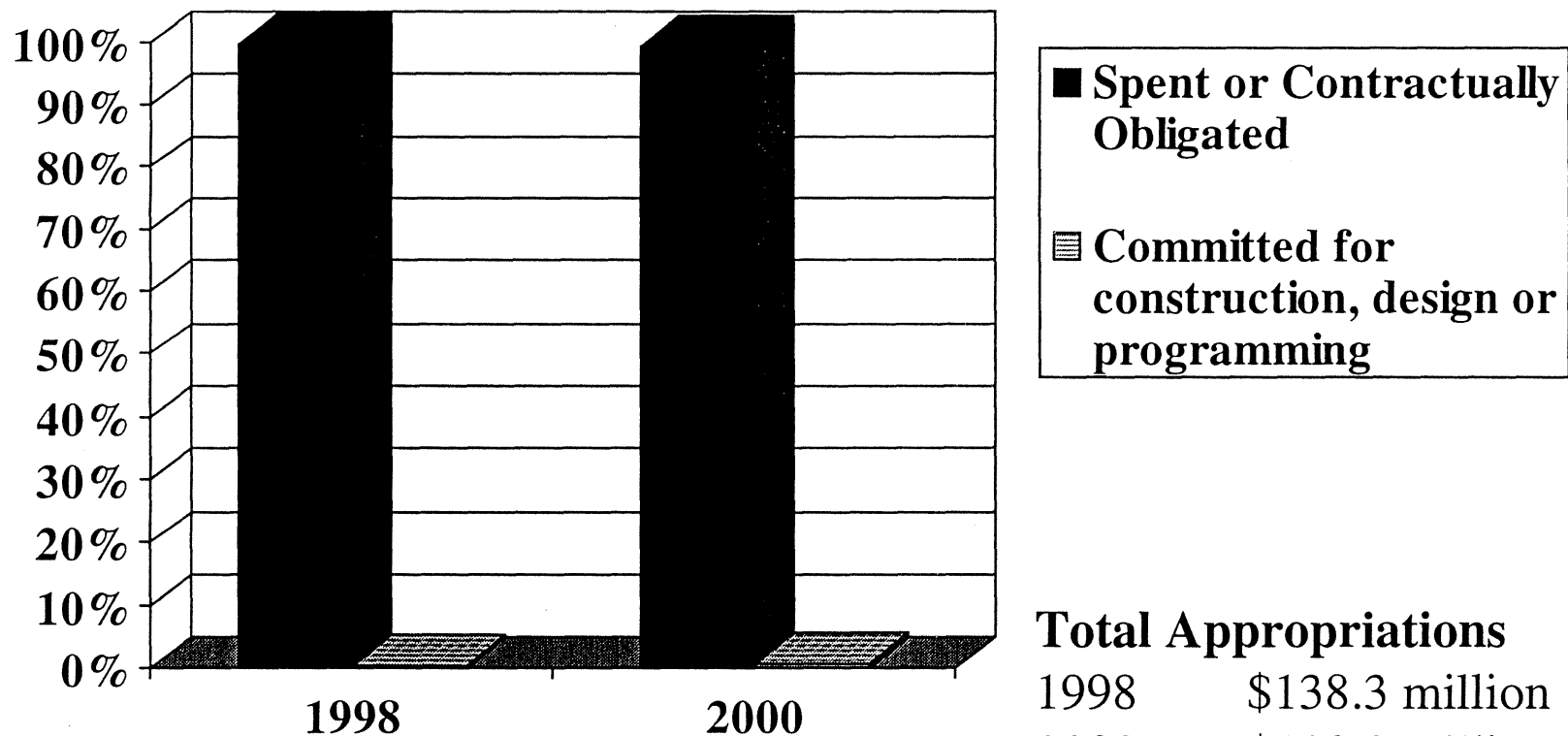
Total: \$13 million

**Spent or
Contractually
Obligated**



**Committed for construction,
design or programming**

Status of U of M Total State Capital Appropriations 1998-2000



Total Appropriations
1998 \$138.3 million
2000 \$100.2 million

Total \$238.5 million

University of Minnesota

Status Report: Total Capital Appropriations 1998 to 2000

(Projected 1/31/02) Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Contractually Obligated	(D) Committed	(E) (B-C-D) Allotted but Uncommitted	(F) Status	(G) Estimated Occupancy
2000 State Capital Appropriations: Major Projects						
MOLECULAR & CELLULAR BIOLOGY BLDG	35,000,000	35,000,000	0	0	Construction	04/01/02
ART BUILDING	18,500,000	18,500,000	0	0	Construction	05/01/03
MICROBIAL & PLANT GENOMICS BLDG	10,000,000	10,000,000	0	0	Construction	12/01/02
PLANT GROWTH FACILITIES-PHASE I	5,963,000	5,963,000	0	0	Construction	07/01/02
UMC KIEHLE BUILDING RENOV	6,500,000	6,500,000	0	0	Construction	08/01/02
UMD MUSIC PERFORMANCE CENTER	6,100,000	6,100,000	0	0	Construction	06/01/02
UMM SCIENCE & MATH BLDG RENOV	8,000,000	8,000,000	0	0	Construction	01/15/01
CLOQUET-REM FACILITIES & SEWAGE SYSTEM	300,000	300,000	0	0	Substantial Comp	Occupied
WASECA-SES SWINE RESEARCH FACILITY	850,000	850,000	0	0	Construction	01/15/01
Subtotals - '00 Research & Outreach Ctrs	1,150,000	1,150,000	0	0		
'00 HEAPR Projects						
AHC DISTRICT CHILLING	4,275,000	4,275,000	0	0	Construction	10/15/01
EMERG HAZ MATERIALS/AIR QUALITY	193,625	9,756	183,869	0	Programming	TBD
EMERG ASBESTOS ABATE/ENCAPSULATE	72,000	11,442	60,558	0	Programming	TBD
INDOOR AIR QUALITY ASSESS & IMPROV	67,000	0	67,000	0	Programming	TBD
UMC ADA ACCESS IMPROVEMENTS	30,000	18,505	11,495	0	Programming	TBD
UMC FIRE ALARM UPGRADES & NETWK	180,000	65,805	114,195	0	Programming	TBD
UMC HAZARDOUS WASTE STORAGE FAC	65,000	65,000	0	0	Substantial Comp	02/15/02
UMM CAMDEN HALL UTILITY TUNNEL	440,000	440,000	0	0	Substantial Comp	12/15/01
FACULTY/STAFF/STUDENT ACCOM FUND	30,000	30,000	0	0	Programming	TBD
HORTICULTURE RESEARCH FUME HOOD	60,000	60,000	0	0	Substantial Comp	09/30/01
SOCIAL SCIENCE SPRINKLER-DESIGN	250,000	250,000	0	0	Substantial Comp	10/01/01
UMD ADA SIGNAGE UPGRADES	65,000	65,000	0	0	Construction	TBD
UMD BUILDING SEPARATIONS-PHASE I	500,000	500,000	0	0	Construction	TBD
ELEVATOR INSTALLATION - SCOTT HALL	370,000	370,000	0	0	Construction	04/01/02
ENVIRON AIR QUALITY ASSESS-MCNEAL	83,000	83,000	0	0	Construction	12/31/01
AMUNDSON HALL SPRINKLER SYST 4TH FL	100,000	100,000	0	0	Substantial Comp	12/31/01
SURGERY VENTILATION STUDY-RAPTOR	5,000	5,000	0	0	Pre-Design	02/15/02
BIERMAN-REMOVAL OF TARTAN FLOORING	30,000	30,000	0	0	Construction	03/31/02
MOOS HIGH PRESS ABSORBER	1,000,000	1,000,000	0	0	Substantial Comp	07/15/02
SARITA WETLAND STUDY	3,900	3,900	0	0	Pre-Design	04/15/02
UMC HEATING PLANT STACK REPAIR	120,000	0	120,000	0	Design Dev	TBD
UMC SELVIG HALL CRAWLSPACE	43,000	43,000	0	0	Construction	06/15/02
MAYO BUILDING CRAWLSPACE	35,000	35,000	0	0	Construction	06/15/02
Completed Projects	982,475	982,475	0			
Subtotals - '00 HEAPR	9,000,000	8,442,882	557,118	0		
Total - 2000 Appropriations	100,213,000	99,655,882	557,118	0		

University of Minnesota

Status Report: Total Capital Appropriations 1998 to 2000
(Projected 1/31/02) Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Contractually Obligated	(D) Committed	(E) (B-C-D) Allotted but Uncommitted	(F) Status	(G) Estimated Occupancy
1998 State Capital Appropriations: Major Projects						
FOLWELL HALL RENOVATION	690,000	392,253	297,747	0	Schematics Comp	On Hold
WALTER DIGITAL TECH CTR	53,600,000	53,600,000	0	0	Substantial Comp	02/15/02
PLANT GROWTH FACILITIES PH I	900,000	900,000	0	0	Construction	07/01/02
UMD ACADEMIC SPACE REN: DESIGN	200,000	150,000	50,000	0	Predesign	TBD
<i>Completed Projects</i>	67,030,000	67,030,000	0	0		
98 DIGITAL & UTILITY INFRASTRUCTURE	3,500,000	3,500,000	(0)	(0)	Various	Various
98 EXPERIMENT STATIONS	4,400,000	4,400,000	0	0	Substantial Comp	Occupied
UMC EARLY CHILD DEV CTR	1,391,500	1,391,500	0	0	Substantial Comp	Occupied
UMC KNUTSON H REMODEL	760,000	760,000	0	0	Substantial Comp	Occupied
UMC OWEN H ADD & REMODEL	728,600	728,600	0	0	Substantial Comp	Occupied
UMC UTOC STABLE EXPANSION	919,900	919,900	0	0	Substantial Comp	Occupied
UMC KIEHLE BLDG RENOV: DESIGN	180,000	180,000	0	0	Construction	08/01/02
Subtotals - '98 Crookston	3,980,000	3,980,000	0	0		
'98 HEAPR Projects						
MAYO SPRINKLER - PHASE 2	1,266,074	1,266,074	0	0	Construction	02/01/02
UMC HEATING PLANT STACK REPAIR	196,544	0	196,544	0	Design Dev	TBD
AMUNDSON COMPRESSED GAS STOR FAC	88,315	88,315	0	0	Construction	01/15/02
ELEVATOR INSTALLATION - SCOTT HALL	136,465	136,465	0	0	Construction	04/01/02
<i>Completed Projects</i>	2,312,601	2,312,601	0	0		
Subtotals - '98 HEAPR	4,000,000	3,803,455	196,544	0		
Total - 1998 Appropriations	138,300,000	137,755,708	544,291	(0)		
Grand Totals	238,513,000	237,411,590	1,101,410	(0)		

NOTE: All capital appropriations prior to 1998 have been expended or returned to the State. The only exception being \$37,338 for Haecker Hall which has yet to be billed to the University.

University of Minnesota

Status Report: Total Capital Appropriations 1998 to 2000
(Projected 1/31/02) Definitions on last page

(A)	(B)	(C)	(D)	(E)	(F)	(G)
Project Name	Appropriation Amount	Spent or Contractually Obligated	Committed	(B-C-D) Allotted but Uncommitted	Status	Estimated Occupancy

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 Contractually Obligated. The amount the University has paid or will spend to complete projects that have been awarded and have signed contracts.
- D. Committed: This includes three categories.
 - a. Project scope has been defined and project design is under contract to develop a project to meet the budget. "Committed" equals the forecast project cost based upon the predesign estimate.
 - b. Pre-bid estimate has been completed and bids are being prepared. "Committed" equals the forecast project cost based upon the pre-bid estimate.
 - c. Project is under construction. The "committed" equals the forecasted project cost through close-out.
- E. Uncommitted: The balance of the appropriation, which has been allotted to a specific project, but has not been spent, encumbered, or pre-encumbered.

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: Evaluating alternatives for meeting the project program and establishing the general size, shape, and massing of building elements; exterior finishes; and design criteria for structural, mechanical, and electrical systems.
- c. Design Development: Developing the preliminary design into a detailed design 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. Closeout: Making final payments to contractors and vendors, closing all contracts, and preparing the final project accounting.

University of Minnesota

Status Report: Total Capital Appropriations 1998 to 2000
(Projected 1/31/02) Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Contractually Obligated	(D) Committed	(E) (B-C-D) Allotted but Uncommitted	(F) Status	(G) Estimated Occupancy
<u>Summary of University State Capital Appropriations</u>						
2000 Appropriations						
HEAPR Projects	9,000,000	8,442,882	557,118	0		
Major Projects	91,213,000	91,213,000	0	0		
Subtotal	100,213,000	99,655,882	557,118	0		
1998 Appropriations						
HEAPR Projects	4,000,000	3,803,455	196,544	0		
Major Projects	134,300,000	133,952,253	347,747	(0)		
Subtotal	138,300,000	137,755,708	544,291	(0)		
Grand Total: 1998-2000 Appropriations	238,513,000	237,411,590	1,101,410	(0)		
HEAPR Projects Only	13,000,000	12,246,337	753,662	0		
2000 Appropriations						
HEAPR Projects	9,000,000	93.8%	6.2%	0.0%		
Major Projects	91,213,000	100.0%	0.0%	0.0%		
Subtotal	100,213,000	99.4%	0.6%	0.0%		
1998 Appropriations						
HEAPR Projects	4,000,000	95.1%	4.9%	0.0%		
Major Projects	134,300,000	99.7%	0.3%	0.0%		
Subtotal	138,300,000	99.6%	0.4%	0.0%		
Grand Total: 1998-2000 Appropriations	238,513,000	99.5%	0.5%	0.0%		
HEAPR Projects Only	13,000,000	94.2%	5.8%	0.0%		