

# University of Minnesota

## Capital Appropriations Expenditure Report

January 2016

# Appropriation Status

Year	Full Allocation	% Spent or Encumbered Under Contract	% Spent, Encumbered or Otherwise Obligated to Complete a Project	Comments
2011	\$ 88,833,000	100%	100%	
2012	\$ 64,060,000	100%	100%	
2014	\$ 119,367,000	92%	100%	
2015	\$ 26,529,000	34%	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
2011	\$ 25,000,000	100%	100%	
2012	\$ 50,000,000	100%	100%	
2014	\$ 42,500,000	86%	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.

# University of Minnesota

Status Report: Total Capital Appropriations 2011 to 2015

As of 12/31/16 - Definitions on last page

Project Name	(A)		(B)	Life-to-Date Expenses	Cash Balance Amount as of 12/31/15	(C)	(D)	(E)	(F)
	Per	Fiscyr	Appropriation Amount			Spent or Encumbered	(B-C) Obligated	(B-C-D) Unencumbered	Status
<b><u>2015 State Capital Appropriations: Major Projects</u></b>									
MN Poultry Testing Lab-Willmar	06	2016	8,529,000.00	72,872.77	8,456,127.23	7,246,354.13	1,282,645.87	0.00	Design Development
Vet Isolation Facility	06	2016	18,000,000.00	315,646.14	17,684,353.86	1,791,871.33	16,208,128.67	0.00	Schematic Design
<b>Subtotal - '15 Appropriations: Major Projects</b>			<b>26,529,000.00</b>	<b>388,518.91</b>	<b>26,140,481.09</b>	<b>9,038,225.46</b>	<b>17,490,774.54</b>	<b>0.00</b>	
<b>Total - 2015 State Capital Appropriations</b>			<b>26,529,000.00</b>	<b>388,518.91</b>	<b>26,140,481.09</b>	<b>9,038,225.46</b>	<b>17,490,774.54</b>	<b>0.00</b>	
<b><u>2014 State Capital Appropriations: Major Projects</u></b>									
Tate Science & Teaching Renovation	06	2016	56,700,000.00	7,105,284.07	49,594,715.93	52,804,111.44	3,895,888.56	0.00	Construction
UMC Lysacker Wellness Rec Ctr Addition/Remodel	06	2016	10,000,000.00	3,903,668.70	6,096,331.30	8,806,879.80	1,193,120.20	0.00	Construction
UMD Chemical Science & Advanced Mat'ls Building	06	2016	1,500,000.00	904,785.71	595,214.29	1,075,250.39	424,749.61	0.00	Design Development
Engineering & Fisheries Lab Fish Lab Renovation	06	2016	4,667,000.00	3,412,683.94	1,254,316.06	4,261,584.57	405,415.43	0.00	Construction
Bee Lab Facility	06	2016	4,000,000.00	311,708.83	3,688,291.17	3,805,237.72	194,762.28	0.00	Construction
Research Laboratories	06	2016	8,667,000.00	3,724,392.77	4,942,607.23	8,066,822.29	600,177.71	0.00	
<b>Subtotal - '14 Appropriations: Major Projects</b>			<b>76,867,000.00</b>	<b>15,638,131.25</b>	<b>61,228,868.75</b>	<b>70,753,063.93</b>	<b>6,113,936.07</b>	<b>0.00</b>	
<b><u>2014 State Capital Appropriations: HEAPR Projects</u></b>									
<b>Completed Projects</b>			962,487.93	962,487.93	(0.00)	962,487.93	0.00	0.00	
TC HEAPR Projects	06	2016	29,113.77	0.00	29,113.77	0.00	0.00	29,113.77	N/A
Keller Hall Exterior Building Envelopment Replacement	06	2016	2,358,977.73	390,995.92	1,967,981.81	2,228,689.99	130,287.74	0.00	Construction
Mech Eng Phase II Renewal-Mech/Elec/Plumbing	06	2016	24,800,000.00	21,317,718.75	3,482,281.25	24,154,640.25	645,359.75	0.00	Construction
FSN Bldg Infrastructure Improvements Study	06	2016	140,000.00	84,344.58	55,655.42	97,070.00	42,930.00	0.00	Programming
Alderman Hall Fire Safety & Ventilation Imprvmnts	06	2016	152,000.00	50,272.68	101,727.32	108,070.00	43,930.00	0.00	Programming
Andrew Boss Lab Fire Sprinklers, Lab Compliance	06	2016	5,200,457.75	231,339.99	4,969,117.76	1,036,856.00	4,163,601.75	0.00	Design Development
UMD Tweed Museum of Art Mech System Upgrd	06	2016	800,000.00	25,751.20	774,248.80	800,000.00	0.00	0.00	Procurement
UMD Cina Hall HVAC Systems Upgrade	06	2016	2,920,000.00	532,537.69	2,387,462.31	2,920,000.00	0.00	0.00	Construction

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Project Name	(A)		(B)	Life-to-Date Expenses	Cash Balance	(C)	(D)	(E)	(F)
	Per	Fiscyr	Appropriation Amount		Amount as of 12/31/15	Spent or Encumbered	(B-C) Obligated	(B-C-D) Unencumbered	Status
UMD Coleraine Minerals Lab Water Utility Replacement	06	2016	34,175.08	10,714.21	23,460.87	17,288.08	16,887.00	0.00	Design Development
UMM Blakely Hall Elevator Installation	06	2016	499,679.88	738.01	498,941.87	738.01	498,941.87	0.00	Schematic Design
UMM Humanities HVAC Improvements	06	2016	170,000.00	32,553.65	137,446.35	38,000.00	132,000.00	0.00	Design Development
UMM Heating Plant Flue Gas Scrubber Replcmnt	06	2016	650,000.00	561,055.40	88,944.60	650,000.00	0.00	0.00	Construction
UMC Electrical Infrastrucutre Stabilization	06	2016	3,180,000.00	2,764,383.09	415,616.91	3,030,566.39	149,433.61	0.00	Construction
NWROC Admin Bldg Abatement & Structural Impr	06	2016	150,000.00	119,825.69	30,174.31	129,491.16	20,508.84	0.00	Construction
SROC Agronomy & Soils HVAC Improvements	06	2016	95,000.00	63,907.68	31,092.32	63,907.68	31,092.32	0.00	Construction
Itasca Facility Improvements(Roofs,Pumps,Windows,Floors	06	2016	137,000.00	114,372.32	22,627.68	114,372.32	22,627.68	0.00	Construction
Itasca Water System Upgrades	06	2016	27,000.00	15,188.19	11,811.81	15,188.19	11,811.81	0.00	Construction
Cloquet Forestry Ctr Elec Infrastructure	06	2016	150,000.00	119,231.73	30,768.27	119,231.73	0.00	30,768.27	Pacloseout
Cedar Creek Whip-Poor-Will House Roof, Windows	06	2016	44,107.86	472.77	43,635.09	38,914.83	5,193.03	0.00	Construction
<b>Subtotal - '14 Appropriations: HEAPR Projects</b>			<b>42,500,000.00</b>	<b>27,397,891.48</b>	<b>15,102,108.52</b>	<b>36,525,512.56</b>	<b>5,914,605.40</b>	<b>59,882.04</b>	
<b>Total - 2014 State Capital Appropriations</b>			<b>119,367,000.00</b>	<b>43,036,022.73</b>	<b>76,330,977.27</b>	<b>107,278,576.49</b>	<b>12,028,541.47</b>	<b>59,882.04</b>	

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(A) Project Name	(A)		(B)	Life-to-Date Expenses	Cash Balance	(C)	(D)	(E)	(F)
	Per	Fiscyr	Appropriation Amount		Amount as of 12/31/15	Spent or Encumbered	(B-C) Obligated	(B-C-D) Unencumbered	Status
<b><u>2012 State Capital Appropriations: Major Projects</u></b>									
Combined Heat and Power Plant	06	2016	10,000,000.00	10,000,000.00	0.00	10,000,000.00	0.00	0.00	Construction
Itasca New Multi-Purpose Building	06	2016	4,060,000.00	4,044,953.82	15,046.18	4,045,792.89	0.00	14,207.11	Pacloseout
<b>Subtotal - '12 Appropriations: Major Projects</b>			<b>14,060,000.00</b>	<b>14,044,953.82</b>	<b>15,046.18</b>	<b>14,045,792.89</b>	<b>0.01</b>	<b>14,207.11</b>	
<b><u>2012 State Capital Appropriations: HEAPR Projects</u></b>									
<b>Completed Projects</b>			40,864,522.54	40,864,522.54	0.00	40,864,522.54	0.00	0.00	
TC HEAPR Projects	06	2016	5,462.67	0.00	5,462.67	(0.00)	0.00	5,462.67	N/A
Shevlin Hall Window Replacement	06	2016	44,000.00	30,922.52	13,077.48	44,000.00	0.00	0.00	Design Development
VCRC Structural & Water Infiltration Assessment	06	2016	65,500.00	2,573.42	62,926.58	45,550.00	19,950.00	0.00	Design Development
Civil Engineering Remediation	06	2016	8,023,952.00	8,012,633.84	11,318.16	8,019,517.24	0.00	4,434.76	Pacloseout
Faye Thompson Center Roof Replacement	06	2016	798,591.00	608,035.21	190,555.79	753,575.58	(0.00)	45,015.42	Pacloseout
UMM Blakely Hall Elevator Installatoin	06	2016	187,402.77	17,387.34	170,015.43	25,261.99	162,140.78	0.00	Schematic Design
UMC HEAPR Projects	06	2016	10,569.02	0.00	10,569.02	0.00	0.00	10,569.02	N/A
<b>Subtotal - '12 Appropriations: HEAPR Projects</b>			<b>50,000,000.00</b>	<b>49,536,074.87</b>	<b>463,925.13</b>	<b>49,752,427.35</b>	<b>182,090.78</b>	<b>65,481.87</b>	
<b>Total - 2012 State Capital Appropriations</b>			<b>64,060,000.00</b>	<b>63,581,028.69</b>	<b>478,971.31</b>	<b>63,798,220.24</b>	<b>182,090.79</b>	<b>79,688.98</b>	
<b><u>2011 State Capital Appropriations: Major Projects</u></b>									
<b>Completed Projects</b>			63,833,000.00	63,833,000.00	0.00	63,833,000.00	0.00	0.00	
<b>Subtotal - '11 Appropriations: Major Projects</b>			<b>63,833,000.00</b>	<b>63,833,000.00</b>	<b>0.00</b>	<b>63,833,000.00</b>	<b>0.00</b>	<b>0.00</b>	
<b><u>2011 State Capital Appropriations: HEAPR Projects</u></b>									
<b>Completed Projects</b>			24,896,263.65	24,896,263.65	0.00	24,896,263.65	0.00	(0.00)	
TC HEAPR Projects	06	2016	28,736.35	0.00	28,736.35	0.00	0.00	28,736.35	N/A
KE Dwan Emergency Power/Generator System Upgrade	06	2016	75,000.00	20,004.18	54,995.82	20,004.18	54,995.82	0.00	Construction
<b>Subtotal - '11 Appropriations: HEAPR Projects</b>			<b>25,000,000.00</b>	<b>24,916,267.83</b>	<b>83,732.17</b>	<b>24,916,267.83</b>	<b>54,995.82</b>	<b>28,736.35</b>	

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(A) Project Name	Per Fiscyr	(B) Appropriation Amount	Life-to-Date Expenses	Cash Balance Amount as of 12/31/15	(C) Spent or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status
<b>Total - 2011 State Capital Appropriations</b>		<b>88,833,000.00</b>	<b>88,749,267.83</b>	<b>83,732.17</b>	<b>88,749,267.83</b>	<b>54,995.82</b>	<b>28,736.35</b>	
<b>Grand Totals 2011 to 2015</b>		<b>298,789,000.00</b>	<b>195,754,838.16</b>	<b>103,034,161.84</b>	<b>268,864,290.01</b>	<b>29,756,402.62</b>	<b>168,307.37</b>	

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Project Name	(A)		(B)	Life-to-Date Expenses	Cash Balance Amount as of 12/31/15	(C)	(D)	(E)	(F)
	Per	Fiscyr	Appropriation Amount			Spent or Encumbered	(B-C) Obligated	(B-C-D) Unencumbered	Status

## 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	Life-to-Date Expenses	Cash Balance Amount as of 12/31/15	(C) Spent or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status
<b>Summary of University State Capital Appropriations</b>							
<b>Total Dollars by Status</b>							
2015 Appropriations							
Major Projects	26,529,000.00	388,518.91	26,140,481.09	9,038,225.46	17,490,774.54	0.00	
HEAPR Projects	0.00	0.00	0.00	0.00	0.00	0.00	
Subtotal	26,529,000.00	388,518.91	26,140,481.09	9,038,225.46	17,490,774.54	0.00	
2014 Appropriations							
Major Projects	76,867,000.00	15,638,131.25	61,228,868.75	70,753,063.93	6,113,936.07	0.00	
HEAPR Projects	42,500,000.00	27,397,891.48	15,102,108.52	36,525,512.56	5,914,605.40	59,882.04	
Subtotal	119,367,000.00	43,036,022.73	76,330,977.27	107,278,576.49	12,028,541.47	59,882.04	
2012 Appropriations							
Major Projects	14,060,000.00	14,044,953.82	15,046.18	14,045,792.89	0.01	14,207.11	
HEAPR Projects	50,000,000.00	49,536,074.87	463,925.13	49,752,427.35	182,090.78	65,481.87	
Subtotal	64,060,000.00	63,581,028.69	478,971.31	63,798,220.24	182,090.79	79,688.98	
2011 Appropriations							
Major Projects	63,833,000.00	63,833,000.00	0.00	63,833,000.00	0.00	0.00	
HEAPR Projects	25,000,000.00	24,916,267.83	83,732.17	24,916,267.83	54,995.82	28,736.35	
Subtotal	88,833,000.00	88,749,267.83	83,732.17	88,749,267.83	54,995.82	28,736.35	
<b>Grand Total: 2011-2015 Appropriations</b>	298,789,000.00	195,754,838.16	103,034,161.84	268,864,290.01	29,756,402.63	168,307.37	
<b>Major Projects</b>	181,289,000.00	93,904,603.98	87,384,396.02	157,670,082.27	23,604,710.63	14,207.11	
<b>HEAPR and Converted HEAPR Projects Only</b>	117,500,000.00	101,850,234.18	15,649,765.82	111,194,207.74	6,151,692.00	154,100.26	
<b>Total Percent by Status</b>							
2015 Appropriations							
Major Projects	26,529,000.00			34%	66%	0%	
HEAPR Projects	0.00			0%	0%	0%	
Subtotal	26,529,000.00			34%	66%	0%	
2014 Appropriations							
Major Projects	76,867,000.00			92%	8%	0%	
HEAPR Projects	42,500,000.00			86%	14%	0%	
Subtotal	119,367,000.00			90%	10%	0%	
2012 Appropriations							

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(A) Project Name	(B) Appropriation Amount	Life-to-Date Expenses	Cash Balance Amount as of 12/31/15	(C) Spent or Encumbered	(D) (B-C) Obligated	(E) (B-C-D) Unencumbered	(F) Status
Major Projects	14,060,000.00			100%	0%	0%	
HEAPR Projects	50,000,000.00			100%	1%	0%	
Subtotal	64,060,000.00			99%	1%	0%	
2011 Appropriations							
Major Projects	63,833,000.00			100%	0%	0%	
HEAPR Projects	25,000,000.00			100%	0%	0%	
Subtotal	88,833,000.00			100%	0%	0%	
<b>Grand Total: 2011-2015 Appropriations</b>	298,789,000.00			90%	10%	0%	
<b>Major Projects</b>	181,289,000.00			87%	13%	0%	
<b>HEAPR and Converted HEAPR Projects Only</b>	117,500,000.00			95%	5%	0%	