

Capital Appropriations Expenditure Report

In fulfillment of MN 135A.046 subd. 3

January 2020



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
2015	\$ 26,529,000	100%	100%	\$814,539 balance from 'Poultry Testing Lab' (E815PTL) converted to HEAPR per Statute
2016	\$ -	na	na	No appropriation
2017	\$ 99,334,000	92%	98%	
2018	\$ 34,400,000	65%	88%	\$4M for UMD Glensheen is uncommitted
2019	\$ -	na	na	No appropriation

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
2015	\$ -	100%	100%	No appropriation; \$814,539 balance from 'Poultry Testing Lab' (E815PTL) converted to HEAPR per Statute
2016	\$ -	na	na	No appropriation
2017	\$ 20,600,000	93%	94%	
2018	\$ 45,000,000	88%	97%	
2019	\$ -	na	na	No appropriation

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 2015 to 2018

Projected 01/31/2020 - 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
2018 State Capital Appropriations: Major Projects							
Pillsbury Hall Rehabilitation	24,000,000	19,366,071	4,633,929	0	Construction	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	2,579,242	352,982	267,777	Construction/Sub Comp	5/31/2020	
Crookston Teaching and Learning Spaces	3,200,000	446,153	2,753,847	0	Procurement	8/21/2020	
Subtotal - '18 Appropriations: Major Projects	34,400,000	22,391,466	7,740,758	4,267,777			
2018 State Capital Appropriations: HEAPR Projects							
Completed Projects	16,966,020	16,966,020	0	(0)			
UMTC Emergency Renewal	1,787,649	0	1,300,000	487,649	Programming	Unknown	
ADA Projects	47,649	0	0	47,649	Programming	Unknown	
Cooke Heat Recovery Unit Replacement	750,000	192,720	557,280	0	Construction Documents	8/31/2020	
PWB Fire Alarm System Upgrade	5,511,432	5,511,432	0	0	Construction	12/30/2019	
Anderson Accessible Restroom Upgrade	16,708	14,379	2,329	0	Design Development	8/31/2019	
Humphrey Partial Roof, Skylight & Tuckpointing	3,000,000	2,689,993	0	310,007	PA Closeout	9/10/2019	
2019 Twin Cities Elevator Modernization	1,500,000	1,500,000	0	0	Substantial Completion	10/18/2019	
Green Hall Accessible Restroom Upgrade	87,265	79,196	0	8,069	PA Closeout	12/31/2019	
Alderman Room 405 Predesign	127,000	0	127,000	0	Procurement	3/31/2020	
Biological Sciences Heat Recovery	521,000	0	521,000	0	Schematic Design	8/7/2020	
Vet Med South Accessible Restroom Upgrade	71,378	68,579	2,799	0	Construction	3/31/2020	
Andrew Boss Lab HVAC, Life Safety, & Accessibility	10,049,722	9,473,286	576,436	0	Construction	6/19/2020	
Skok Hall Accessible Restroom Upgrades	100,000	54,375	0	45,625	PA Closeout	12/31/2019	
UMD Ward Wells Fieldhouse Floor Replacement	1,700,000	1,628,981	(0)	71,019	PA Closeout	9/5/2019	
UMD NRRI Elevator Modernization	95,000	85,333	9,667	0	Design Development	1/31/2020	
UMM Campus Wide Controls Upgrade	153,779	55,053	98,726	0	Construction	3/31/2020	
UMM Blakely Hot Water Converter Upgrade	801,233	797,355	3,878	0	Construction	3/31/2020	
UMM HFA Art Room Safety Upgrades	21,063	2,358	18,705	0	Construction	3/31/2020	
UMC Campus Wide Electrical Distribution	597,631	365,341	(0)	232,290	Substantial Completion	8/31/2019	
Cedar Creek Critical Infrastructure Needs	5,438	0	0	5,438	Programming	Unknown	
Cedar Creek Dorm Boiler/Water Heater Replacement	14,500	1,751	12,749	0	Construction	2/28/2020	
Cedar Creek Chickadee Cabin Roof Replacement	24,000	20,775	0	3,225	PA Closeout	11/18/2019	
Cedar Creek Lodging Septic Replacement	10,500	9,374	0	1,126	PA Closeout	10/25/2019	
Itasca New Well for Building 41	11,759	0	11,759	0	Construction	6/30/2020	
Itasca Sewer Line to Existing Building	12,230	0	12,230	0	Construction	6/30/2020	
Itasca Classroom Lab HVAC Replacement	14,000	0	14,000	0	Construction	3/31/2020	
Itasca Men's Bathhouse LED Light Upgrades	12,000	11,875	125	0	Construction	3/31/2020	
Itasca Lodging & Labs HVAC & Plumbing Replacement	31,044	5,168	0	25,876	PA Closeout	11/12/2019	
Cloquet Septic System Renewal	640,000	26,862	613,138	0	Design Development	7/20/2020	
NWROC Dust Emission Mitigation	200,000	0	160,000	40,000	Design Development	4/30/2020	
WCROC Farrowing Bldg Make-Up Air Unit Replcmnt	16,381	0	16,381	0	Construction	4/30/2020	
WCROC Maint Shop Infrastructure	86,264	78,460	7,804	0	Construction	3/31/2020	
WCROC Cold Storage Bldg Exterior Door Replcmnt	17,355	0	17,355	0	Construction	4/30/2020	
Subtotal - '18 Appropriations: HEAPR Projects	45,000,000	39,638,668	4,083,359	1,277,973			

University of Minnesota

Status Report: Total Capital Appropriations 2015 to 2018

Projected 01/31/2020 - 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
Total - 2018 State Capital Appropriations	79,400,000	62,030,134	11,824,116	5,545,750			
<u>2017 State Capital Appropriations: Major Projects</u>							
UMD Chemical Science & Advanced Materials Building	28,267,000	26,491,542	0	1,775,458	Substantial Completion	12/21/2018	
Health Sciences Education Center	66,667,000	60,843,499	5,823,501	0	Construction	4/1/2020	
Plant Growth Facility Biological Sciences Conservatory	4,400,000	4,259,322	(0)	140,678	Substantial Completion	6/22/2019	
Subtotal - '17 Appropriations: Major Projects	99,334,000	91,594,363	5,823,501	1,916,137			
<u>2017 State Capital Appropriations: HEAPR Projects</u>							
<u>Completed Projects</u>	10,161,794	10,161,794	0	(0)			
UMTC HEAPR Projects	242,200	0	0	242,200	Programming	Unknown	
Moos Tower North Plaza Water Infiltration	214,000	143,899	70,101	0	Construction Documents	6/30/2020	
KE Emergency ATS Replacement	65,000	0	65,000	0	Construction	6/30/2020	
Wiley Hall Roof & Skylight Replacement	2,390,000	2,390,000	0	0	Substantial Completion	10/18/2019	
Andersen Library Ground Water Piping Repairs	100,000	99,395	0	605	Pacloseout	11/30/2019	
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	3,219,164	0	810,836	Pacloseout	8/31/2019	
Ruttan Hall Window, Skylight, Ext Door Replcmnt	3,200,000	3,098,617	0	101,383	Pacloseout	Occupied	
SWROC HEAPR Projects	3,458	0	0	3,458	Programming	Unknown	
HRC HEAPR Projects	35,177	0	0	35,177	Programming	Unknown	
HRC Offices Mound Septic System	40,000	0	40,000	0	Construction	5/31/2020	
NWROC Septic System Renewal	35,000	2,649	32,351	0	Construction	5/31/2020	
Subtotal - '17 Appropriations: HEAPR Projects	20,600,000	19,184,516	221,824	1,193,660			
Total - 2017 State Capital Appropriations	119,934,000	110,778,879	6,045,325	3,109,796			

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Status Report: Total Capital Appropriations 2015 to 2018

Projected 01/31/2020 - 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
<u>2015 State Capital Appropriations: Major Projects</u>							
<i>Completed Projects</i>	25,714,461	25,714,461	0	0			
Subtotal - '15 Appropriations: Major Projects	25,714,461	25,714,461	0	0			
<u>2015 State Capital Appropriations: HEAPR Projects</u>							
<i>Completed Projects</i>	814,539	814,539	0	(0)			
Subtotal - '15 Appropriations: HEAPR Projects	814,539	814,539	0	(0)			
Total - 2015 State Capital Appropriations	26,529,000	26,529,000	0	(0)			
Grand Totals - 2015 to 2018	225,863,000	199,338,013	17,869,441	8,655,546			

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Status Report: Total Capital Appropriations 2015 to 2018

Projected 01/31/2020 - 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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Status Report: Total Capital Appropriations 2015 to 2018

Projected 01/31/2020 - 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
Summary of University State Capital Appropriations							
<u>Total Dollars by Status</u>							
2018 Appropriations							
Major Projects	34,400,000	22,391,466	7,740,758	4,267,777			
HEAPR Projects	45,000,000	39,638,668	4,083,359	1,277,973			
Subtotal	79,400,000	62,030,134	11,824,116	5,545,750			
2017 Appropriations							
Major Projects	99,334,000	91,594,363	5,823,501	1,916,137			
HEAPR Projects	20,600,000	19,184,516	221,824	1,193,660			
Subtotal	119,934,000	110,778,879	6,045,325	3,109,796			
2015 Appropriations							
Major Projects	25,714,461	25,714,461	0	0			
HEAPR Projects	814,539	814,539	0	(0)			
Subtotal	26,529,000	26,529,000	0	(0)			
Major Projects	159,448,461	139,700,290	13,564,258	6,183,913			
HEAPR Projects Only	66,414,539	59,637,723	4,305,183	2,471,633			
Grand Total: 2015-2018 Appropriations	225,863,000	199,338,013	17,869,441	8,655,546			
<u>Total Percent by Status</u>							
2018 Appropriations							
Major Projects	34,400,000	65%	23%	12%			
HEAPR Projects	45,000,000	88%	9%	3%			
Subtotal	79,400,000	78%	15%	7%			
2017 Appropriations							
Major Projects	99,334,000	92%	6%	2%			
HEAPR Projects	20,600,000	93%	1%	6%			
Subtotal	119,934,000	92%	5%	4%			
2015 Appropriations							
Major Projects	25,714,461	100%	0%	0%			
HEAPR Projects	814,539	100%	0%	0%			
Subtotal	26,529,000	100%	0%	0%			
Major Projects	159,448,461	88%	9%	4%			
HEAPR Projects Only	66,414,539	90%	6%	4%			
Grand Total: 2015-2018 Appropriations	225,863,000	88%	8%	4%			