

# Capital Appropriations Expenditure Report

In fulfillment of MN 135A.046 subd. 3

December 2022



UNIVERSITY OF MINNESOTA

**Driven to Discover®**

# 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	\$ 32,249,374	100%	100%	\$2,150,626 converted to 2018 HEAPR
2019	\$ -	na	na	No appropriation
2020	\$ 36,886,000	96%	96%	

## 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	\$ 47,150,626	100%	100%	\$2,150,626 converted to 2018 HEAPR
2019	\$ -	na	na	No appropriation
2020	\$ 38,495,000	89%	94%	

## 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.

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## **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.

# University of Minnesota

Status Report: Total Capital Appropriations 2017 to 2020  
As of 11/30/2022 - 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
<b><u>2020 State Capital Appropriations: Major Projects</u></b>							
Institute of Child Development Bldg Replacement	29,200,000	27,908,403	(0)	1,291,597	Substantial Completion	8/17/2022	
Fraser Hall Chemistry Undergraduate Teaching Facility	3,286,000	3,286,000	0	0	Procurement	9/1/2025	Construction not funded yet
A.B. Anderson Hall Renovation	4,400,000	4,400,000	0	0	Construction	1/6/2023	
<b>Subtotal - '20 Appropriations: Major Projects</b>	<b>36,886,000</b>	<b>35,594,403</b>	<b>(0)</b>	<b>1,291,597</b>			
<b><u>2020 State Capital Appropriations: HEAPR Projects</u></b>							
<b>Completed Projects</b>	8,705,627	8,705,627	0	(0)			
Campuswide Emergency Renewal	1,794,445	0	0	1,794,445	Programming	Unknown	
Pattee Hall Roof Replacement	286,452	98,051	188,401	0	Construction	7/23/2023	
Elliott Hall Accessible Restroom	54,548	32,804	21,744	0	Construction	3/31/2023	
VCRC Roof Repairs	530,329	520,366	0	9,963	Pacloseout	Occupied	
PWB Generator & Fire Pump Replacement	16,624	13,974	2,651	0	Construction Documents	9/30/2023	
Weisman Automatic Fire Suppression System	1,705,181	1,653,496	(0)	51,685	Substantial Completion	Occupied	
NHH Fume Exhaust Replacement	1,000,000	0	1,000,000	0	Procurement	9/1/2023	
Ferguson Hall Roof Replacement	1,768,524	1,700,861	(0)	67,663	Substantial Completion	Occupied	
Mech Eng Phase III Renewal	11,829,611	11,790,400	(0)	39,211	Pacloseout	Occupied	
Campuswide Elevator Renewal	1,000,000	1,000,000	0	0	Construction	5/31/2023	
Biosystems & Ag Eng Roof Replacement	635,672	471,745	0	163,927	Substantial Completion	Occupied	
Haecker Hall Roof Replacement	1,657,835	1,654,944	(0)	2,891	Pacloseout	Occupied	
Food Science & Nutrition Bldg Infrastructure	100,000	96,338	3,662	0	Design Development	3/31/2023	
Animal Sci/Vet Med Accessible Restroom	195,452	158,384	37,068	0	Construction	6/30/2023	
Ecology Building Exterior Leak Corrections	61,500	51,410	10,090	0	Design Development	3/31/2023	
UMD Sports & Health Ctr HVAC Phase II	1,720,118	1,720,118	0	0	Pacloseout	Occupied	
UMD AB Anderson Hall Asbestos Abatement	646,504	640,000	6,504	0	Construction	3/31/2023	
UMD Lund UST Replacement	685,280	685,280	0	0	Construction	7/31/2023	
UMD Med School Generator Replacement	129,508	31,600	97,908	0	Construction Documents	6/30/2023	
UMM Campuswide Controls Renewal Phase II	109,500	87,907	21,593	0	Construction	3/31/2023	
UMM HVAC and Chiller Renewal	182,874	159,878	22,996	0	Construction	3/31/2023	
UMM Electronic Door Access/Security	138,968	126,103	12,865	0	Construction	3/31/2023	
UMM Sewer Replacement & Water Service Repairs	123,719	123,719	0	0	Construction	3/31/2023	
UMM Instal New Lift Station	38,000	38,000	0	0	Schematic Design	3/31/2023	
UMM Multi-Ethnic Res Ctr Elev Installation-Design	75,000	72,125	2,875	0	Design Development	3/31/2023	
UMM Behmler Hall Tunnel HVAC Upgrades	30,000	26,795	3,205	0	Construction	3/31/2023	
UMM Student Ctr Sprinkler/Fire Panel/Pump Repairs	234,659	234,659	0	(0)	Construction	3/31/2023	
UMM Science Building HVAC Repairs	101,017	100,967	50	0	Construction	3/31/2023	
UMM Briggs Library HVAC Controls	242,000	242,000	0	(0)	Construction	3/31/2023	
UMM Cougar Sports Ctr Gym Flooring & Bleachers	1,341	0	1,341	0	Construction	3/31/2023	
UMM Heating Plant Chiller Control Panel	248,316	206,448	41,868	0	Construction	3/31/2023	
UMM Dining Hall Generator Connection	5,500	0	5,500	0	Schematic Design	3/31/2023	
UMM Humanities Fine Arts Membrane Roof Replc	39,000	25,000	14,000	0	Procurement	7/31/2023	
UMM HFA Mechanical Upgrades	15,000	15,000	0	0	Construction	3/31/2023	
Crookston Project Balances	49,370	0	0	49,370	Programming	Unknown	

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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 Phase 3	659,658	659,658	0	0	Construction	7/31/2023	
UMC Central Mall/North Quadrant Watermain Imprvmnts	219,337	216,374	(0)	2,963	Substantial Completion	Occupied	
UMC Owen Hall Exterior Façade, Window/Door Replc	304,500	286,022	0	18,478	Substantial Completion	Occupied	
UMC Owen Hall Fire Suppression & Code Imprvmnts	41,500	38,602	0	2,898	Pacloseout	Occupied	
NCROC Hog Barn Boiler & Plumbing Replcmnt	153,021	153,021	0	0	Construction	3/31/2023	
NCROC Admin Bldg Heating & Cooling RTU Replacemnt	50,000	0	50,000	0	Design Development	6/30/2023	
SWROC Project Balances	20,000	0	0	20,000	Programming	Unknown	
SWROC Shop Overhead Door Replacement	25,000	0	25,000	0	Procurement	4/30/2023	
WCROC Maintenance Shop Infrastructure Imprv	38,959	15,324	23,635	0	Design Development	3/31/2023	
WCROC Replace Underground Fuel Tanks	127,827	127,827	0	0	Construction	3/31/2023	
NWROC Project Balances	32,755	0	0	32,755	Programming	Unknown	
SROC Replace Underground Fuel Tanks	130,000	117,053	12,947	0	Construction	3/31/2023	
HRC Root Cellar Door Replacement	17,000	0	17,000	0	Construction	4/30/2023	
Itasca Lodging Thermal Pane Windows	39,322	0	39,322	0	Procurement	3/31/2023	
Itasca Workshop Window Replacement	5,702	5,702	0	0	Construction	1/31/2023	
Cloquet Critical Infrastructure Renewal	30,000	29,900	100	0	Construction Documents	3/31/2023	
Cedar Creek Drying Barn HVAC Replacement	19,669	276	19,392	0	Construction	3/31/2023	
Cedar Creek Entry Door Replacement	26,582	13,011	13,570	0	Construction	3/31/2023	
Hubachek Well Corrections for Reliability	324,743	66,516	258,227	0	Construction	6/30/2023	
Hubachek Critical Infrastructure Renewal	35,000	25,750	9,250	0	Construction Documents	6/30/2023	
Hubachek Domestic Water Distribution	36,950	36,950	0	0	Design Development	3/31/2023	
<b>Subtotal - '20 Appropriations: HEAPR Projects</b>	<b>38,495,000</b>	<b>34,275,987</b>	<b>1,962,763</b>	<b>2,256,250</b>			
<b>Total - 2020 State Capital Appropriations</b>	<b>75,381,000</b>	<b>69,870,390</b>	<b>1,962,763</b>	<b>3,547,847</b>			
<b><u>2018 State Capital Appropriations: Major Projects</u></b>							
Pillsbury Hall Rehabilitation	22,638,137	22,638,137	0	0	Pacloseout	Occupied	1,361,863.19 was converted to HEAPR
UMD Glensheen Renewal	4,000,000	4,000,000	0	0	Construction	4/30/2023	
Morris Teaching and Learning Spaces	2,451,578	2,445,304	0	6,275	Substantial Completion	Occupied	748,421.64 was converted to HEAPR
Crookston Teaching and Learning Spaces	3,159,658	3,159,658	0	0	Pacloseout	2/15/2021	40,341.65 was converted to HEAPR
<b>Subtotal - '18 Appropriations: Major Projects</b>	<b>32,249,374</b>	<b>32,243,099</b>	<b>0</b>	<b>6,275</b>			
<b><u>2018 State Capital Appropriations: HEAPR Projects</u></b>							
<b>Completed Projects</b>	<b>46,173,358</b>	<b>46,173,358</b>	<b>0</b>	<b>0</b>			
Pattee Hall Roof Replacement	428,548	428,548	0	0	Construction	7/30/2023	
Elliott Hall Accessible Restroom Upgrade	93,581	93,581	0	0	Construction	6/30/2023	
UMM Cougar Sports Ctr Gym Flooring & Bleachers	444,666	444,666	0	0	Construction	3/31/2023	
Itasca Workshop Window Replacement	7,500	7,500	0	0	Construction	3/31/2023	
Cedar Creek Entry Door Replacement	2,974	2,974	0	0	Construction	3/31/2023	
<b>Subtotal - '18 Appropriations: HEAPR Projects</b>	<b>47,150,626</b>	<b>47,150,626</b>	<b>0</b>	<b>0</b>			

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<b>Total - 2018 State Capital Appropriations</b>	<b>79,400,000</b>	<b>79,393,725</b>	<b>0</b>	<b>6,275</b>			
<b><u>2017 State Capital Appropriations: Major Projects</u></b>							
<b>Subtotal - '17 Appropriations: Major Projects</b>	<b>95,070,002</b>	<b>95,070,002</b>	<b>0</b>	<b>(0)</b>			
<b><u>2017 State Capital Appropriations: HEAPR Projects</u></b>							
<b>Subtotal - '17 Appropriations: HEAPR Projects</b>	<b>24,863,998</b>	<b>24,863,998</b>	<b>0</b>	<b>0</b>			
<b>Total - 2017 State Capital Appropriations</b>	<b>119,934,000</b>	<b>119,934,000</b>	<b>0</b>	<b>(0)</b>			
<b>Grand Totals - 2017 to 2020</b>	<b>274,715,000</b>	<b>269,198,115</b>	<b>1,962,763</b>	<b>3,554,121</b>			



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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

**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) Project Name	(B) Appropriation Amount	(C) Spent and/or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
<b>Summary of University State Capital Appropriations</b>							
<b>Total Dollars by Status</b>							
2020 Appropriations							
Major Projects	36,886,000	35,594,403	(0)	1,291,597			
HEAPR Projects	38,495,000	34,275,987	1,962,763	2,256,250			
Subtotal	75,381,000	69,870,390	1,962,763	3,547,847			
2018 Appropriations							
Major Projects	32,249,374	32,243,099	0	6,275			
HEAPR Projects	47,150,626	47,150,626	0	0			
Subtotal	79,400,000	79,393,725	0	6,275			
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)			
<b>Major Projects</b>	202,700,376	197,183,491	1,962,763	3,554,121			
<b>HEAPR Projects Only</b>	110,509,624	106,290,611	1,962,763	2,256,250			
<b>Grand Total: 2017-2020 Appropriations</b>	274,715,000	269,198,115	1,962,763	3,554,121			
<b>Total Percent by Status</b>							
2020 Appropriations							
Major Projects	36,886,000	96%	0%	4%			
HEAPR Projects	38,495,000	89%	5%	6%			
Subtotal	75,381,000	93%	3%	5%			
2018 Appropriations							
Major Projects	32,249,374	100%	0%	0%			
HEAPR Projects	47,150,626	100%	0%	0%			
Subtotal	79,400,000	100%	0%	0%			
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%			
<b>Major Projects</b>	202,700,376	97%	1%	2%			
<b>HEAPR Projects Only</b>	110,509,624	96%	2%	2%			
<b>Grand Total: 2017-2020 Appropriations</b>	274,715,000	98%	1%	1%			