

UNIVERSITY OF MINNESOTA

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February 15, 2012

To: Representative Larry Howes, Chair, Capital Investment Committee
Representative Bud Nornes, Chair, Higher Education Policy and Finance Committee
Representative Mary Liz Holberg, Chair, Ways and Means Committee
Senator David Senjem, Chair, Capital Investment Committee
Senator Claire Robling, Chair, Finance Committee
Senator Michelle Fischbach, Chair, Higher Education Policy and Finance Committee
Commissioner Jim Schowalter, Minnesota Management and Budget

From: Richard Pfutzenreuter
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.

If you have any specific questions, please call Brian Swanson at 612-625-6665.

University of Minnesota

Capital Appropriations Expenditure Report

2012

Total Allocation Status

Year	Full Allocation	Percent Spent, Encumbered or Obligated	Comments
2006	\$85.7 million	100%	
2008	\$105.2 million	100%	
2009	\$25.4 million	100%	
2010	\$89.7 million	98%	
2011	\$88.8 million	93%	

Definitions

Allocation: The Legislative appropriation for each project.

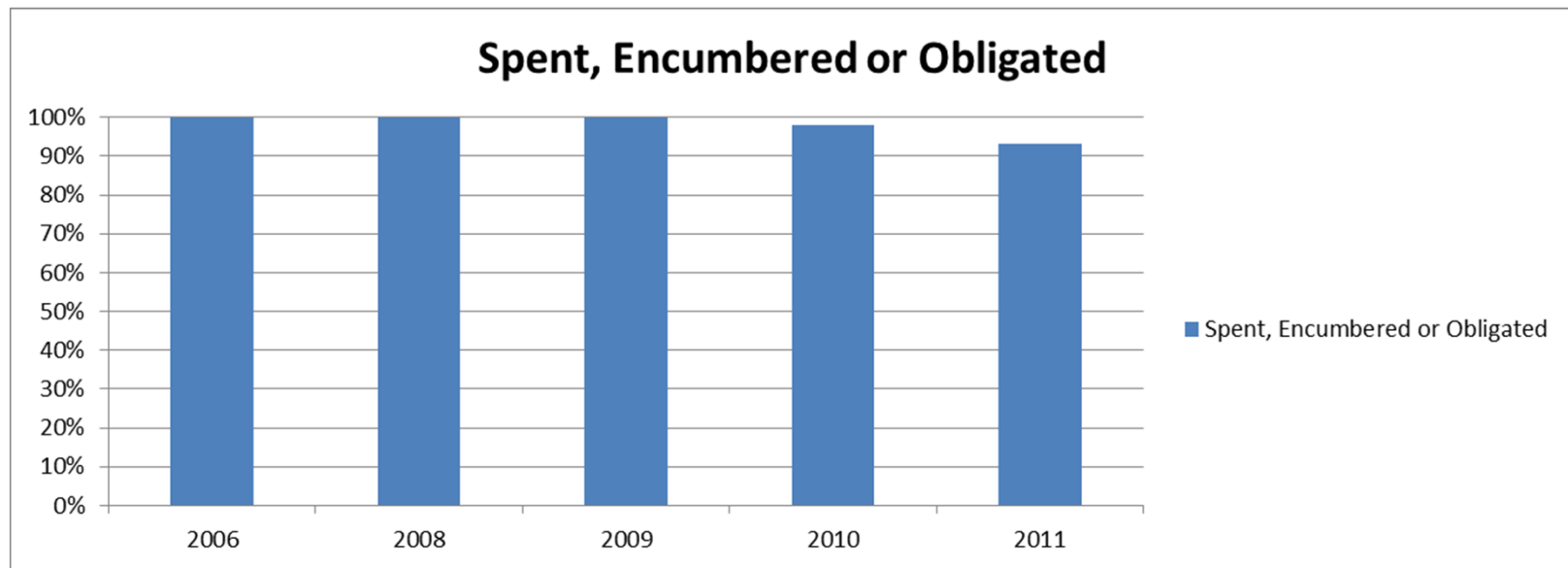
Spent: The amount the University has paid to contractors from signed contracts.

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.

Total Allocation Status



HEAPR Allocation Status

Year	HEAPR Allocation	Percent Spent, Encumbered or Obligated	Comments
2006	\$30 million	100%	
2008	\$38 million	100%	Includes \$3 million of HEAPR from converted project funds
2009	\$25 million	100%	
2010	\$57.5 million	98%	Includes \$1.5 million of HEAPR from converted project funds
2011	\$25 million	91%	

Definitions

Allocation: The Legislative appropriation for each project.

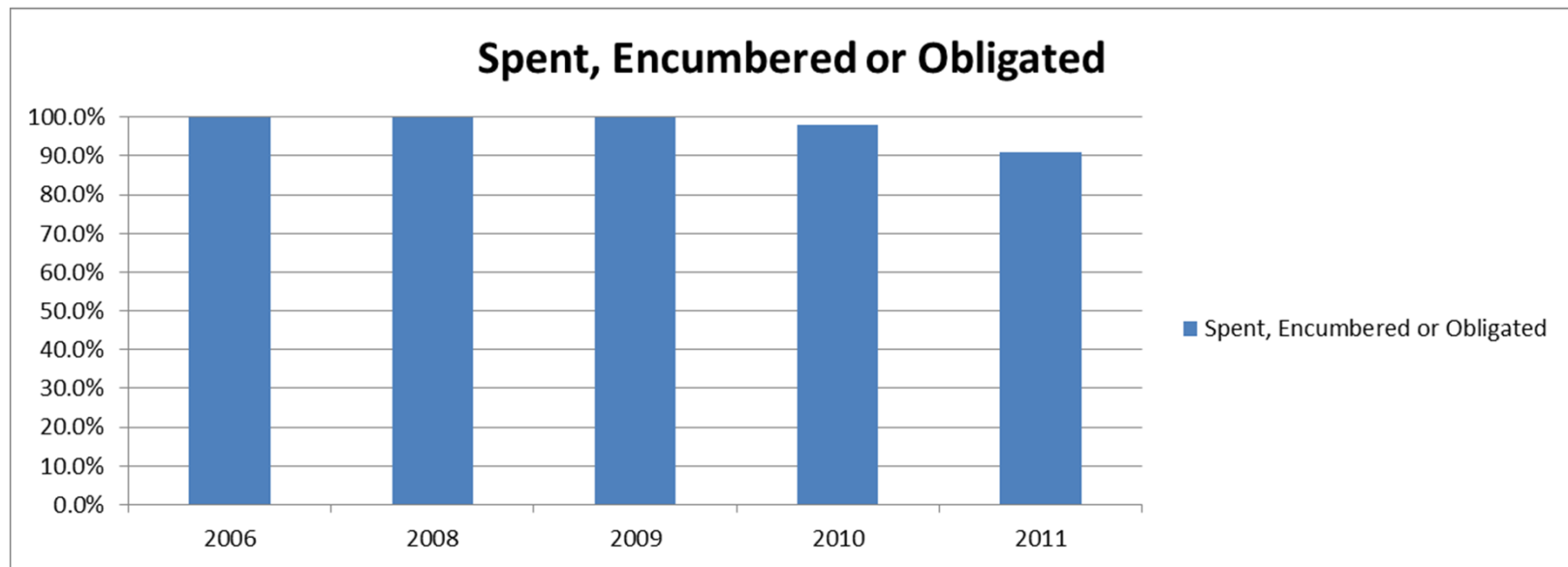
Spent: The amount the University has paid to contractors from signed contracts.

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.

HEAPR Allocation Status



University of Minnesota

Status Report: Total Capital Appropriations 2006 to 2011

Projected as of 02/15/12 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2011 State Capital Appropriations: Major Projects							
Completed Projects							
	12,500,000	12,500,000	0	0			
PHYSICS AND NANOTECHNOLOGY BUILDING	51,333,000	44,170,028	3,646,494	3,516,478	Construction	11/27/2013	
Subtotal - '11 Appropriations: Major Projects	63,833,000	56,670,028	3,646,494	3,516,478			
2011 State Capital Appropriations: HEAPR Projects							
SCOTT HALL ELEVATOR	300,000	196,372	55,628	48,000	Programming	4/1/2013	
NOLTE CENTER NEW ELEVATOR	300,000	181,482	63,718	54,800	Programming	4/1/2013	
FORD HALL ELEVATOR UPGRADES	916,800	118,703	694,759	103,338	Bidding	9/1/2012	
MAYO TUNNEL WATERPROOFING	11,887	0	11,887	0	Programming	9/1/2012	
MAYO REROOF SECTIONS B & QQ	488,113	0	444,025	44,088	Bidding	10/19/2012	
RUTTAN HALL PLAZA PHASE II & III	1,725,200	0	1,725,200	0	Bidding	9/1/2012	To be under contract by April
CODE COMPLIANCE OF 11 ELEVATORS	664,400	564,091	23,770	76,540	Bidding	8/1/2012	
CODE COMPLIANCE OF 37 ELEVATORS	14,863,600	13,046,264	0	1,817,336	Bidding	4/1/2013	
UMD CAMPUS WIDE ELEVATOR CODE COMPLIANCE	4,100,000	3,801,963	298,037	0	Bidding	9/1/2012	
UMM SADDLE CLUB BARN ROOF REPLACEMENT	160,000	14,900	145,100	0	Construction Documents	7/1/2012	
UMM BEHMLER HALL ELEVATOR UPGRADES	130,000	11,000	119,000	0	Construction Documents	8/1/2012	
UMM BLAKELY HALL ROOF REPLACEMENT	150,000	14,900	135,100	0	Construction Documents	8/1/2012	
UMM STUDENT CENTER EXTERIOR WALL REPAIRS	40,000	15,600	24,400	0	Construction Documents	8/1/2012	
UMM STUDENT CENTER ROOF REPLACEMENT	225,000	16,500	208,500	0	Construction Documents	8/1/2012	
UMM RODNEY A BRIGGS LIBRARY ROOF REPLCMNT	225,000	11,000	214,000	0	Construction Documents	8/1/2012	
UMM FOOD SERVICE ELEVATOR UPGRADES	220,000	15,000	205,000	0	Construction Documents	8/1/2012	
UMM HUMANITIES FINE ARTS ELEVATOR UPGRADES	70,000	9,000	61,000	0	Construction Documents	8/1/2012	
UMM REGIONAL FITNESS CTR EXT WALL REPAIRS	80,000	14,600	65,400	0	Construction Documents	8/1/2012	
CLOQUET CLASSRM ADMIN BLDG ELEV UPGRADE	200,000	0	200,000	0	Programming	4/30/2012	To be under contract by 02/28/12
ARBORETUM SNYDER BLDG ELEV COMPLIANCE	130,000	54,043	75,957	0	Construction	6/30/2012	
Subtotal - '11 Appropriations: HEAPR Projects	25,000,000	18,085,418	4,770,481	2,144,102			
Total - 2011 State Capital Appropriations	88,833,000	74,755,445	8,416,975	5,660,580			

University of Minnesota

Status Report: Total Capital Appropriations 2006 to 2011
 Projected as of 02/15/12 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2010 State Capital Appropriations: Major Projects							
Completed Projects							
	4,000,000	4,000,000	0	0			
FOLWELL HALL INTERIOR RENOVATION	21,500,000	21,066,107	226,416	207,476	Substantial Completion	8/8/2011	1.5M converted to HEAPR 12/12/11
LABORATORY RENOVATIONS	6,667,000	4,333,980	1,810,266	522,754	Various Phases	Various Dates	Multiple buildings and multiple campuses
Subtotal - '10 Appropriations: Major Projects	32,167,000	29,400,088	2,036,682	730,230			
2010 State Capital Appropriations: HEAPR Projects							
Completed Projects							
	9,591,331	9,591,331	0	(0)			
BURTON HALL EXTERIOR FORENSIC STUDY	116,400	104,400	0	12,000	Programming	3/31/2012	
RIVER ROAD ELECTRICAL INFRASTRUCTURE	6,254,913	6,254,913	0	0	Substantial Completion	5/17/2011	
LIND HALL 1ST FLOOR REMODEL	896,000	896,000	0	0	Construction	6/30/2012	
LIND HALL ROOF REPLACEMENT	46,972	39,172	1,800	6,000	Programming	8/1/2012	
JACKSON HALL CONTROLS RETROFIT	166,980	162,182	4,798	0	Construction	2/29/2012	
SMITH HALL WATERPROOF GOPHERWAY TO WALTER	26,000	4,656	17,544	3,800	Programming	6/30/2012	
NORTHROP MEMORIAL AUDITORIUM	15,819,588	15,819,588	0	0	Construction	12/3/2013	
SAFL INFRASTRUCTURE & FACILITY UPGRADES	8,700,200	8,100,903	(0)	599,297	Construction Documents	8/15/2013	
MURPHY HALL WATERPROOF GOPHERWAY TO TATE	29,500	5,756	22,044	1,700	Programming	8/17/2012	
MAYO BUILDING AUTOMATION REPLACEMENT	141,538	141,538	0	0	Construction	3/1/2012	
MAYO REROOF SECTIONS B & QQ	91,887	9,025	82,862	0	Bidding	10/19/2012	
WEAVER DENSFORD FIRE ALARM REPL/UPGRADE	520,000	502,663	0	17,337	Pacloseout	9/14/2011	
CIV ENG SCHEM DESIGN FOR FACILITY CONDITIONS	179,804	158,623	21,181	0	Construction Documents	6/30/2012	
MONDALE HALL FIRE ALARM UPGRADE	500,000	441,381	0	58,620	Pacloseout	9/26/2011	
MONDALE PARAPET STONE REPAIR/ROOF REPLCMNT	1,070,019	986,574	0	83,445	Pacloseout	12/31/2011	
HHH EXTERIOR REPAIRS PHASE II	66,885	57,850	3,507	5,528	Construction Documents	7/31/2012	
WBOB FIRE ALARM UPGRADE	529,800	525,908	0	3,892	Substantial Completion	10/1/2011	
WBOB COOLING TOWER REPLACEMENT	500,000	512	499,488	0	Programming	5/31/2012	Project just getting underway
AKERMAN HVAC-AHU/WINDOWS REPLACEMENT	4,418,100	4,418,100	0	0	Substantial Completion	9/14/2011	
CAMPUS WIDE ELEVATOR UPGRADES	2,642,100	2,580,642	0	61,458	Construction	3/31/2012	
CAMPUS WIDE ELEVATOR CODE UPGRADES	600,000	600,000	0	0	Construction	6/30/2012	
KAUFERT LAB CONTROLS RETROFIT	60,000	60,000	0	0	Construction	3/31/2012	
RUTTAN HALL FIRE ALARM DETECTION	490,000	490,000	0	0	Pacloseout	Occupied	
RUTTAN HALL PLAZA PHASE II & III	510,057	116,745	393,312	0	Bidding	9/1/2012	To be under contract by April
SKOK HALL EXTERIOR WALL/WATERPROOFING	480,000	480,000	0	0	Substantial Completion	9/22/2011	
ECOLOGY ROOF REPLACEMENT	1,500,000	1,151,695	111,347	236,958	Construction	6/30/2012	
UMM CAMPUS WIDE BLDG METER REPLACEMENT	243,684	162,945	80,740	0	Construction	2/29/2012	
UMM CAMPUS WIDE ELEVATOR UPGRADES	153,926	142,038	11,889	0	Construction	2/29/2012	
UMM TRANSPORTATION GARAGE METAL ROOF REPL	73,000	64,709	8,291	0	Construction	2/29/2012	
UMM HUMANITIES RESTROOM ACCESSIBILITY	213,000	206,907	6,093	0	Construction	2/29/2012	
UMM STUDENT CENTER PROGRAMMATIC RENOVATIO	196,000	191,146	4,854	0	Construction	2/29/2012	
UMM STUDENT CENTER ROOF REPLACEMENT	13,721	(0)	13,721	0	Construction Documents	8/1/2012	
UMM HFA EXTERIOR STAIRS REPAIR	91,366	9,150	82,216	0	Construction Documents	7/31/2012	
ITASCA-SEWERS, DOORS, WINDOWS,SAFETY,HVAC	214,900	185,619	29,281	0	Construction	3/31/2012	
CEDAR CREEK LAWRENCE LAB INFRASTRCTRE UPGR	210,900	129,215	81,685	0	Construction Documents	4/30/2012	
SROC SAMPLE DRYDERS INFRASTRUCTURE	35,000	0	35,000	0	Bidding	3/31/2012	
CLOQUET ELECTRICAL TRANSFORMERS	10,430	8,900	1,530	0	Construction	2/15/2012	
NCROC ELECTRICAL DISTRIBUTION SYSTEM	76,000	0	76,000	0	Programming	8/31/2012	Due to weather will not be completed until spring 2012
WCROC FARM SHOP HVAC IMPROVEMENTS-DESIGN	20,000	16,254	0	3,746	Pacloseout	Occupied	
Subtotal - '10 Appropriations: HEAPR Projects	57,500,000	54,817,039	1,589,181	1,093,781			
Total - 2010 State Capital Appropriations	89,667,000	84,217,127	3,625,863	1,824,011			

University of Minnesota

Status Report: Total Capital Appropriations 2006 to 2011

Projected as of 02/15/12 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2009 State Capital Appropriations: Major Projects							
Completed Projects	350,000	350,000	0	0			
Subtotal - '09 Appropriations: Major Projects	350,000	350,000	0	0			
2009 State Capital Appropriations: HEAPR Projects							
Completed Projects	24,056,569	24,056,569	0	0			
CAMPUS WIDE ELEVATOR CODE UPGRADES	324,000	135,871	188,129	0	Construction	6/30/2012	
ST PAUL CAMPUS CONTROLS RETROFIT-GROUP #1	97,992	59,524	38,468	0	Construction	3/31/2012	
COFFEY HALL ABATE & REPLACE CEILING TILES	145,000	135,373	9,627	0	Construction Documents	9/28/2012	
UMC UTOC PADDOCK MODIFICATIONS, FENCE, GATES	186,830	131,714	0	55,116	Pacloseout	Occupied	
UMM BEHMLER HALL ELEVATOR UPGRADES	67,285	11,000	56,285	0	Construction Documents	8/1/2012	
UMM STUDENT CENTER ROOF REPLACEMENT	35,355	12,700	22,655	0	Construction Documents	8/1/2012	
NCROC ELECTRICAL DISTRIBUTION SYSTEM	86,969	0	86,969	0	Programming	5/31/2012	
Subtotal - '09 Appropriations: HEAPR Projects	25,000,000	24,542,752	402,133	55,116			
Total - 2009 State Capital Appropriations	25,350,000	24,892,752	402,133	55,116			

University of Minnesota

Status Report: Total Capital Appropriations 2006 to 2011

Projected as of 02/15/12 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
2008 State Capital Appropriations: Major Projects							
Completed Projects							
	58,817,027	58,817,027	0	0			
UMM COMMUNITY SERVICES BLDG RENOV	5,000,000	4,981,266	18,734	0	Pacloseout	Occupied	
LABORATORY RENOVATIONS	3,333,000	3,200,716	124,760	7,525	In Various Phases	Various Dates	Multiple buildings and multiple campuses
Subtotal - '08 Appropriations: Major Projects	67,150,027	66,999,008	143,494	7,525			
2008 State Capital Appropriations: HEAPR Projects							
Completed Projects							
	34,519,363	34,519,363	0	0			
LIND HALL ROOF REPLACEMENT	38,028	38,028	0	0	Programming	8/1/2012	
NORTHROP PHASE II INTERIOR RENOVATION	3,000,582	3,000,582	0	0	Construction	11/1/2013	Converted from STS
VOTECH GUTTER SYSTEM REPLACEMENT	325,000	62,840	262,160	0	Construction Documents	9/2/2012	
UMM STUDENT CENTER EXTERIOR WALL REPAIR	8,000	3,933	4,067	0	Bidding	3/31/2012	
UMC LRC ELEVATOR UPGRADE	125,000	112,613	0	12,387	Pacloseout	Occupied	
Subtotal - '08 Appropriations: HEAPR Projects	38,015,973	37,737,359	266,228	12,387			
Total - 2008 State Capital Appropriations	105,166,000	104,736,367	409,721	19,912			
2006 State Capital Appropriations: Major Projects							
Completed Projects							
	83,233,000	83,233,000	0	0			
WCROC WIND TO HYDROGEN SYSTEM	2,500,000	2,406,640	30,161	63,199	Construction	3/31/2012	
Subtotal - '06 Appropriations: Major Projects	85,733,000	85,639,640	30,161	63,199			
Total - 2006 State Capital Appropriations	85,733,000	85,639,640	30,161	63,199			
Grand Totals 2006 to 2011	394,749,000	374,241,330	12,884,852	7,622,818			

University of Minnesota

Status Report: Total Capital Appropriations 2006 to 2011

Projected as of 02/15/12 - Definitions on last page

(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)
Project Name	Appropriation Amount	Spent or Encumbered	Obligated	(B-C-D) Unencumbered	Status	Estimated Occupancy	Comments

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 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.

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. 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. Pacloseout: Making final payments to contractors and vendors, closing all contracts, and preparing the final project accounting.

University of Minnesota

Status Report: Total Capital Appropriations 2006 to 2011

Projected as of 02/15/12 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
Summary of University State Capital Appropriations							
Total Dollars by Status							
2011 Appropriations							
Major Projects	63,833,000	56,670,028	3,646,494	3,516,478			
HEAPR Projects	25,000,000	18,085,418	4,770,481	2,144,102			
Subtotal	88,833,000	74,755,445	8,416,975	5,660,580			
2010 Appropriations							
Major Projects	32,167,000	29,400,088	2,036,682	730,230			
HEAPR Projects	57,500,000	54,817,039	1,589,181	1,093,781			
Subtotal	89,667,000	84,217,127	3,625,863	1,824,011			
2009 Appropriations							
Major Projects	350,000	350,000	0	0			
HEAPR Projects	25,000,000	24,542,752	402,133	55,116			
Subtotal	25,350,000	24,892,752	402,133	55,116			
2008 Appropriations							
Major Projects	67,150,027	66,999,008	143,494	7,525			
HEAPR Projects	38,015,973	37,737,359	266,228	12,387			
Subtotal	105,166,000	104,736,367	409,721	19,912			
2006 Appropriations							
Major Projects	85,733,000	85,639,640	30,161	63,199			
Subtotal	85,733,000	85,639,640	30,161	63,199			
Grand Total: 2006-2011 Appropriations	394,749,000	374,241,330	12,884,852	7,622,818			
Major Projects	249,233,027	239,058,763	5,856,831	4,317,432			
HEAPR and Converted HEAPR Projects Only	145,515,974	135,182,567	7,028,021	3,305,385			

University of Minnesota

Status Report: Total Capital Appropriations 2006 to 2011

Projected as of 02/15/12 - Definitions on last page

(A) Project Name	(B) Appropriation Amount	(C) Spent or Encumbered	(D) Obligated	(E) (B-C-D) Unencumbered	(F) Status	(G) Estimated Occupancy	(H) Comments
Total Percent by Status							
2011 Appropriations							
Major Projects	63,833,000	89%	6%	6%			
HEAPR Projects	25,000,000	72%	19%	9%			
Subtotal	88,833,000	84%	9%	6%			
2010 Appropriations							
Major Projects	32,167,000	91%	6%	2%			
HEAPR Projects	57,500,000	95%	3%	2%			
Subtotal	89,667,000	94%	4%	2%			
2009 Appropriations							
Major Projects	350,000	100%	0%	0%			
HEAPR Projects	25,000,000	98%	2%	0%			
Subtotal	25,350,000	98%	2%	0%			
2008 Appropriations							
Major Projects	67,150,027	100%	0%	0%			
HEAPR Projects	38,015,973	99%	1%	0%			
Subtotal	105,166,000	100%	0%	0%			
2006 Appropriations							
Major Projects	85,733,000	100%	0%	0%			
Subtotal	85,733,000	100%	0%	0%			
Grand Total: 2006-2011 Appropriations	394,749,000	95%	3%	2%			
Major Projects	249,233,027	96%	2%	2%			
HEAPR and Converted HEAPR Projects Only	145,515,974	93%	5%	2%			