

South Dakota Science and Technology Authority

**Board Meeting
December 18, 2014**



South Dakota Science and Technology Authority

630 East Summit Street
Lead, SD 57754

Call to Order – Chairperson Casey Peterson

1A. Call Roll

Mr. Tom Adam
Dr. Ani Aprahamian
Mr. Paul Christen
Mr. Dana Dykhouse
Ms. Pat Lebrun
Mr. Casey Peterson
Mr. Ron Wheeler
Dr. Heather Wilson

1B. Introduce Guests

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Approve Agenda – Chairperson Casey Peterson

Attached is the SDSTA Board agenda for the meeting held on December 18, 2014.

Recommended Action:

Motion to approve agenda as presented.

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AGENDA
South Dakota Science and Technology Authority
630 East Summit Street, Lead, South Dakota
Meeting of the Board of Directors
Thursday, December 18, 2014 at 9:00 AM (MT)

SDSTA Mission: *To enable compelling underground research in a safe work environment and foster transformational science education.*

Title	Report	Recommendations
1. Call to Order A. Call Roll B. Introduce Guests	-- Chair Casey Peterson	<i>Informational</i>
2. Approve Agenda	-- Chair Casey Peterson	<i>Motion to approve agenda</i>
3. Approve Minutes	-- Chair Casey Peterson	<i>Motion to approve September 18, 2014 minutes</i>
4. Audit Committee Report	-- Ms. Pat Lebrun	<i>Motion to accept the audit report</i>
5. Financial Report A. Review Financial Summaries	-- Mr. Mike Headley -- Ms. Nancy Geary	<i>Motion to accept financial report</i>
6. Report from Executive Director A. Declarations of Surplus 1. #6Winze Wire Rope 2. JLG T500 Towable Lift B. SDSTA Report C. Science Operations Update D. Sanford Lab Homestake Visitor Center Plans and Underground Construction Update	-- Mr. Mike Headley -- Mr. Mike Headley -- Mr. Mike Headley -- Dr. Jaret Heise -- Mr. Josh Willhite	<i>Motion to accept executive director's report</i> <i>Informational</i> <i>Informational</i>
7. <i>(placeholder) Gilt Edge Agreement Discussion</i>	-- Mr. Tim Engel	<i>Motion would be to approve intergovernmental agreement between SDSTA and SD DENR</i>
8. Federal Agencies and Experiments Update	-- Dr. Kevin Lesko	<i>Informational</i>
9. Education and Outreach Update	-- Dr. Ben Sayler	<i>Informational</i>
10. Review of SDSTA Policies	-- Mr. Mike Headley	<i>Motion to approve new, updated and retired policies</i>
11. Lobbyist Registration	-- Mr. Tim Engel	<i>Motion to designate Mike Headley, Ron Wheeler and Tim Engel as lobbyists for the SDSTA</i>
12. Set 2015 Meeting Schedule	-- Chair Casey Peterson	<i>Suggested dates and times in 2015:</i> • <i>March 19, 9:00am (MT)</i> • <i>June 18, 9:00am (MT)</i> • <i>September 17, 9:00am (MT)</i> • <i>December 17, 9:00am (MT)</i>
13. Executive Session to discuss personnel matters and to consult with legal counsel concerning contractual matters <i>(Recess for Lunch)</i>	-- Chair Casey Peterson	

Please do not place or accept cell phone calls during this meeting. A copy of this agenda has been posted in a manner visible to the public at the entrance to the South Dakota Science and Technology Authority office located at 630 East Summit Street, Lead, South Dakota at least 24 hours prior to this meeting. Telephone: (605) 722-8650.

AGENDA
South Dakota Science and Technology Authority
630 East Summit Street, Lead, South Dakota
Meeting of the Board of Directors
Thursday, December 18, 2014 at 9:00 AM (MT)

Title	Report	Recommendations
14. Report from Executive Session	-- Chair Casey Peterson	<i>Motion to accept executive session report</i>
15. Board Comments		

SDSTA Board Member Terms of Service, Committees and Schedule

Board Members and Terms of Service			
	Board Members	Appointed	Term Expires
1.	Thomas Adam	Re-appointed August 10, 2009	August 8, 2015
2.	Ani Aprahamian	December 10, 2009	December 9, 2015
3.	Paul Christen	January 31, 2011	August 8, 2016
4.	Dana Dykhouse, Vice-chair	Re-appointed August 1, 2014	August 14, 2020
5.	Patricia Lebrun, Secretary-Treasurer	Re-appointed August 16, 2010	August 8, 2016
6.	Casey Peterson, Chair	Re-appointed August 10, 2009	August 8, 2015
7.	Ron Wheeler, Vice-chair	Re-appointed April 10, 2014	April 9, 2020
8.	Heather Wilson, ex-officio member	SDSM&T President appointed July 1, 2014	
Committees and Members (2014)		2014 Board Schedule	
	Audit Committee Members:	March 20, 2014	10:00 am (MT)
	➤ Paul Christen, Pat Lebrun-Chair	June 19, 2014	9:00 am (MT)
	Nominating Committee Members:	September 18, 2014	9:00 am (MT)
	➤ Ani Aprahamian, Dana Dykhouse	December 18, 2014	10:00 am (MT)

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Approve Minutes – Chairperson Casey Peterson

Attached is the SDSTA Board Minutes from the meeting held on September 18, 2014.

Recommended Action:

Motion to approve Minutes as presented.

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South Dakota Science and Technology Authority Board of Directors
Meeting Minutes
Thursday, September 18, 2014
Lead, South Dakota

The Board of Directors of the South Dakota Science and Technology Authority (SDSTA) convened at 9:01 AM Mountain Time (MT) on Thursday, September 18, 2014 in the 2nd Floor Vault Conference Room at the South Dakota Science and Technology Authority, 630 East Summit Street, Lead, South Dakota.

MEMBERS OF THE BOARD IN ATTENDANCE

Mr. Thomas Adam (by telephone)
Mr. Paul Christen
Mr. Dana Dykhouse
Ms. Pat Lebrun (by telephone)
Chairperson Casey Peterson (by telephone)
Mr. Ron Wheeler
Dr. Heather Wilson

MEMBERS OF THE BOARD NOT IN ATTENDANCE

Dr. Ani Aprahamian

SDSTA STAFF

Ms. Michelle Andresen, Administrative Assistant
Mr. Tim Engel, Legal Counsel
Ms. Nancy Geary, Chief Financial Officer
Mr. Mike Headley, Executive Director
Ms. Sharon Hemmingson, Business Services and Contracts Manager
Mr. Daryl Russell, Cultural Diversity Coordinator
Mr. Noel A. Schroeder, Environment, Health and Safety (EHS) Director
Ms. Constance Walter, Communications Director
Mr. Joshua Willhite, Engineering Director

ALSO PRESENT DURING ALL OR PART OF THE MEETING

Mr. Tom Campbell, Science Education Specialist, Black Hills State University (BHSU)
Dr. Rodney Custer, Provost and Vice President of Academic Affairs, BHSU
Dr. Peggy Norris, Education and Outreach (E&O) Deputy Director, BHSU
Ms. Jaci Pearson, Black Hills Pioneer
Ms. Bree Reynolds, Science, Technology, Engineering and Mathematics (STEM) Education Specialist, BHSU
Dr. Ben Saylor, E&O Director, BHSU (by telephone)

ITEM 1. – CALL TO ORDER

Vice Chairperson Ron Wheeler called the meeting to order at 9:01 AM (MT). Roll call was held. All members were present in person or by telephone except for Dr. Ani Aprahamian and Chairperson Casey Peterson. Vice Chairperson Wheeler asked audience members to introduce themselves.

SDSTA Executive Director Mr. Mike Headley introduced BHSU Education Specialists Ms. Bree Reynolds and Mr. Tom Campbell, BHSU Provost and Vice President of Academic Affairs Dr. Rodney Custer and SDSTA EHS Director Mr. Noel A. Schroeder.

ITEM 2. – APPROVE AGENDA

Vice Chairperson Wheeler asked for a motion to approve the agenda.

Motion by Mr. Christen and second by Mr. Dykhouse to approve the agenda. By roll call vote, the motion passed unanimously.

ITEM 3. – APPROVE MINUTES

Vice Chairperson Wheeler asked for a motion to approve the Minutes of the June 19, 2014 meeting.

Motion by Mr. Adam and second by Mr. Christen to approve the Minutes of the June 19, 2014 meeting as presented. By roll call vote, the motion passed unanimously.

ITEM 4. – AMENDMENT OF SDSTA BY-LAWS

SDSTA Legal Counsel Mr. Tim Engel said there were two categories of proposed revisions to the SDSTA By-Laws. The first is a change in terminology from "Authority" to "SDSTA." The second is to recognize the President of the South Dakota School of Mines and Technology as an ex-officio, non-voting member to the board.

Motion by Mr. Adam and second by Ms. Lebrun to approve and adopt the Amended and Restated By-Laws dated September 18, 2014 as presented. By roll call vote, the motion passed unanimously.

ITEM 5. – DISCUSSION OF ELLISON HILL OPTION TO PURCHASE AGREEMENT

Mr. Engel asked Mr. Headley to describe the Ellison Hill property to the board. Mr. Headley did so, and said this property would provide an additional access way to the laboratory besides Mill Street. The cost of the option is \$45,000.00, paid over approximately ten months. The Option purchase price is \$600,000 with a deadline to exercise the Option by November 1, 2018. Mr. Headley stated it is prudent to put this agreement in place at this time. Mr. Engel asked if there were any questions. Mr. Christen asked if the buildings on the property were currently in use. Vice Chairperson Wheeler advised that there are none except for a shop building, which the City of Lead leases from Homestake.

Motion by Mr. Adam and second by Mr. Dykhouse to approve the Ellison Hill Option to Purchase Agreement and authorize the payment of \$45,000. By roll call vote, the motion passed unanimously.

ITEM 6. – REPORT FROM EXECUTIVE DIRECTOR

Mr. Headley began his report discussing two declarations of surplus. He said the first declaration of surplus property consisted of certain pieces of mining equipment, in which local non-profit organizations have expressed interest. The equipment listed in Exhibit B have no historical value and are currently in a sealed bid process. Mr. Headley said the SDSTA will utilize operable equipment including locomotives, cars and rail underground. Mr. Christen asked what the purchase price was of the mining equipment. Ms. Geary verified the purchase price was \$10,000. Mr. Headley explained the second declaration of surplus property is a blue passenger van, which has reached the end of its life and is no longer reliable.

In regard to the SDSTA safety performance, the Sanford Laboratory has had three SDSTA employee recordables to date, compared to eight this time last year. Mr. Headley said safety is the main focus and creating and following Job Hazard Analyses (JHA) has resulted in significant progress in mitigating potential incidents.

Mr. Headley said there was a spike in activity during the month of March due to large numbers of contractors underground. The MAJORANA DEMONSTRATOR (MJD) collaboration continues to assemble the detector and shield. The start of data collection is expected in late 2014. The copper electro-forming work, led by the SDSM&T personnel, is expected to be completed in mid-2015.

The Large Underground Xenon (LUX) collaboration continues preparations for a 300-day run. Mr. Headley said the data run is to commence in the fall of 2014.

Mr. Headley said the rehabilitated space for Compact Accelerator System Performing Astrophysical Research (CASPAR) and BHSU underground campuses will be completed the first part of January 2015. The Sanford Laboratory will award a change order to the construction contract for the underground space in the near future.

The current reformulation of the Long-Baseline Neutrino Experiment (LBNE) collaboration was then discussed by Mr. Headley. He said the Particle Physics Project Prioritization Panel (P5) report was very supportive of the project but recommended that the collaboration formulate more international support. Vice Chairperson Wheeler asked the dimensions of the LBNE underground space and Mr. Headley replied each of the two spaces are 500 feet in length, 90 feet in height and 60 feet in width. The LUX-ZEPLIN (LZ) Critical Decision One (CD-1) Executive Meeting would commence in December with the Department of Energy (DOE).

Mr. Headley said the Sanford Lab Homestake Visitor Center is on schedule for a June 2015 opening. To date, twenty of the twenty-two piers have been installed for the foundation work. He said SDSTA Engineering Director Mr. Joshua Willhite will provide more details in his upcoming presentation.

Mr. Headley said there has been significant progress on the Ross Shaft refurbishment and the Yates Top Down maintenance projects. August was a productive month; nine sets were completed in the Ross Shaft.

Mr. Headley then introduced Mr. Willhite, who provided an update on the visitor center. He stated the 22 piers will be completed next week. The foundation slab will begin in October and steel will arrive in November to erect the building. He said construction is expected to be completed by May 2015. Exhibits will include an actual cage from the Ross Shaft, a 1/1500 scale underground model of the shafts and science and mining artifacts, along with video storylines of local residents, former miners and scientists. The display drafts are due by the end of October for review. He said the Deadwood Historic Preservation Commission has agreed to fund refurbishment of the Ross Cage exhibit.

Mr. Willhite also provided an overview of the CASPAR and BHSU underground campuses. He said a blasting expert will be onsite in October for removal guidance of a rock wedge crack near the MJD and BHSU site. The outfitting will begin in January to allow completion of the spaces by the end of May 2015. The total cost for both projects is \$3.2M; \$2.5M for CASPAR and \$0.7M (\$0.2M of the \$0.7M is being funded by BHSU) for BHSU rehabilitation and outfitting. Mr. Willhite said the values include design, general conditions and elements performed by SDSTA; there is some approximation to divide these shared costs. Vice Chairperson Wheeler commented to the board that SDSM&T personnel will be responsible for operating the CASPAR accelerator project.

Chairperson Casey Peterson joined the meeting via telephone at 9:54 AM.

Mr. Headley introduced SDSTA Communications Director Ms. Constance Walter, who highlighted Neutrino Day 2014 events. These events included the underground videoconference, Emergency Response Team demonstration, Journey Museum's planetarium, Space School Musical presented by the Dakota Children's Theater sponsored by NASA, guest speakers, live interviews with SD Public Broadcasting News Director Cara Hetland and numerous children activities.

Mr. Adam departed the meeting at 10:00 AM.

Vice Chairperson Wheeler asked for a motion to accept the Executive Director's report.

Motion by Mr. Christen and second by Mr. Dykhouse to accept the Executive Director's report. By roll call vote, the motion passed unanimously.

ITEM 7. – FINANCIAL REPORT

Mr. Headley introduced SDSTA Chief Financial Officer Ms. Nancy Geary who reported that SDSTA's current interest accrual is at 0.75%. A letter received by the South Dakota Investment Council estimates the 2015 interest rate to be between 0.5% and 0.75%. Ms. Geary recommended keeping the accrual percentage the same at 0.75% going forward; board members agreed. Ms. Geary discussed the yearly fixed asset report, specifically items equal to or greater than the \$5,000 threshold along with information on depreciation. She said a report was also included in the board material for assets owned by the Department of Energy (DOE) that are acquired through the Operations contract. The yearly per diem payments report was also presented to board members. Ms. Geary asked if there were any questions; there were none.

Mr. Headley requested approval from the board to add \$516,000 to fund the CASPAR/BHSU underground campus construction contract and approval to add \$2.4M for the construction change order. Ms. Geary stated that previous CAPEX projects had some savings, which SDSTA could use as carryover money to fund this project. Vice Chairperson Wheeler asked if there were any questions; there were none.

Motion by Mr. Dykhouse and second by Ms. Lebrun to approve the updated CAPEX budget and CASPAR/Black Hills State University Underground Campus construction as presented. By roll call vote, the motion passed unanimously.

Motion by Mr. Christen and second by Mr. Dykhouse to accept the financial report as presented. By roll call vote, the motion passed unanimously.

ITEM 8. – REVIEW OF UPDATED AND RETIRED POLICIES

Mr. Headley briefly discussed the updated and retired policies listed below and said that Mr. Engel had reviewed the policies. Vice Chairperson Wheeler asked if there were any questions or comments. There were none.

The following policies were recommended to be approved:

- 2:15 Absenteeism and Tardiness
- 3:12 Travel Approval and Reimbursement - Employees
- 3:15 Travel Approval and Reimbursement - Consultants, Contractors and Vendors
- 3:21 Travel Approval and Reimbursement - Board Members
- 3:30 Surplus Property Disposal Policy

The following policies were recommended to be retired:

- 3:12:1 Travel by Executive Director
- 3:12:2 Transportation
- 3:12:3 Lodging
- 3:12:4 Meals
- 3:12:4:1 Itemized Ticket for Meal Reimbursement
- 3:12:5 Reimbursement for Combined Authority and Personal Trip
- 3:12:6 Travel Reimbursement for Weekend Stays
- 3:12:7 Travel by State Employees on Authority Business
- 3:12:8 International Travel
- 3:13 Commitment for Travel – Authority Employees
- 3:16 Commitment for Travel – Other
- 3:17 Commitment for Travel Expense Form

Motion by Mr. Dykhouse and second by Mr. Christen to approve the updated policies and the repeal of policies as presented. By roll call vote, the motion passed unanimously.

ITEM 9. – AUDIT COMMITTEE REPORT

Audit Committee Chairperson Ms. Lebrun advised the board that the FY2014 audit will be a normal audit, not an A-133 audit. At the end of the audit, a follow up Audit Committee meeting will be held for final discussion before submitting to the board at either the December 2014 or March 2015 board meeting.

The board recessed at 10:17 AM for break and reconvened at 10:27 AM.

ITEM 10. – EXECUTIVE SESSION

Motion by Chairperson Peterson and second by Mr. Dykhouse to enter into executive session to consult with legal counsel concerning contractual matters. By roll call vote, the motion passed unanimously.

The board recessed at 10:27 AM for Executive Session and reconvened at 10:54 AM.

ITEM 11. – REPORT FROM EXECUTIVE SESSION

Vice Chairperson Wheeler reported that the board consulted with legal counsel concerning contractual matters. No action was taken.

Motion by Mr. Dykhouse and second by Mr. Christen to approve the executive session report. By roll call vote, the motion passed unanimously.

ITEM 12. – CONFIRM DATE AND TIME FOR NEXT BOARD MEETING

Vice Chairperson Wheeler asked if there were any concerns with the next board meeting to be held on Thursday, December 18, 2014 at 10:00 AM (MT). The preference to start the board meeting at 9:00 AM was raised. The board agreed to meet on December 18 at 9:00 AM (MT) instead of 10:00 AM. Vice Chairperson Wheeler reminded the board that the 2015 board meeting schedule will be discussed at the December board meeting.

ITEM 13. – BOARD COMMENTS

Ms. Lebrun said it was a good meeting and she is excited about the progress at the Sanford Laboratory.

Dr. Wilson said she is pleased to be part of the SDSTA board. She provided an update of new SDSM&T faculty in the Physics Department and added the proximity to Sanford Laboratory has proved an attraction for top physics researchers to join SDSM&T.

Mr. Christen said this was a good meeting and was impressed with Dr. Wilson's report regarding the involvement between the SDSM&T Physics Department and the Sanford Laboratory.

Mr. Dykhouse asked to receive information about the interaction between SDSM&T and the Sanford Laboratory, as well as all the other universities involved with Sanford Laboratory. He said there is a large interest about the lab in the South Dakota communities and this would be an opportunity to tell more about the SDSTA story. He said he looks forward to the SDSTA presentation on October 20 in Sioux Falls.

Mr. Headley welcomed Dr. Wilson to the board and thanked the board members for supporting the Sanford Laboratory to move forward. He also recognized and thanked the SDSTA staff for all their work.

Vice Chairperson Wheeler complimented Mr. Headley and the SDSTA staff for all their hard work.

Chairperson Peterson thanked the board members for their leadership and their support of SDSTA's mission.

ITEM 14. – ADJOURN

Vice Chairperson Wheeler asked if anyone had any other questions or comments and then called for a motion to adjourn.

Motion by Mr. Dykhouse and second by Mr. Christen to adjourn. Motion passed unanimously.

Meeting adjourned at 11:09 AM.

Audit Committee Report – Committee Chairperson Ms. Pat Lebrun

Attached is the Minutes from the SDSTA Audit Committee Meeting held on November 13, 2014.

Also included (under separate cover in the Board packet) is the SD Department of Legislative Audit Report Fiscal Year Ended June 30, 2014 for discussion.

Recommended Action:

Motion to accept the Audit Committee Minutes as presented.

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SDSTA Audit Committee Meeting

November 13, 2014, 10:00 AM (MT)

Participants:

Ms. Pat Lebrun, SDSTA Board of Director and Audit Committee Chair
Mr. Paul Christen, SDSTA Board of Director
Mr. Mike Headley, SDSTA Executive Director
Mr. Al Schaefer, SD Department of Legislative Audit, Auditor-in-Charge
Ms. Nancy Geary, SDSTA Chief Financial Officer

A close out audit teleconference was held today with discussions on the following:

1. Greetings were exchanged and we discussed the Closing Management Letter, Management Representations Letter, and Lead Schedule of Potential Audit Adjustments that were emailed to Ms. Lebrun and Mr. Christen. Mr. Schaefer noted that as in years past, an unqualified opinion would be issued on the financial statements for FY2014.
2. Mr. Schaefer said that the Closing Management Letter noted no deficiencies. He continued with discussing the Lead Schedule of Potential Audit Adjustments. Mr. Schaefer determined that there should be a reclassification of the Restricted Equity associated with Sanford Gift #2 based on Amendment #4. Amendment #4 stipulates that up to \$7M is to be used for education purposes associated with the Sanford Lab Homestake Visitor Center construction, the BHSU Jonas Science Center, and the Yates Education and Outreach project. The balance of Gift #2 is to be restricted for underground lab space and related infrastructure. Since these are separate restrictions, they should be labeled as such; thus the reclass was made, but the restricted total remains the same.
3. Other reclassifications were noted for the Cash Flow Statement based on capital and non-capital financing activities.
4. The final potential adjustment concerning reporting the construction of the Sanford Lab Homestake Visitor Center as Construction in Progress rather than it being reported as a donation since the SDSTA will not own the facility after it is completed. It will be owned and operated by the Lead Area Chamber of Commerce when completed. This project should be reported as Construction in Progress up until the completion date and then be reported as a donation. The amount reported of \$607,859 was deemed immaterial and not adjusted. If the project is not complete by June 30, 2015, the FY2015 year's costs will be reported as Construction in Progress and reported as a donation when complete.
5. All in all, the audit went well and was completed in a timely fashion. Mr. Schaefer had an additional person assist for approximately a week, which allowed the audit to be completed in a shorter time frame. The total invoice should be close to last year's \$9,939.

6. The Department of Legislative Audit should have a draft by next week for Ms. Geary to review. Once reviewed it should take about a week to get 10 copies to the SDSTA. This should be in time to include in the December Board packet; thus in time for discussion at the December Board meeting.
7. The Master Lead Schedule of Oral Comments was discussed concerning Mr. Ron Wheeler and related party disclosures, recommendations to move interest earnings (unrestricted funds) to cash center 01 with the State to track separately from restricted funds. Also discussed was separating funds with the State to reflect the separation of restricted funding for Sanford Gift #2 based on education purposes and UG lab space and related infrastructure purposes.
8. Ms. Lebrun noted that the Management Representations Letter was very informative as to the degree of representations that Mr. Headley and Ms. Geary were signing to. This letter was probably not sent to the Board in the past, but will be included in subsequent audits.
9. Mr. Schaefer asked if the Audit Committee or anyone had any further questions.
10. Ms. Lebrun and Mr. Christen thanked Mr. Schaefer, Mr. Headley, and Ms. Geary for their work in completing the audit. Mr. Schaefer, Mr. Headley, and Ms. Geary noted thanks to all that were involved in the audit including Ms. Geary's staff.

Financial Report – Mr. Mike Headley

Attached is the SDSTA Financial Summaries as of November 30, 2014. (This is a duplicate of the summaries found in the SDSTA November Monthly Report under Item #6.)

Recommended Action:

Motion to accept the Financial Report as presented.

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DIVISION: ALL

BALANCE SHEET

ASSETS

	AS OF
	11/30/14

CURRENT ASSETS	
First Interstate Checking	\$ 566,944.67
First Interstate Other	32,536.81

Total in Local Checking	599,481.48
SD Treas: Indemnification	10,000,000.00
SD Treas: Mine Closure	1,362,763.38
SD Treas: Operating	1,490,140.00
SD Treas: Sanford	6,702,170.48
SD Treas: Sanford Gift #2	6,634,062.00

Total with SD Treasurer	26,189,135.86
Billed A/R	1,424,967.34
Unbilled A/R	(5.79)
Other A/R	291,894.71
Inventory - Supplies	2,569,692.22
Inventory - Warehouse	369,796.44
Other Current Assets	351,561.84

Total Current Assets	31,796,524.10
FIXED ASSETS	
Land, Underground & Other	12,353,375.03
Bldgs & Infrastructure	8,881,327.62
Improvements	49,286,320.20
Computer Equipment	362,464.95
Equipment & Fixtures	9,403,387.17
Accum Depr & Amort	(7,987,437.31)

Total Fixed Assets	72,299,437.66
OTHER ASSETS	
Work in Process	3,143,027.54
Equipment - Capital Lease	564,767.41

Total Other Assets	3,707,794.95
=====	
TOTAL ASSETS	\$ 107,803,756.71
=====	

DIVISION: ALL

BALANCE SHEET

LIABILITIES & EQUITY

	AS OF
	11/30/14

CURRENT LIABILITIES	
Accounts Payable	\$ 985,177.45
Other Payables	21,213.13

Total Accounts Payable	1,006,390.58
Accrued Payroll Liab	638,258.31

Total Current Liabilities	1,644,648.89
OTHER LIABILITIES	
LT Accrued EB/Lease	564,767.41

Total Other Liabilities	564,767.41
STOCKHOLDER'S EQUITY	
Restricted: Indemnificati	10,000,000.00
Restricted: Sanford I.Lab	6,702,170.48
Restricted: Mine Closure	1,362,763.38
Restricted: Sanford Gift2	6,634,062.00

Total Restricted Funds	24,698,995.86
Investment in Gen FA	72,299,437.66
Unrestricted Funds	8,595,906.89

Total Equity	105,594,340.41
TOTAL LIABILITIES & EQUITY	 =====
	\$ 107,803,756.71
	=====

ALL

STATEMENT OF INCOME

FOR THE PERIOD ENDING 11/30/14

	YR-TO-DATE

REVENUE	
DOE Subcontracts	\$ 6,066,353.28
NSF Subcontracts	7,114.60
State Revenue	1,258,683.06
Contributions & Donations	515,000.00
Checking Interest	30.86
Interest Income	84,743.09

TOTAL REVENUE	7,931,924.89
DIRECT COSTS	
Direct Labor	2,940,189.63
ERT Labor	13,068.00
Board of Directors	1,232.22
Capital Outlay >\$5K	19,166.00
Contractual Svcs	912,470.51
Emergency Resp	1,030.34
Inventory	73,669.31
Supplies	251,692.56
Travel - Domestic	26,715.30
Travel - Foreign	23,644.55
Utilities	734,380.65
Other Direct Costs	98,012.55
Unallow/Unbill Costs	163,753.24

TOTAL DIRECT COSTS	5,259,024.86
INDIRECT COSTS	
Fringe Benefits	1,301,509.37
Overhead	1,515,758.04

TOTAL INDIRECT COSTS	2,817,267.41

GROSS PROFIT FROM OPERATIONS	(144,367.38)

OTHER INCOME	
Water Treatment	114,692.96
Miscellaneous Income	22,059.20

TOTAL OTHER INCOME	136,752.16
OTHER EXPENSES	
Loss(Gain) on Sale of FA	2,852.14
Reclass Incr Net Assets	(495,815.79)

TOTAL OTHER EXPENSES	(492,963.65)
	=====
NET INCOME/LOSS	485,348.43
	=====

DIVISION: ALL

COMPARATIVE BALANCE SHEET

ASSETS

	AS OF 11/30/14	AS OF 11/30/13	\$ CHANGE	% CHANGE
CURRENT ASSETS				
First Interstate Checking	\$ 566,944.67	\$ 411,860.57	155,084.10	37.65%
First Interstate Other	32,536.81	31,530.00	1,006.81	3.19%
	-----	-----	-----	-----
Total in Local Checking	599,481.48	443,390.57	156,090.91	35.20%
SD Treas: Indemnification	10,000,000.00	10,000,000.00	-	0.00%
SD Treas: Mine Closure	1,362,763.38	1,349,275.35	13,488.03	1.00%
SD Treas: Operating	1,490,140.00	821,459.00	668,681.00	81.40%
SD Treas: Sanford	6,702,170.48	3,457,007.40	3,245,163.08	93.87%
SD Treas: Sanford Gift #2	6,634,062.00	19,354,145.00	(12,720,083.00)	-65.72%
	-----	-----	-----	-----
Total with SD Treasurer	26,189,135.86	34,981,886.75	(8,792,750.89)	-25.14%
Billed A/R	1,424,967.34	1,136,426.03	288,541.31	25.39%
Unbilled A/R	(5.79)	(64,615.63)	64,609.84	-99.99%
Other A/R	291,894.71	184,984.47	106,910.24	57.79%
Inventory - Supplies	2,569,692.22	2,702,464.79	(132,772.57)	-4.91%
Inventory - Warehouse	369,796.44	43,862.87	325,933.57	743.07%
Other Current Assets	351,561.84	374,693.20	(23,131.36)	-6.17%
	-----	-----	-----	-----
Total Current Assets	31,796,524.10	39,803,093.05	(8,006,568.95)	-20.12%
FIXED ASSETS				
Land, Underground & Other	12,353,375.03	12,353,375.03	-	0.00%
Bldgs & Infrastructure	8,881,327.62	8,881,327.62	-	0.00%
Improvements	49,286,320.20	43,964,388.80	5,321,931.40	12.11%
Computer Equipment	362,464.95	357,294.53	5,170.42	1.45%
Equipment & Fixtures	9,403,387.17	8,094,211.05	1,309,176.12	16.17%
Accum Depr & Amort	(7,987,437.31)	(6,338,173.10)	(1,649,264.21)	26.02%
	-----	-----	-----	-----
Total Fixed Assets	72,299,437.66	67,312,423.93	4,987,013.73	7.41%
OTHER ASSETS				
Work in Process	3,143,027.54	1,709,877.20	1,433,150.34	83.82%
Equipment - Capital Lease	564,767.41	733,498.57	(168,731.16)	-23.00%
	-----	-----	-----	-----
Total Other Assets	3,707,794.95	2,443,375.77	1,264,419.18	51.75%
	-----	-----	-----	-----
TOTAL ASSETS	\$ 107,803,756.71	\$ 109,558,892.75	(1,755,136.04)	-1.60%
	=====	=====	=====	=====

DIVISION: ALL

COMPARATIVE BALANCE SHEET

LIABILITIES & EQUITY

	AS OF 11/30/14	AS OF 11/30/13	\$ CHANGE	% CHANGE
CURRENT LIABILITIES				
Accounts Payable	\$ 985,177.45	\$ 629,154.40	356,023.05	56.59%
Other Payables	21,213.13	5,200.48	16,012.65	307.91%
	-----	-----	-----	-----
Total Accounts Payable	1,006,390.58	634,354.88	372,035.70	58.65%
Accrued Payroll Liab	638,258.31	686,684.77	(48,426.46)	-7.05%
	-----	-----	-----	-----
Total Current Liabilities	1,644,648.89	1,321,039.65	323,609.24	24.50%
OTHER LIABILITIES				
LT Accrued EB/Lease	564,767.41	733,498.57	(168,731.16)	-23.00%
	-----	-----	-----	-----
Total Other Liabilities	564,767.41	733,498.57	(168,731.16)	-23.00%
	-----	-----	-----	-----
TOTAL LIABILITIES	2,209,416.30	2,054,538.22	154,878.08	7.54%
STOCKHOLDER'S EQUITY				
Restricted: Indemnificati	10,000,000.00	10,000,000.00	-	0.00%
Restricted: Sanford I.Lab	6,702,170.48	3,457,007.40	3,245,163.08	93.87%
Restricted: Lab	-	821,459.00	(821,459.00)	-100.00%
Restricted: Mine Closure	1,362,763.38	1,349,275.35	13,488.03	1.00%
Restricted: Sanford Gift2	6,634,062.00	19,354,145.00	(12,720,083.00)	-65.72%
	-----	-----	-----	-----
Total Restricted Funds	24,698,995.86	34,981,886.75	(10,282,890.89)	-29.39%
Investment in Gen FA	72,299,437.66	67,312,423.93	4,987,013.73	7.41%
Unrestricted Funds	8,595,906.89	5,210,043.85	3,385,863.04	64.99%
	-----	-----	-----	-----
TOTAL EQUITY	105,594,340.41	107,504,354.53	(1,910,014.12)	-1.78%
	=====	=====	=====	=====
TOTAL LIABILITIES & EQUITY	\$ 107,803,756.71	\$ 109,558,892.75	(1,755,136.04)	-1.60%
	=====	=====	=====	=====

DIVISION: ALL

COMPARATIVE STATEMENT OF INCOME

FOR THE PERIOD ENDING 11/30/14

	YEAR TO DATE	PRIOR YEAR TO DATE	\$ CHANGE	% CHANGE
REVENUE				
DOE Subcontracts	\$ 6,066,353.28	\$ 5,765,461.49	\$ 300,891.79	5.22%
NSF Subcontracts	7,114.60	108,827.54	(101,712.94)	-93.46%
State Revenue	1,258,683.06	2,001,849.10	(743,166.04)	-37.12%
Contributions & Donations	515,000.00	-	515,000.00	100.00%
Checking Interest	30.86	25.24	5.62	22.27%
Interest Income	84,743.09	112,319.00	(27,575.91)	-24.55%
TOTAL REVENUE	7,931,924.89	7,988,482.37	(56,557.48)	-0.71%
DIRECT COSTS				
Direct Labor	2,940,189.63	2,926,514.67	13,674.96	0.47%
ERT Labor	13,068.00	9,987.50	3,080.50	30.84%
Board of Directors	1,232.22	2,396.47	(1,164.25)	-48.58%
Capital Outlay >\$5K	19,166.00	104,944.43	(85,778.43)	-81.74%
Contractual Svcs	912,470.51	682,521.76	229,948.75	33.69%
Emergency Resp	1,030.34	18,456.92	(17,426.58)	-94.42%
Inventory	73,669.31	155,310.61	(81,641.30)	-52.57%
Supplies	251,692.56	522,957.85	(271,265.29)	-51.87%
Travel - Domestic	26,715.30	26,398.42	316.88	1.20%
Travel - Foreign	23,644.55	10,659.91	12,984.64	121.81%
Utilities	734,380.65	607,867.57	126,513.08	20.81%
Other Direct Costs	98,012.55	97,994.57	17.98	0.02%
Unallow/Unbill Costs	163,753.24	114,178.27	49,574.97	43.42%
TOTAL DIRECT COSTS	5,259,024.86	5,280,188.95	(21,164.09)	-0.40%
INDIRECT COSTS				
Fringe Benefits	1,301,509.37	1,281,688.36	19,821.01	1.55%
Overhead	1,515,758.04	1,350,113.93	165,644.11	12.27%
TOTAL INDIRECT COSTS	2,817,267.41	2,631,802.29	185,465.12	7.05%
GROSS PROFIT	(144,367.38)	76,491.13	(220,858.51)	-288.74%
OTHER INCOME				
Water Treatment	114,692.96	67,790.83	46,902.13	69.19%
Miscellaneous Income	22,059.20	48,435.76	(26,376.56)	-54.46%
TOTAL OTHER INCOME	136,752.16	116,226.59	20,525.57	17.66%
OTHER EXPENSES				
Loss(Gain) on Sale of FA	2,852.14	-	2,852.14	100.00%
Reclass Incr Net Assets	(495,815.79)	(682,534.65)	186,718.86	-27.36%
TOTAL OTHER EXPENSES	(492,963.65)	(682,534.65)	189,571.00	-27.77%
NET INCOME/LOSS	\$ 485,348.43	\$ 875,252.37	(389,903.94)	-44.55%

South Dakota Science & Technology Authority
Available Cash
11/30/2014

Cash Total Checking/Savings	\$ 599,481.00
Cash With State Treasurer	<u>\$ 26,189,136.00</u>
Total Cash	\$ 26,788,617.00
Less: Restricted Funds	
Indemnification & Mine Closure	<u>\$ (11,362,763.00)</u>
Total Cash (Not Restricted)	\$ 15,425,854.00
Less: Total Liabilities	<u>\$ (2,209,416.00)</u>
Available Cash	<u><u>\$ 13,216,438.00</u></u>

SDS&TA Operating Budget Summary FY14/15
Actual vs Budget
November 2014 & YTD

	\$ Over/Under				\$ Over/Under				
	Nov. 2014	Budget	Budget	% of Budget	Actual YTD	YTD Budget	Budget	% of Budget	% Remaining
100%									
SDSTA (Authority) Direct Charges									
Board of Directors	\$18,159.00	\$19,184.00	\$1,025.00	94.66%	\$89,901.00	\$95,920.00	\$6,019.00	93.72%	6.28%
Executive Office	\$15,385.00	\$22,555.00	\$7,170.00	68.21%	\$106,700.00	\$116,289.00	\$9,589.00	91.75%	8.25%
Communications	\$14,616.00	\$12,896.00	-\$1,720.00	113.34%	\$65,372.00	\$68,325.00	\$2,953.00	95.68%	4.32%
Science Center E & O	\$0.00	\$0.00	\$0.00	0.0%	\$13,650.00	\$20,590.00	\$6,940.00	66.29%	33.71%
Science Liaison	\$1,637.00	\$2,031.00	\$394.00	0.0%	\$5,178.00	\$10,155.00	\$4,977.00	50.99%	49.01%
Subtotal	\$49,797.00	\$56,666.00	\$6,869.00	87.88%	\$280,801.00	\$311,279.00	\$30,478.00	90.21%	9.79%
Federal/State Funding - Direct Charges									
Fermi P.O. #609755 NEPA	\$6,943.00	\$4,658.00	-\$2,285.00	149.06%	\$36,527.00	\$49,216.00	\$12,689.00	74.22%	25.78%
Fermi P.O. #610998HDR	\$0.00	\$0.00	\$0.00	0.0%	\$358.00	\$370.00	\$12.00	96.76%	3.24%
Fermi P.O. #613525 Staff Services	\$0.00	\$0.00	\$0.00	0.0%	\$103,050.00	\$103,054.00	\$4.00	100.00%	0.00%
Fermi P.O. #614807 Ph2 Geotech	\$12,550.00	\$14,284.00	\$1,734.00	87.86%	\$260,398.00	\$443,893.00	\$183,495.00	58.66%	41.34%
Fermi P.O.#618228 Staff Services	\$26,766.00	\$19,197.00	-\$7,569.00	139.43%	\$31,146.00	\$24,089.00	-\$7,057.00	129.30%	-29.30%
Fermi P.O.#618743LBNOIntern.	\$43,900.00	\$50,560.00	\$6,660.00	86.83%	\$43,900.00	\$50,560.00	\$6,660.00	86.83%	13.17%
Fermi P.O.#618741 Excav.Des.	\$34,880.00	\$137,780.00	\$102,900.00	25.32%	\$34,880.00	\$137,780.00	\$102,900.00	25.32%	74.68%
LBNL LUX C#6973786	\$11,716.00	\$15,025.00	\$3,309.00	77.98%	\$59,503.00	\$71,050.00	\$11,547.00	83.75%	16.25%
LBNL Operations C#6994297	\$868,653.00	\$882,624.00	\$13,971.00	98.42%	\$4,260,741.00	\$4,730,694.00	\$469,953.00	90.07%	9.93%
LBNL LUX/Zepplin C#7093667	\$12,817.00	\$13,389.00	\$572.00	95.73%	\$66,539.00	\$76,835.00	\$10,296.00	86.60%	13.40%
MJD (Majorana) # 5-4473	\$2,373.00	\$2,000.00	-\$373.00	118.65%	\$9,653.00	\$8,000.00	-\$1,653.00	120.66%	-20.66%
CWR P.O. #228814 G2LZ	\$0.00	\$0.00	\$0.00	0.0%	\$956.00	\$1,100.00	\$144.00	86.91%	13.09%
CUBED - USD	\$177.00	\$500.00	\$323.00	35.4%	\$896.00	\$2,500.00	\$1,604.00	35.84%	64.16%
Sanf.Sci.Ed.Center - GOED Funded	\$22,626.00	\$25,000.00	\$2,374.00	90.5%	\$92,543.00	\$98,000.00	\$5,457.00	94.43%	5.57%
U. of Minn. DUGL#A003778902	\$1,427.00	\$1,500.00	\$73.00	95.13%	\$4,736.00	\$25,500.00	\$20,764.00	18.57%	81.43%
Subtotal	\$1,044,828.00	\$1,166,517.00	\$121,689.00	89.57%	\$5,005,826.00	\$5,822,641.00	\$816,815.00	85.97%	14.03%
Indirect Expenses									
Indirect Charges Personnel	\$83,524.00	\$91,059.00	\$7,535.00	91.73%	\$423,541.00	\$471,180.00	\$47,639.00	89.89%	10.11%
Indirect Charges Other	\$183,156.00	\$246,195.00	\$63,039.00	74.39%	\$1,212,008.00	\$1,184,012.00	-\$27,996.00	102.36%	-2.36%
Subtotal	\$266,680.00	\$337,254.00	\$70,574.00	79.07%	\$1,635,549.00	\$1,655,192.00	\$19,643.00	98.81%	1.19%
Totals	\$1,361,305.00	\$1,560,437.00	\$199,132.00	87.24%	\$6,922,176.00	\$7,789,112.00	\$866,936.00	88.87%	11.13%

SDSTA CAPEX Budget Summary FY14/15
Actual vs Budget
November 2014 & YTD

<u>Budget Area</u>	<u>Actual Month</u>	<u>FY2015 Monthly Budget</u>	<u>\$ Over/Under Budget</u>	<u>% of Budget</u>	<u>Actual YTD</u>	<u>FY2015 YTD Budget</u>	<u>\$ Over/Under Budget</u>	<u>% of Budget</u>	<u>% Remaining</u>
									100.00%
Operational CAPEX	\$ 806,930.44	\$ 1,017,662.00	\$ 210,731.56	79.29%	\$ 4,436,186.10	\$ 18,366,715.00	\$ 13,930,528.90	24.15%	75.85%
TOTAL CAPEX	\$ 806,930.44	\$ 1,017,662.00	\$ 210,731.56	79.29%	\$ 4,436,186.10	\$ 18,366,715.00	\$ 13,930,528.90	24.15%	75.85%

SD Science & Technology Authority
Operational CAPEX Budget
Monthly Actual vs Budget

Project #	Project Description	Nov. 2014	Budget	\$ Over/UnderBudget	% of Budget
CAP2012-13	Water/Hazard Mitigation Work		\$ 10,000.00	\$ 10,000.00	0.00%
CAP2012-27	Ross Shaft Furnishings Repl.M&S	\$ 163,796.24	\$ 237,498.00	\$ 73,701.76	68.97%
CAP2012-28	Work Decks		\$ -	\$ -	0.00%
CAP2012-32	SDSTA Personnel	\$ 186,598.25	\$ 207,572.00	\$ 20,973.75	89.90%
CAP2013-06	Yates Shaft Improvements	\$ -	\$ 25,000.00	\$ 25,000.00	0.00%
CAP2014-01	Sanford Visitor Center Design & Construction	\$ 217,547.48	\$ 270,842.00	\$ 53,294.52	80.32%
CAP2014-02	Xenon Gas	\$ 2,850.00	\$ 5,000.00	\$ 2,150.00	57.00%
CAP2014-04	Surface Lab Roof		\$ -	\$ -	0.00%
CAP2014-05	CASPAR Experiment Development	\$ 99,201.33	\$ 80,000.00	\$ (19,201.33)	124.00%
CAP2014-06	BHSU Jonas Science Building Renovation		\$ -	\$ -	0.00%
CAP2014-07	Davis Campus HVAC Augment System		\$ -	\$ -	0.00%
CAP2014-09	CASPAR Facility Development	\$ 136,937.14	\$ 181,750.00	\$ 44,812.86	75.34%
CAP2014-11	BHSU Facility Development		\$ -	\$ -	0.00%
CAP2015-01	WTP Tank & Install		\$ -	\$ -	0.00%
CAP2015-02	Yates Tunnel Hazard Mitigation		\$ -	\$ -	0.00%
CAP2015-03	Yates/Ross Hoist Bldg. Masonry		\$ -	\$ -	0.00%
CAP2015-04	Ellison Real Estate Option		\$ -	\$ -	0.00%
	Monthly Totals	\$ 806,930.44	\$ 1,017,662.00	\$ 210,731.56	79.29%

SD Science & Technology Authority
Operational CAPEX Budget
YTD FY2015 Actual vs Budget

Project #	Project Description	Nov. YTD FY2015	FY2015 Budget	\$ Over/UnderBudget	% of Budget	% Remaining
						100%
CAP2012-13	Water/Hazard Mitigation Work	\$3,199.50	\$ 113,643.00	\$ 110,443.50	2.82%	97.18%
CAP2012-27	Ross Shaft Furnishings Repl.M&S	\$1,054,964.22	\$ 4,643,148.00	\$ 3,588,183.78	22.72%	77.28%
CAP2012-28	Work Decks	\$18,375.00	\$ 45,000.00	\$ 26,625.00	40.83%	59.17%
CAP2012-32	SDSTA Personnel	\$835,094.62	\$ 2,231,015.00	\$ 1,395,920.38	37.43%	62.57%
CAP2013-06	Yates Shaft Improvements	\$29,900.69	\$ 300,000.00	\$ 270,099.31	9.97%	90.03%
CAP2014-01	Sanford Visitor Center Design & Construction	\$1,520,626.84	\$ 4,437,425.00	\$ 2,916,798.16	34.27%	65.73%
CAP2014-02	Xenon Gas	\$5,100.00	\$ 67,145.00	\$ 62,045.00	7.60%	92.40%
CAP2014-04	Surface Lab Roof	\$44,839.26	\$ 44,785.00	\$ (54.26)	100.12%	-0.12%
CAP2014-05	CASPAR Experiment Development	\$162,182.57	\$ 969,766.00	\$ 807,583.43	16.72%	83.28%
CAP2014-06	BHSU Jonas Science Building Renovation	\$0.00	\$ 2,500,000.00	\$ 2,500,000.00	0.00%	100.00%
CAP2014-07	Davis Campus HVAC Augment System	\$10,776.50	\$ 280.00	\$ (10,496.50)	3848.75%	-3748.75%
CAP2014-09	CASPAR Facility Development	\$454,167.96	\$ 2,178,308.00	\$ 1,724,140.04	20.85%	79.15%
CAP2014-11	BHSU Facility Development	\$77,591.51	\$ 500,000.00	\$ 422,408.49	15.52%	84.48%
CAP2015-01	WTP Tank & Install	\$110,167.43	\$ 97,000.00	\$ (13,167.43)	113.57%	-13.57%
CAP2015-02	Yates Tunnel Hazard Mitigation	\$0.00	\$ 100,000.00	\$ 100,000.00	0.00%	100.00%
CAP2015-03	Yates/Ross Hoist Bldg. Masonry	\$94,200.00	\$ 94,200.00	\$ -	100.00%	0.00%
CAP2015-04	Ellison Real Estate Option	\$15,000.00	\$ 45,000.00	\$ 30,000.00	33.33%	66.67%
	Totals	\$4,436,186.10	\$ 18,366,715.00	\$ 13,930,528.90	24.15%	75.85%

BHSU Pledged Contribution
(will add \$200,000 when received)

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Executive Director's Report – Mr. Mike Headley

Executive Director's Report:

- 6A. Declarations of Surplus:
 - 1. #6 Winze Wire Rope (attached, informational)
 - 2. JLG T500 Towable Lift (attached, informational)
- 6B. SDSTA November Monthly Report (attached)
- 6C. Science Operations Update (presentation by Dr. Jaret Heise)
- 6D. Sanford Lab Homestake Visitor Center Plans and Underground Construction Update (presentation by Mr. Joshua Willhite)

Recommended Action:

Motion to accept the Executive Director's Report as presented.

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DECLARATION OF SURPLUS PROPERTY

The South Dakota Science and Technology Authority (SDSTA) owns eight (8) reels of #6Winze wire rope weighing 28 tons stored in the Ross Yard. These ropes would not be satisfactory for use should the #6Winze be restored to service in the future to provide transport to the 5000L.

Having no further use for this property presently valued at \$6,057.14, I hereby declare the eight reels of #6Winze wire rope to be Surplus Property. It will be sold to Realta Ventures.

Dated at Lead, South Dakota this 18th day of November, 2014.

A handwritten signature in blue ink, appearing to read "Mike Headley".

Mike Headley
SDSTA Executive Director



DECLARATION OF SURPLUS PROPERTY

The South Dakota Science and Technology Authority (SDSTA) will purchase a JLG 1930ES Electric Scissor Lift from Dakota Equipment Rental valued at \$20,470 to replace its JLG T500 Towable Lift. The replacement equipment can be used in many more locations throughout the property, in both indoor and outdoor environments.

The JLG T500 Towable Lift used presently has a net value of \$17,708 after depreciation. Having no further use for this equipment, it is hereby declared to be Surplus Property to be exchanged as a straight across trade-in for the replacement equipment.

Dated at Lead, South Dakota this 18th day of November, 2014.

A handwritten signature in blue ink, appearing to read "Mike Headley".

Mike Headley
SDSTA Executive Director



South Dakota Science and Technology Authority

Monthly Report

November 2014

Mike Headley, Laboratory Director

Executive Summary

Science

For the Large Underground Xenon (LUX) experiment, detector tritium calibrations were completed by mid-November. Weakly Interacting Massive Particles (WIMP)-search data collection resumed after the tritium was sufficiently filtered using the standard purification system. The 300-day data collection run is underway. The average LUX crew in November consisted of almost five people for a combined total of 650 hours.

The MAJORANA DEMONSTRATOR (MJD) collaboration continued to collect background data using the Prototype Cryostat, which consists of three strings of natural germanium detectors inside the main detector shield. A re-etching of Cryostat 1 parts that was started in October was completed in November and calibrations with various sources continue to be performed on a regular basis for detectors inside string test cryostats. Assembly and commissioning activities for both Cryostat 1 and Cryostat 2 are proceeding well. Production physics data is still expected in 2015.

In late November, MJD received an Authorization To Proceed (ATP) for full detector shield assembly, which includes installation of the upper plastic panels for neutron shielding that will fully enclose the shield. Given the potential ergonomic hazards, the ATP memo recommended a reassessment of the panel installation procedure after work commences. Several facility modifications will be evaluated to accommodate the additional fire load, such as additional smoke detectors above and inside the shield. MJD liquid nitrogen consumption at the Davis Campus remains relatively high, requiring almost daily dewar deliveries as well as continued assistance from SDSTA Operations personnel in performing dewar swaps on some weekends. MAJORANA continued with a significant presence through November, with an average of almost nine people combining for a total of 1228 hours.

The LUX-ZEPLIN (LZ) collaboration is still planning their Department of Energy (DOE) Critical Decision One (CD-1) review for January 27-29, 2015. Surface infrastructure upgrades have been proposed for FY2015, contingent on LZ federal and SDSTA funding and completion of designs.

Underground Access

In early November, the Ross Shaft rehabilitation team suspended the removal of old steel and the installation of new steel so that other scheduled tasks related to the project could be completed. The Ross crews began and completed the filling of the 2600L and 2000L skip pockets with a lightweight "cellular" concrete material. Also in November and early December, the 2000L station was rehabilitated, and steel installation activities restarted. A significant number of brattice panels between the various shaft compartments were also installed in November.

A Yates Cage Hoist motor was replaced and a Yates Ore Hoist motor was rebuilt in early November to ensure long-term, reliable operation. Yates Shaft crews made good progress in the cage compartment while the motor was being rebuilt around the 1500-foot mark. In all, 182 components of the shaft were addressed. Also, a substantial bulkhead was constructed at the 2300L within the utility compartment to provide added overhead protection. Crews transported 111 cage loads of material in support of Science and SDSTA requirements in November.

Facility Infrastructure

On December 1, the underground water level was 5,712 feet. This equals a 20-foot rise for the month. In November, the Deep Well pump located in the #6 Winze failed and will be replaced in January. The Deep Well pump is a leased asset and the vendor is responsible for removing the failed pump and installing a replacement.

Engineering

The Long-Baseline Neutrino Facility (LBNF) team continued discussions to enhance the international participation in the experiment. On October 8-10, a group of physicists and engineers from the Long Baseline Neutrino Oscillations (LBNO) collaboration in Europe visited the Sanford Lab site. As a result of the site visit,



South Dakota Science and Technology Authority

Monthly Report

November 2014

the interim international Executive Board (iiEB) has named the Sanford Lab to remain as the host for the LBNE-related detectors. LBNF meetings are planned for December 5 at CERN and December 12 at Fermilab to advance a Letter of Intent to recommend the formulation of a new LBNF international collaboration to the Fermilab Physics Advisory Committee (PAC) in early January.

Facility rehabilitation work continues near the Ross Shaft to construct facilities for the Compact Accelerator System for Performing Astrophysical Research (CASPAR) project and the Black Hills State University (BHSU) Underground Campus (BHUC). Installation of rock bolts and steel mesh is completed. Shotcrete application on the walls and ceiling commenced in late November. Outfitting construction is planned to begin in January 2015 and complete in May 2015.

The Sanford Lab Homestake Visitor Center construction continues towards a June 2015 opening. Two of three concrete pours for the 18-inch thick structural concrete foundation slab were completed in November. The third is planned for early December. Each of the three pours totals ~300 cubic yards of concrete or 900 cubic yards total. Structural steel placement will begin in mid-December. Visitor Center exhibit designs continue to advance and are planned to be completed by the June 2015 opening.

Environment, Health and Safety

The SDSTA had one recordable injury in November – a standard threshold shift or hearing degradation for one of the shaft personnel. The SDSTA has had four total recordable injuries for calendar 2014. The EHS Department completed a very successful EHS Oversight Committee (EHSOC) review the first week in November 2014. The EHSOC commented that the safety culture at the Sanford Lab has advanced greatly since their last visit in January 2014. This was based on discussions with both the management team and field staff.

Work continues on an Intergovernmental Agreement between the SDSTA and the South Dakota Department of Environment and Natural Resources (DENR) for disposal of LBNF waste rock at the Gilt Edge Superfund site. Although progress on the agreement has slowed somewhat, we are hopeful it will be completed in January.

Communications / Education and Outreach / Cultural

The Communications Department continued to make progress on content (written and video) for the exhibits at the new Sanford Lab Homestake Visitor Center.

Applications for 2015 Dave Bozied and Chris Bauer internships are now open and a flyer has been distributed to the student listserv and to campuses around the state. A copy of the flyer is attached following the Education and Outreach report. The application deadline is January 9.

Afterschool programs for elementary students in Spearfish (*Kid Zone*) and in Lead (*Stop and Grow*) continued in November. Several other similar education and outreach programs were held with school groups in the local area.

Twenty-eight students from three Rapid City high schools visited Sanford Lab on November 19 as part of an afterschool Science, Technology, Engineering and Mathematics, (STEM) career exploration program. The students had a virtual tour of the Davis Campus via videoconference with Alan Poon (Lawrence Berkeley National Laboratory) of the MAJORANA group. They heard about careers in science, engineering and project management and toured the Yates Hoist Room. Education and Outreach staff traveled to Sioux Falls to take part in *Discovery Days* at Sanford Research. *Discovery Days* is a career fair for high school students interested in STEM. Approximately 275 students attended from eastern South Dakota and northeastern Iowa. It is estimated that approximately 160 students interacted with Sanford Science Education Center staff either at our exhibit table or in one of six career sessions we hosted.

Finance and Contracts

For Sanford funded work, the SDSTA finished November \$6,869 under budget and is \$30,478 under budget for the 2015 state fiscal year. For DOE-funded operations, the SDSTA finished November \$17,544,375 under budget and is over budget \$335,831 for federal FY2015. This is expected since October was a three pay period month.

Underground Access Department

William McElroy, Director of Underground Access

Ross Shaft

The 2600 skip pocket was filled with 560 cubic yards of cellular concrete to eliminate the risk of a failure within the pocket that would jeopardize the shaft itself. To complete this task, cellular concrete was lowered in specially designed buckets that attached to the bottom of each of the shaft skips in 162 separate trips. This activity also eliminates the possibility of having uncontrolled water enter the shaft through the skip pocket. Once the 2600 skip pocket was filled, the project transitioned to the 2000 skip pocket for the same purpose. In early December, crews delivered 651 cubic yards of cellular concrete to completely fill this skip pocket.

Crews have installed the bulk of the protective brattice that protects the cage compartment from the skip compartment from the 1250L to the 1850L. This is being done as a "filler" activity in between filling the skip pocket with cellular concrete. Rehabilitation of the 2000L station has begun where the removal of a massive snow shed is required as well as the installation of different variations of ground control due to the complexity of the rock mass being addressed.

Yates Shaft

In early November, the Yates Ore Hoist was taken out of service for scheduled repair work. Up until this point crews had conducted Top Down Maintenance in the skip compartment between sets 341 and 380 (just above the 2600L). With the hoist unavailable, the Top Down Maintenance project relocated from working in the skip compartment to the cage compartment where work was completed between sets 182 and 202 (1500-feet down). In all, 182 components of the shaft were addressed this past month. Of these 182 components, 13 of them were T3 (poor condition) timber repairs. As a result of a recent Standard Operating Procedure (SOP) Change Control Board meeting, the decision was made to add a substantial bulk head at the 2300L and 2600L within the utility compartment to provide added overhead protection. This bulkhead was constructed using 10-inch x 10-inch timber beams that spanned the compartment at the 2300L. The 2600L will be addressed once this level is reached. The Yates Shaft also transported 111 cage loads of material in support of Science and SDSTA requirements in November.



ROSS - Technician Applying Form Oil to Prevent Cellular Concrete from Sticking to Form



ROSS - Cellular Concrete Added to the 2000 Skip Pocket



YATES - Technician Framing in a Timber Post



YATES - 2000L Bulk Head in Utility Compartment

PROJECT DETAILS (NOV FY15)		SDSTA CAPEX BUDGET SUMMARY		
Title	Director	Budget	Expenses	% Spent
Underground Access Dept.	McElroy	\$ 7,085,559	\$ 1,830,529	26%
FINANCIAL STATUS				
Procured \$50k of Ross Shaft brattice. 1st of four shipments.				G
Procured \$60k worth of ready mix for Ross Skip Pocket project - within budget				G
PERFORMANCE STATUS LAST PERIOD				
ROSS				
No steel removed or installed during Nov due to addressing skip pockets				
Completed filling the 2600 skip pocket and raise w/ cell concrete = 580 cu yds				
Began filling 2000 skip pocket. 419 cu yds thus far				
Began rehabbing the 2000L station. Most challenging station thus far due to rock conditions				
YATES				
Transported 111 cage loads to support SDSTA and Science loads in the month				
Have addressed 182 individual pieces of the shaft structure including 13 T3 condition timbers				
Installed substantial bulk head at the 2300L utility compartment				
Top Down Maintenance complete in skip compartment = set 380 and cage compartment = 202				
PLANNED ACTIVITIES NEXT PERIOD				
ROSS				
Complete filling 2000 skip pocket and rehabbing the 2000 station				
Resume steel installation and install down to set 130B				
YATES				
Install reinforced north skip bonnet				
Complete Top Down Maintenance effort in skip compartment to set 419 (2750L)				
MAJOR MILESTONES				
Ross - Complete filling 2000 and 2600 skip pockets	Q2 of 2015	G		
Ross - Complete project to 2450	Q3 of 2015	G		
Yates - Reach 2750 with Top Down Maintenance -skip side	Q2 of 2015	Y		

Facility Infrastructure Department

Tim Baumgartner, Director of Facility Infrastructure

Summary

Facility Infrastructure effort in November was directed to the following areas: facility maintenance, equipment repair, preventative maintenance, electrical and cyber infrastructure. During, November the facility infrastructure team worked extensively with the Engineering and Science Departments to focus on refining the operations and maintenance of specific subsystems including carbon monoxide (CO) monitoring, underground phones, leaky feeder (radio), power quality, building upgrades, pumping, dewatering, and hoist maintenance and repairs.

Davis Campus Maintenance

The team monitored and assisted with new equipment installation and ensured the manufacturer standards were met. Electrical inspections and documentation for Surface Lab equipment are continuing. Also, residue acid from copper cleaning was transported to the surface. Yates Shaft personnel assisted with delivery of supplies to the Davis Campus and participated in evacuation drills. A service contract with Johnson Controls, our HVAC control contractor, has been put in place.

Surface Facility Maintenance Building and Grounds

The SDSTA completed all seven (7) day, thirty (30) day, and annual (360) day preventative maintenance activities. Three staff members participated in the monthly Safety Committee meeting. Boart jackleg drills were repaired, replacement of the Yates cage hoist over wind DC motor was completed, and snow removal and sanding efforts have begun. Storm water inspections and road repairs continued as well as ongoing repairs to the shop buildings.

Waste Water Treatment Plant (WWTP)

At the end of November, the water level in the underground pool was at 5,712 feet. The total loss for the month was twenty feet. Pumping adjustments were made as a result of the deep well pump failure and monitoring low-flow conditions. The team continued the advancement of job hazard analysis and standard operating procedures as well as supported MAJORANA DEMONSTRATOR (MJD) with neutralizing chemical by-products of their process. All preventative maintenance duties were performed. Lab-wide cleanup and disposal of abandoned in place equipment is continuing.

Transportation and Mobile Equipment

The team performed vehicle preventative maintenance actions and repairs to fleet and site vehicles. Also, the team maintained underground locomotives and support equipment and completed maintenance on the skid steer loaders, air compressors, snow, and hazard mitigation equipment.

Electrical and Cyber Infrastructure

During November, the SDSTA performed shaft pump preventative maintenance. The team continues to support the Ross and Yates Shaft Rehabilitation Project with the relocation of power cables in the shaft as the new steel is installed. The team continues to work reviewing and modifying the underground communications infrastructure to ensure each level has functional copper-based phones and FEMCO (i.e. twisted pair) phones at each underground facility level; cable replacement continues below 1250L. Installation of CO and airflow monitors at the Oro Hondo fan location is progressing well with good results. A utility support system on the 4850L is being installed to provide support for power, communications, and water. Also, infrastructure is being installed on the 4850L at the future Compact Accelerator System Performing Astrophysical Research (CASPAR) and BHSU areas for construction power and communications. Power and fiber installations are complete for the Deep Underground Gravity Laboratory (DUGL) at the 4850L.

Dewatering

The dewatering team is currently focusing on high pressure water systems and shaft rehabilitation support, check valve installation and 1250L pump room upgrades, and Yates Shaft water box valve replace/rebuilds.. Also, Standard Operating Procedures (SOP's) and Job Hazard Analysis (JHA's) continue to be developed.

Engineering Department

Joshua Willhite, Director of Engineering

Long-Baseline Neutrino Experiment (LBNE)

As part of the internationalization effort, a group of physicists and engineers from the Long Baseline Neutrino Oscillation (LBNO) collaboration in Europe were invited to visit the Sanford Underground Research Facility (SURF) site October 8-10. This visit included presentations on the geotechnical characteristics of SURF, as well as the design and cost methodology used for the detector and facilities at SURF. Site tours of the surface and underground were conducted to demonstrate the capabilities of the facility. This visit went well by all accounts, providing a good springboard from which to develop an ongoing relationship with the LBNO group. A teleconference is scheduled for December 15 to agree to a plan to address differences between the plans.

LBNE formed an interim international Executive Board (iiEB) to develop a Letter of Intent (LOI) for a new international collaboration. This board has met several times and is making good progress toward defining a road map forward. Meetings will be held at CERN and at Fermilab in December to advise potential collaborators of the plans. SDSTA Engineering Director Joshua Willhite will represent SURF at the Fermilab meeting.

The Engineering team continues to support the LBNE Environmental Assessment (EA) process for National Environmental Policy Act (NEPA), addressing comments from the Department of Energy (DOE). The EA is being modified slightly to capture the possibility of an increase in scope for an internationalized effort.

Discussions continue with the South Dakota Department of Environment and Natural Resources (DENR) and the Federal Environmental Protection Agency (EPA) to establish an agreement for use of the former Gilt Edge Superfund Mine site as a repository for LBNE excavated rock. An agreement has gone through several iterations, with a goal of completion by the end of the calendar year. This agreement is pending further understanding of design costs at the Gilt Edge Mine site.

CASPAR (Compact Accelerator System Performing Astrophysical Research)

The SDSTA Board reviewed the CASPAR design and preliminary budget in early December 2013, approving funding for the initial design and rehabilitation efforts. A collaboration of Dean Kurtz Construction in Rapid City, SD and Leo A Daly in Minneapolis, MN was selected for this scope. The 100% deliverable for design, cost, and schedule were provided in late July. A contract modification was finalized in October to support the construction of the facility. Plans are currently in development to allow the contractor to mobilize in January 2015.

The rehabilitation of the space for CASPAR, including ground support and shotcrete, is being performed by the SDSTA Hazard Mitigation Crew. Shotcrete application began November 26, with expectations to be completed in early January.

Black Hills State University (BHSU) Underground Campus (BHUC)

Black Hills State University submitted a proposal to develop a multipurpose clean and dirty space to support low background counting activities, biology study workstations, and other future small-scale experiments. The design of this space was added to the contract with Dean Kurtz Construction and Leo A Daly due to the close proximity and potential for shared utilities with CASPAR. The 100% design, cost and schedule, was provided in August. As with CASPAR, the contract modifications to support construction were finalized in early October.

Primary ground support of the BHUC space was completed in November, with longer cable bolt installation extending into December. Installation of cable bolts is not expected to delay shotcrete, as it should be completed before the shotcrete application is completed for CASPAR.

In the November report, it was noted that a failure of the Deep Well pump on November 1 may impact the ability to perform shotcreting, as the repair of the pump is performed in the same physical area as the shotcreting equipment is placed. Further discussions with the lessor of the pumping equipment has shifted the replacement into January, which will not impact the shotcrete process. This shift may have some impact on outfitting, but it is expected to be minor as compared to the impact that would have been realized during the shotcrete application.

Visitor Center

A Guaranteed Maximum Price (GMP) was agreed upon in June and construction commenced July 7 for the Sanford Lab Homestake Visitor Center. The final pier (22 total) was completed September 22, with the drill equipment removed from the site that same week. The next phase includes placement of an 18-inch thick

structural slab covering the entire building footprint. In total, more than 900 cubic yards of concrete will be required to complete this phase. The second of three major pours was completed November 18, with the third scheduled to be completed in early December. Weather delays have shifted this process back, but the overall schedule is still expected to meet the June 1, 2015 opening. Structural steel placement will begin in early December, and the building will be enclosed by mid-January.

Exhibit design continues to progress with the focus continued on specific exhibit content in November. This aspect of the project is also on track to allow for a June 2015 opening. All printed content was drafted in November, and is undergoing a review process with subject matter experts and editors in December. The Communications Department is also making excellent progress in procuring and/or producing video content to be displayed in the multiple touch screens throughout the building. Fabrication and review of a prototype wall section will be completed by the end of December.

Environment, Health and Safety (EHS) Department

Noel A. Schroeder, EHS Director

Environmental Summary

Environmental Communication

A majority of November focused on revisions to the Long-Baseline Neutrino Experiment (LBNE) Environmental Assessment (EA) as a result of scope revisions and Department of Energy (DOE) comments.

The Environmental Protection Agency (EPA) and South Dakota Department of Environment and Natural Resources (DENR) were contacted to discuss plans for accommodating revised LBNE cavern excavation rock tonnage/volume. The current amount of rock scheduled to be deposited at the Gilt Edge Superfund Site is 750,000 tons for the Proposed Action and 251,000 tons for Alternative A.

The DENR and Environmental Protection Agency (EPA) were contacted this past month concerning the failure of Sanford Lab's deep well pump and the operating conditions that will exist until the pumps repair. The main issue is the discharge of Barrick's Grizzly Gulch Dam water to the underground pool. This discharge has been permitted by the EPA and an Underground Injection Control (UIC) Permit by Rule under an emergency condition. This loss of the deep well pump will require Sanford Lab to pump water from Grizzly Gulch Dam on an intermittent basis rather than a continuous basis. After each intermittent pump, the water in the Grizzly Gulch Dam pipeline must be discharged to the underground to prevent it from freezing. This is the emergency in which we are invoking the UIC Permit by Rule. The EPA agreed with the use of the UIC Permit by Rule for this discharge until the pump is repaired.

The DENR was also contacted via e-mail concerning a rise in the discharge pH to Gold Run and Whitewood Creeks. Due to the loss of the deep well pump and other smaller but related factors, the pH in Sanford Lab's discharge has increased to 8.7. This pH is close to the permit limit of 8.8. A plan was developed to prevent a permit pH excursion by adding acid (sulfuric) to lower the pH. A process change such as this to the Waste Water Treatment Plant (WWTP) must be pre-approved by the DENR. This has been obtained and the pH addition will occur if the discharge pH reaches 8.75 or above, to prevent non-compliance. Thus far, no pH addition has been necessary as the pH has remained at 8.7. A Job Hazard Analysis (JHA) was written and reviewed to accomplish this task. Equipment and material (acid) was purchased to accomplish the pH adjustment.

Environmental Compliance

Water

Waste Water Discharge Summary through December 3, 2014:

Total water discharged through outfall 001 since June 5, 2008: **4,694,022,584 gallons**

Total Underground water treated since June 5, 2008: **2,762,788,258 gallons**

Total Tailing water treated since June 5, 2008: **2,061,611,224 gallons**

Total water discharged to sewer since June 5, 2008: **98,039,717 gallons**

There continues to be no news in regard to the renewal for the National Pollution Discharge Elimination System (NPDES) Permit SD0000043. SDSTA has been legally operating (discharging underground water and Barrick's tailing water) under this expired, existing permit.

The October Discharge Monitoring Report (DMR) was completed in the month of November. There were no violations. The DMR was electronically filed utilizing the NetDMR reporting tool.

The Davis Campus wash water was sampled for coliform/bacteria in November. Sampling indicated there were no bacteria in the Davis Campus wash water supply.

Air

Data continues to be collected for stationary internal combustion engines.

Solid Waste

Hazardous and non-hazardous waste were collected by Veolia (a large waste management company). The pounds of hazardous and non-hazardous waste shipped off-site were 844 and 526, respectively. Most of the hazardous waste collected and shipped were expired or abandoned products (new). Most of this waste was liquid and could not be accepted by a landfill.

Five drums of acid waste from MAJORANA were collected, treated and discharged in conformance with regulatory requirements (Metal Finishing Standards) at the WWTP.

National Environmental Protection Act (NEPA)

The final determination of the LBNE excavation tons cavern was provided by the Engineering Department and Fermilab Project staff. The Proposed Action Tons was capped at 750,000 tons and Alternative A was capped at 251,000 tons. This number allowed for completion (changes to the) EA. The Noise, Transportation, Accident and Air Quality Sections were correspondingly revised to account for these revised numbers. Various Figures in the LBNE EA were revised and redrafted.

The Memorandum Of Understanding (MOU) for depositing LBNE excavated rock at the Gilt Edge Mine Superfund Site continues to be refined primarily to account for the tons of waste rock and language relating to cost of any design changes to accommodate the additional rock.

Environmental Support Tasks

The State Historical Preservation Section 106 Form was provided to the SDSTA Engineering Department for demolition of the Tramway. This form was sent on to the Department of Energy Berkeley Site Office.

Various issues from inspections were followed up on including asbestos sampling, Material Safety Data Sheets (MSDS) review, wash rack chemicals for use underground, continued leak investigation at the WWTP clarifier tunnel, and battery recycling protocol.

Health and Safety Summary

Total Recordable Case (TRC) and Days Away Restricted Transfer (DART) cases by year – including SDSTA employees, researchers and contractors.

	2013	Rate	November 2014	2014 to date
<i>TRC Cases</i>	10	8.2	1	4
<i>DART Cases</i>	3	2.5	0	3

TRC = more than first aid treatment was given.

DART = more than first aid treatment was given AND restrictions were job limiting or the employee could not work. (Subset of a TRC)

November 2014 DARTS/TRC:

- November 12: TRC - Standard Threshold Shift (STS) confirmed for Infrastructure Technician

November 2014 First Aid Cases:

- November 18: Researcher struck and injured foot; applied ice only

November 2014 Category 1 or 2 Events:

- No events to report

November 2014 Category 3 Events:

- No events to report

November 2014 Items of Interest:

1. Various walk-through inspections were performed at the WWTP and the 4850L
2. Conducted the Environmental, Health, Safety Oversight Committee (EHSOC) oversight meeting on November 4-6. Sanford Lab received a draft report summarizing observations and recommendations for improvements. Overall, we received positive feedback on the EH&S program and performance at Sanford Lab.

EHSOC stated in their out-brief that the committee is "very pleased with the openness and attitude of staff with respect to discussing ESH and the cultural (safety) shift needed to move from mine to lab." Currently, Sanford Lab is waiting to receive the final report.

3. Finalized review/approval of Authorization To Proceed (ATP) for MAJORANA phase shield construction
4. Finalized and provided the 2014 Safety Perception Survey results for dissemination laboratory-wide
5. Installing new signage on the 4850L where needed as well as Personal Protection Equipment (PPE) signage laboratory-wide
6. Conducted monthly General Safety Basic training
7. Conducted quarterly Annual Refresher Training on topic of W-65 and OxyK use, Ventilation, Draeger gas testers, Emergency Response and other topics
8. Completed weekly gas tester bump tests/calibrations
9. Distributed two Flash Reports regarding Ross Shaft access and a mountain lion spotting on property
10. Continue to develop "Critical Lift Plan" form; developed "Personnel Platform Lift Plan" form
11. Conducted monthly Emergency Response Team / Underground Rescue Training
12. Completed 4850L Science Guide training for multiple researchers
13. Completed fall protection inspections for Ross Shaft crew
14. Provided respirator fit testing for Hazard Mitigation Crew and contractors
15. Conducted monthly random employee drug tests
16. Implemented new Surface Laboratory access procedures and security protocol
17. Completed monthly recycle efforts for batteries and other recyclables
18. Security provided snow removal of sidewalks and doorways as needed
19. Arranged and attended Crosby Hoist and Rigging training
20. Safety Committee representatives and Ross personnel conducted a safety sweep of the Ross Headframe
21. Provided guide service to Deep Underground Gravity Laboratory (DUGL) researchers throughout the property
22. Worked with User Support Office to create a "911" front desk procedure and implemented immediately

Science Department

Jaret Heise, Science Director

All nine oxygen sensors at the Davis Campus were calibrated in November using an updated procedure and log form. In addition to calibrations using the ambient 20.9% oxygen level and calibration gas designed to test the local alarms, some sensors were exposed to pure nitrogen to exercise the general facility alarm. One sensor was noted to trigger the general facility alarm above the nominal threshold, and it will be addressed. The oxygen sensor at the Surface Laboratory will be calibrated in December using the same procedure.

Progress continues with the Davis Campus combustible materials inventory that was initiated in September. In particular, combustibles and non-essential items were identified in the LUX laboratory spaces for transport to the surface.

An additional access point for the wireless network was installed in the main corridor of the Davis Campus to ensure strong coverage in this key area as well as in other near-by spaces.

Davis Campus evacuation drills/discussions continued through November, with a focus on alarm awareness and Oxygen Deficiency Hazard (ODH) scenarios. Researchers and staff discussed the use of (oxygen-producing) self-contained self-rescuers, evacuation paths, air handler unit response and evaluated the performance of the general facility alarm system.

Large Underground Xenon – LUX

Detector tritium calibrations comprising multiple data sets were completed by mid-November after beginning earlier in the month. Weakly Interacting Massive Particles (WIMP)-search data resumed after the tritium was sufficiently filtered using the standard purification system. A small amount of xenon (Xe) (0.6 kg) was lost during a routine krypton injection due to not waiting for a valve to close before the following step of the procedure.

Consistent sampling results suggest there are no air leaks in the Xe circulation system following last month's contamination of Xe in the SRV. Other systems that tie into the circulation system were also checked, including the Xe sampling system in which a leaky valve was identified. It has been bypassed and it will be replaced or repaired shortly. Improvements to the Xe circulation system plumbing are underway to facilitate easier pump swapping, inter-diaphragm space purging, and other operation modes. New pressure transducers have been added to several locations.

A brief power glitch associated with powering up a transformer near the Ross Shaft triggered the alternate power source that LUX uses as part of their emergency backup system. No other group (except possibly one) noticed the power event.

Water shield and background data was taken throughout the month. The water shield system firmware was upgraded and the output was rewired to allow recording signal multiplicity.

During November, Sanford Lab accommodated after-hours underground access in two instances. The first access event was related to an unexpected interruption of xenon circulation; troubleshooting of the pumping system revealed no obvious issues. The second unplanned access event was required when the purification system was not properly restarted following maintenance.

Training was conducted for researchers on the Xe sampling and krypton injection systems. As with last month, a number of LUX personnel completed training to become Laboratory Guides.

The average LUX crew in November consisted of almost five people for a combined total of 650 hours.

MAJORANA DEMONSTRATOR – MJD

Background data continue to be collected using the Prototype Cryostat inside the main shield. The re-etching of Cryostat 1 parts that was started in October was completed in November and calibrations with various sources continue to be performed on a regular basis for detectors inside string test cryostats. Assembly and commissioning activities for both Cryostat 1 and Cryostat 2 are proceeding well, with production physics data still expected in 2015.

In late November, MJD was issued an Authorization To Proceed for full detector shield assembly, which includes installation of the upper plastic panels for neutron shielding that will fully enclose the shield. Given the potential ergonomic hazards, the ATP memo recommended a reassessment of the panel installation procedure after work

commences. As noted previously, several facility modifications will be evaluated to accommodate the additional fire load, such as additional smoke detectors above and inside the shield.

While performing work inside the MJD glovebox, the cryostat lifting mechanism failed causing a string-test cryostat containing enriched germanium detectors to fall a short distance. Subsequent characterization determined there was no apparent damage to the detectors. The mechanical failure (stripped tapped holes leading to a decoupling of the lifting plate) was unexpected given the initial engineering acceptance testing, and the manufacturer is shipping a replacement lift with some modest design changes. The original lift has been returned to the manufacturer for their investigations, and the new lift is expected to arrive at Sanford Lab in early December.

MJD liquid nitrogen consumption at the Davis Campus remains relatively high, requiring almost daily dewar deliveries as well as continued assistance from SDSTA Operations personnel in performing dewar swaps on some weekends.

Some mechanical damage has been noted on the calibration track (not to any radioactive source) that can be installed to encircle the cryostats. Investigations continue, but storage inside the lead-lined safe may be contributing as the door is being allowed to contact the track.

In an effort to reduce operating costs, MJD has purchased cleanroom garb in bulk and is taking advantage of Sanford Lab warehouse space for storage. Oak Ridge National Laboratory (ORNL) is taking the opportunity to evaluate the MJD calibration source checkout process.

At the Electroforming Laboratory, decommissioning is set to begin on two additional baths, (Bathes #5, 8) bringing the total to five baths that will be in various states of disassembly. This corresponds to 50% of the baths.

MJD surface activities in November included parylene-coating of copper parts using the cleanroom at the Surface Laboratory as well as cutting additional poly panels to custom geometries for the final phase of shield construction.

MAJORANA continued with a significant presence through November, with an average of almost nine people combining for a total of 1228 hours.

Center for Ultra-Low Background Experiments in the Dakotas – CUBED

An assay was unexpectedly and prematurely ended during counting operations in November. A short power brown-out (the same one that affected LUX) may have been responsible or the event may have been caused by operator error.

A dedicated purge dewar for the low-background counter at the Davis Campus has been prepared with various fittings and pressure relief devices. Engineering and EHS members of the Sanford Lab Cryogen Safety Committee inspected the system and provided some recommendations. The system, including modifications, will be described in a formal document. The system is expected to be ready for installation and use in December.

Preparations for improvements to the detector shield are underway, including assays of mylar that is proposed as an inner barrier to improve the boil-off nitrogen gas flushing of the inner shield volume.

Berkeley Low-Background Counting Facility – BLBF

Production counting of community samples (mainly LZ) continued through November.

In preparation for the additional high-purity germanium detector that will be installed at Sanford Lab in 2015, measurements were taken from the existing shield lid so that a duplicate lid could be fabricated at a local machine shop in Rapid City.

BLBF personnel will be onsite in early December to assist with the CUBED LBC shield improvements to further enhance sensitivity of that detector and that will ultimately benefit the community.

Other Current Research Activities

Physics: The LUX-ZEPLIN (LZ) Department of Energy (DOE) Critical Decision One (CD-1) review will be held at LBNL January 27-29, 2015. Drafts of the MOU and General Services Agreement with LZ are in progress.

Iterations continued through November on the MOU and General Services Agreement with Compact Accelerator System for Performing Astrophysical Research (CASPAR) project. As the lead institution for the project, South Dakota School of Mines and Technology (SDSM&T) is currently reviewing the documents.

Regular meetings continue to be held with representatives of the Black Hills State Underground Campus (BHUC) as well as key members of groups interested in space, including the current low-background counter operators (CUBED and BLBF) as well as researchers from SDSM&T who are pursuing funding for new equipment that may be operated in the cleanroom. Discussions continued with representatives of the BHUC regarding the General Services Agreement for FY2015 as well as other implementation requirements.

Representatives from the Deep Underground Gravity Laboratory (DUGL) collaboration returned to the Laboratory in November. In addition to the installation of instruments at five sites (two on the surface and three underground on the 4850L) the group successfully propagated a GPS signal underground from the surface. The next trip is planned for the week of January 12, when the remainder of the seismometers is expected to arrive at Sanford Lab.

Geology: Transparent Earth representatives resumed seismic studies on the 4850L in November. In general, analysis of seismic data collected previously was found to correlate well with observable major geotechnical features such as shear zones that were identified in the latest trip. The group also hopes to collect additional rock samples from the 1850L to complete a feasibility study for in situ rock melting due February 2015.

Members of the GEOX™ collaboration from Spearfish High School traveled to the 4850L to collect data from three air-flow monitoring stations in conjunction with SDSTA Engineering and EHS personnel. The group hopes to install similar monitoring on the 1700L and eventually deploy fiber optic cable to measure temperature as was done previously on the 4100L.

Biology: Preparations continued through November for the NASA Astrobiology Institute trips in December. The first trip will involve researchers from the University of Southern California and their plans to conduct electrode-assisted cultivation of microbes from one of the existing drill holes near the Yates Shaft station. The Experiment Planning Statement and JHA have been completed for this work. The second group from the Desert Research Institute will introduce a new field worker to the site and continue discussions about future projects.

The Syngas collaboration from SDSM&T is planning a visit to the 4850L in mid-December. The group was last onsite in December 2011 and recently received additional funding to continue their search for subsurface microorganisms able to convert syngas (CO₂, CO, H₂, CH₄) into biochemicals and biofuels.

Engineering: The MOU and General Services Agreement with Xilinx, Inc. were signed in November. The group may begin to install their chip-testing equipment on the 4850L as early as January.



Fig. 1 LUX personnel commissioning the muon veto (water tank) photomultiplier tubes



Fig. 2 SDSTA personnel calibrating oxygen sensors in MJD LN₂ storage alcove.
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Fig. 3 DUGL personnel installing seismometer on 4850L near Davis Campus.

Education and Outreach Department

Ben Sayler, Director of Education and Outreach
KC Russell, Cultural and Diversity Coordinator

Education Offerings / Programs

K-12 Educators and Students

Afterschool programs for elementary students in Spearfish (*Kid Zone*) and in Lead (*Stop and Grow*) continued in November with activities developed and taught by Science, Technology, Engineering and Mathematics (STEM) Education Specialist Bree Reynolds.

SciGirls of the Black Hills held its first meeting of the year at Rapid Valley Elementary School with Education and Outreach (E&O) Deputy Director Peggy Norris. Fourteen fourth and fifth grade girls attended.

Education Specialist Julie Dahl visited three sixth grade science classes at Lead-Deadwood Middle School on two separate days in November. She introduced them to accelerators as an application of electricity and magnetism and talked about the Long-Baseline Neutrino Experiment.

Cultural and Diversity Coordinator KC Russell talked to middle school students in Aberdeen and Ft. Pierre about the science of Sanford Lab.

Twenty-eight students from three Rapid City high schools visited Sanford Lab on November 19 as part of an afterschool STEM career exploration program. The students had a virtual tour of the Davis Campus via videoconference with Alan Poon (Lawrence Berkeley National Laboratory) of the MAJORANA group. They heard about careers in science, engineering and project management from Alan, Peggy, Bree, SDSTA Engineer Andrew Brosnahan and SDSTA Underground Access Director Will McElroy. Finally, they toured the Yates Hoist Room.

Peggy and Education Specialist Tom Campbell traveled to Sioux Falls to take part in *Discovery Days* at Sanford Research. *Discovery Days* is a career fair for high school students interested in STEM. Approximately 275 students attended from eastern South Dakota and northeastern Iowa. It is estimated that approximately 160 students interacted with Sanford Science Education Center staff either at our exhibit table or in one of six career sessions we hosted.

SDSTA Waste Water Treatment Plant Consultant Jim Whitlock and Bree continue to mentor students in the Lead-Deadwood High School research course this semester. The students will be presenting their final project results on December 18 at Sanford Lab.

Bree is working with local chemistry teachers to pilot an 'Underground Periodic Table' project using an application called Aurasma.

E&O Director Ben Sayler is working with several local school districts (Rapid City, Spearfish, Lead-Deadwood and Douglas) to pilot a new high school course in computer science for the 2015-2016 school year as part of a National Science Foundation (NSF) grant he and the Center for the Advancement of Math and Science Education at BHSU are jointly managing.

University

Applications for 2015 Dave Bozied and Chris Bauer internships are now open and a flyer has been distributed to the student listserv and to campuses around the state. A copy is attached. The application deadline is January 9.

A successful proposal was submitted to the American Physical Society to host a regional Conference for Undergraduate Women in Physics in January 2016. Peggy is working with Brianna Mount of BHSU and an organizing committee of faculty and students from physics departments around the state on planning for this event, which will utilize facilities at both Sanford Lab and BHSU.

Bree Reynolds and faculty member Dana Gehring of Sinte Gleska University (SGU) were successful in obtaining funding from National Aeronautics and Space Administration (NASA) for a project to introduce astrobiology into the biology curriculum at SGU. They will be connecting this to work currently taking place at Sanford Lab by an astrobiology collaboration studying extremophiles. The SGU students will be visiting BHSU and Sanford Lab in May.

Tom is continuing to work with Abigail Domagal at BHSU to incorporate connections to Sanford Lab into her geology classes.

Table 1. Estimated Audience Served – November 2014

Group	Students					Educators			Community		
	K-5	6-8	9-12	Undergrad	Graduate	K-12 Teachers	Univ. Faculty	Informal	Parents	Sanford Lab Staff	General Public
ON-SITE											
Partnership Rapid City STEM Career Exploration*			28			1					
<i>Subtotal</i>	0	0	28	0	0	1	0	0	0	0	0
OFF-SITE											
Neighborworks** Talk / Lead											25
Afterschool Group / Spearfish	75							3			
Afterschool Group / Lead	31							1			
SDSMT Retired Staff / Rapid City					1		5				30
SciGirls / Rapid Valley	14										
Discovery Days / Sioux Falls			160			10					
Classroom Talk / Aberdeen		20				1					
Classroom Talk / Ft Pierre		8									
Lead-Deadwood MS		50				1					
<i>Subtotal</i>	120	78	160	0	1	12	5	4	0	0	55
VIDEOCONFERENCE											
<i>Subtotal</i>	0	0	0	0	0	0	0	0	0	0	0
Grand Total	120	78	188	0	1	13	5	4	0	0	55
Grand Total: 464 students, educators and members of the general public, of which 14 were students or teachers engaged in programs specifically designed to interest more girls in STEM.											

* Included video conference to Davis Campus

** Communication Department activity, assisted by Education and Outreach



Summer Internships

Sanford Underground Research Facility – Lead, SD

Summer 2015

Application Deadline: January 9, 2015

Dave Bozied Internships: 3-4 positions are available for undergraduate or graduate students in physics, chemistry, geology, engineering (environmental, geological, mining, industrial, chemical or mechanical), science education or communication or related disciplines. Applicants must have a South Dakota address or be attending a South Dakota university.

Chris Bauer Engineering Internships: 2 positions are available for undergraduate or graduate engineering students. For one position, a preference will be given to electrical engineering majors. For one position, South Dakota residency is NOT required. These internships are in the memory of Chris Bauer, former electrical engineer for Sanford Lab.

Job duties will depend on experience level and skills and the needs of the science, engineering, environmental, education, and other departments at Sanford Lab. Science efforts are underway in physics (dark matter and neutrino research) at the Davis Campus, 4850 feet underground, as well as smaller efforts in geosciences and physics at various locations underground and on the surface. These include monitoring and mapping conditions of the rock mass and movement, airflow, background radiation and other parameters. Engineering projects include planning for future physics experiments, work at the Waste Water Treatment Plant, renovation and maintenance of surface facilities, and work underground.

Conditions of employment: Students will be required to take safety training within one week of beginning work and must be prepared to work with careful attention to safety. Students must be physically able to spend long days underground under demanding conditions. Work hours must be flexible during days working underground, but students will not work more than 40 hours in any given week. Some internship projects require spending considerable time underground. Other projects require little time underground.

Period of employment: 40 hours/week; dates are negotiable up to 10 weeks.

Compensation: Interns will be paid a base wage of \$12.50/hour, with an extra travel/living allowance – depending on circumstances – of up to \$100/week.

Eligibility: Interns must be 18 years or older at the beginning of the internship period.

To Apply: Send a cover letter and resume including the names of two references to: pnorris@sanfordlab.org

For more information contact: Dr. Peggy Norris, Deputy Director for Education and Outreach, 605-722-5049

Communications Department

Constance Walter, Communications Director

Visitor Center Exhibits

Communications Director Connie Walter and Multimedia Specialist Matt Kapust continue to work on identifying talent and content for videos that will be part of the exhibits at the new Sanford Lab Homestake Visitor Center. In November, Matt and Connie interviewed Simon Fiorrucci with Large Underground Xenon (LUX), and Vince Guisepppe with MAJORANA (MJD). SDSTA Communications Department Intern Adam Gomez assisted with Simon's interview.

Connie is editing several panels for the exhibit and working with SDSTA Engineering Director Joshua Willhite and others on the engineering ring that will go around the underground model.

Presentations

Neutrino Day Planning

Neutrino Day is July 11, 2015. Ray Jayawardhana, author of "Neutrino Hunters," will be the keynote speaker for Neutrino day. Connie is also working with MJD and LUX to book speakers from each collaboration for the event. Fundraising for Neutrino Day 2015 has begun.

Media/Site Visits

Kate Tobin was onsite to interview Dan McKinsey for a National Science Foundation (NSF) film. Connie accompanied Kate to the Davis Campus; Matt assisted with the surface interviews. NSF will allow Sanford Lab to use the footage as part of the Visitor Center exhibits. James Nord is the new AP reporter for South Dakota. He was onsite November 21 to interview SDSTA Executive Director Mike Headley and Simon.

Graphics, video and website

Matt worked with science personnel to update website information about a new collaboration member. Matt shot and edited a guide training video for refuge chamber with Woody Hover. It can be found at <http://vimeo.com/113429675>.

Matt developed maps and graphics for NEPA.

Matt continues to work with Bree Reynolds and Julie Dahl on updating content and information on the Education section of the website. Matt also tested and installed a major security update to the website's content management system.

Connie and Matt are working with Sanford Underground Research Facility Deputy Operations Head Gil Gilchriese to develop a LUX-LZ/Dark Matter brochure.

Photography highlights in October

1. Nov. 11: MAJORANA Cleanroom
2. Nov. 12: Tramway exterior
3. Nov. 18: DUGL installation
4. Nov. 19: BHSU and CASPAR spaces pre-shotcrete
5. Nov. 25: Hoistroom and falcon release

To view albums in the Sanford Lab Photo Gallery go to: <http://pics.sanfordlab.org/f216003594>

Miscellaneous

The Communications Department continues to develop stories for Deep Thoughts; update the website; perform general web maintenance; and provide photographs to the media, science collaborations and educational institutions, and other laboratory departments.

Upcoming projects

1. Ongoing discussions about Visitor Center exhibits; meetings with Lead representatives to discuss topics for the exhibit videos.
2. Work continues on the Visitor Center Exhibits/videos. This is a huge project that requires a great deal of planning, interviews and many hours of editing.

3. Yeongduk Kim, director of South Korea's underground physics laboratory, and two of his colleagues will be onsite December 16-18. They will go underground December 17.
4. AP reporter going underground on December 16.
5. Interview with Rick Gaitskell (Visitor Center).
6. Dr. Michael Cherry, who worked with Ray Davis, will be onsite in April 2015.
7. LUX-LZ/Dark Matter brochure.
8. Updates to the website will continue over the next several weeks.
9. Updates to Education website.
10. Strategic Planning/Identity Standards (Michelle Kane, Black Hills PR, and Sue Konstant, PACE).

News coverage November 2014

In addition to news, magazine and science articles, KDSJ regularly interviews Connie to find out what is happening at Sanford Lab.

- Dec. 04: [Deep Underground Gravity Lab Hunts Mystery Waves](#) by Charles Michael Ray, SDPB
- Dec. 04: [SIMP v WIMP: Novel thermal relic mechanism for dark matter creation in the early universe](#) by Stuart Mason Dambrot, Phys.org
- Dec. 04: [5 things to know about Dagaard's budget plan](#) by Staff Writers, Rapid City Journal
- Nov. 25: [U.S. Particle Physics Program Aims for the Future](#) by Don Lincoln, Scientific American / Nature
- Nov. 25: [Researchers take on dark matter search again](#) by Associated Press, Rapid City
- Nov. 17: [Washington Pavilion Receives SD Community Foundation Grant for 'INTO THE DARK' Exhibition](#) by BWW News Desk, Broadway World Sioux Falls
- Nov. 14: [Week's Best Space Pictures: A Star Dies, Mars Cracks, and Neutrinos Are Born](#) by John Raoux, National Geographic

Business Services Department
Sharon Hemmingson, Business Services Manager

Contracts and Procurement

Sanford Underground Research Facility Support: SDSTA has requested clarification from the U.S. Department of Labor (DOL) to determine whether we are required to develop and maintain a written Affirmative Action Plan (per Executive Order 11246) as a condition of our subcontract with Lawrence Berkeley National Laboratory (LBNL). According to an existing IRS determination letter, SDSTA is an instrumentality of State government. Published DOL guidance specifically exempts instrumentalities (and agencies and subdivisions) of State and local government from the requirement to maintain a written Affirmative Action Plan. LBNL has requested that we provide them official documentation from the DOL.

LUX-ZEPLIN (LZ): SDSTA received Modification No. 3 to the LZ subcontract, adding \$51,959.50 in incremental funding and extending the end date to April 30, 2015.

Long-Baseline Neutrino Experiment (LBNE): Arup submitted a proposal to conduct a Geotechnical Interpretive Report/Trade Study, which is currently under review.

Sanford Lab Homestake Visitor Center (SLHVC): SDSTA requested a change order proposal from the current exhibit fabricator contractor, Formations Inc., to add a 'cage audio experience' to their scope of work.

Compact Accelerator System for Performing Astrophysical Research/Black Hills State University Underground Campus (CASPAR/BHUC): SDSTA is awaiting a change request from the current design-build contractor, Dean Kurtz Construction, for design upgrades to support a future permanent cleanroom.

ManagerPlus: Inventory reconciliation in ManagerPlus is complete. Purchase orders are being written in ManagerPlus and QuickBooks this month to test the system before completing the transition to ManagerPlus in December.

Sharon attended the South Dakota Risk and Safety Conference in Pierre November 12-13.

Request For Proposals (RFPs) and Contracts Status Report – NOVEMBER 2014			
Contractor / Vendor	Type	Project	Amount
CVD Construction, Inc. #2014-09	CO#2	Scope of work changed/authorized for first 52-foot of Yates Access Tunnel Repair	\$58,645 (SAN)
Golder Associates Inc. #2014-25	CO#1	Contracting and oversight of Dr. Pariseau's involvement for November 19 teleconference	\$1,550 (SAN)
Wolff's Plumbing & Heating #2012-37	CO#4	Extend contract date to October 31, 2014	n/a (DOE)
Matheson Tri-Gas #2009-68	Amend# 1	Extend contract to September 30, 2019, update sections of original Agreement, incorporate new rates	<i>Pending</i>
Ainsworth-Benning Construction, Inc. #2013-40	CO#6	Change contractor representative and increase funding	\$100,000 (Various DOE)
Situ Fabrication # 2014-28	CO#1	Specifying liquidated damages; increase funding	\$36,700 (SAN)
HDR Engineering #2013-03	CO#3	Contract extension to November 14, 2014 per FNAL PO Rev5	n/a (FNAL)
Arup USA, Inc. #2013-07	Master AGR	LBNE A/E Services for Building & Site Infrastructure Design	<i>Decision Pending</i>
Dean Kurtz Construction #2013-45	CO#7	Design upgrades to support future PCR	<i>Pending (SAN)</i>
Formations Inc. #2014-38	CO#1	Add cage audio to scope of work	<i>Pending (SAN)</i>
TBD – MJD Closed Circuit Cooling System RFQ	Contract	Provide, install and connect piping from a small pump, heat exchanger & bypass valve system to existing piping to MJD experiment space	<i>Pending</i>

Purchase Orders (POs): 109 POs were issued in November totaling **\$172,462**.

Warehouse Inventory: Warehouse inventory on November 30, 2014 totaled **\$214,446**.

Information Technology (IT)

IT responded to 16 help desk work orders in November, with 13 currently open and 255 closed year-to-date.

Preparations were made for migration from the current Microsoft in-house mail services to Exchange email cloud services. The transition occurred December 1. Preparations continue for the transition from Office 2007 to Office 2013 and Office 365 cloud services.

IT conducted a wireless assessment while escorting KT Connections underground to assist with reconfiguring the network rack in the Davis Campus. No wireless or network issues were detected during the assessment.

At the request of LUX, the Yates cage manifest application was updated to pre-load the cage schedule for liquid nitrogen deliveries.

A BHSU intern assisted with configuring and deploying five new laptops/desktops in preparation for software upgrades.

Wireless hardware was installed to better accommodate science at the Davis Campus.

User Support Office (USO)

For the month of November, logistical and administrative support were provided for the following:

- November 4-6: EHSOC Meeting
- November 27: Thanksgiving Lunch for Ross Crew

Preparation and planning continue for upcoming meetings and events to be held at Sanford Lab:

- December 5: SDSTA All Hands Meeting
- December 8: Safety Lunch with Mike Headley
- December 13: ERT Friends & Family Underground Tour (Headley)
- December 17: Gaitskell/IBS South Korea Underground Visit (Walter)
- December 18: SDSTA Board of Directors Quarterly Meeting

Monthly reports for LBNL and SDSTA were compiled, edited and distributed. Month-end reception registers were forwarded to the FBI/Homeland Security/SD Fusion Center. User Support Manager Mandy Knight registered to use the Visual Compliance system through the SD Board of Regents office. They are implementing new processes at the SD universities on export controls and Sanford Lab has the opportunity to utilize this system to screen visitors before they arrive onsite through the online database system. Mandy and EHS Director Noel A. Schroeder are awaiting training modules to fully understand features of the system.

Monthly Researcher hours were tracked and Science training records processed. Monthly invoices were coded for the Finance Department. Organization charts and telephone lists were updated. Safety messages and other important news are being updated on a daily basis on digital displays located at the Davis Campus and the Administration Building reception area.

Administrative Assistant Michelle Andresen is reporting directly to EHS Director Noel A. Schroeder. She will continue to assist other departments as available and act as backup receptionist. Michelle will relinquish Board transcriptionist duties and Contracts Specialist Lea Mathis will assume those duties beginning 2015. User Support Manager Mandy Knight will continue as the SDSTA Board of Directors Administrator. Mandy attended a SD Boards and Commissions Portal training via teleconference on December 3. The Office of the Governor is developing a central portal where the public can easily find meeting information. Future SDSTA Board meeting agendas and minutes will be uploaded to this portal and linked to our Sanford Lab website. The portal is expected to go live on December 31.

User Support continues to assist the Communications Department with updating content and migration of public-facing documents on the Sanford Laboratory website as well as copy editing. DocuShare collections continue to be organized and archived as needed. Work also continues on updating SDSTA policies and procedures. User Support staff attended two free webinars offered at the lab in November.

An Emergency Response Team (ERT) 'Friends & Family Day' underground tour is scheduled for Saturday, December 13. This is similar to the tours that were held in February and March of this year (offered to our full time employees) to provide our ERT members' friends and family an opportunity to visit the 4850L. We expect a total of 40 ERT members and guests to sign up for the tour.

Finance and Human Resources Department
Nancy Geary, Chief Financial Officer and Department Manager

Included in the Financial Report are the following:

- Included in the Financial Report are the following:
- DOE SDSTA FY2015 SPA Curve as of November 2014
- Balance Sheet as of November 30, 2014
- Comprehensive Statement of Income November 2014
- Comparative Balance Sheet – November 2014 vs. November 2013
- Comparative Statement of Income – November 2014 vs. November 2013
- Available Cash as of November 2014
- Operating Budget Summary
- CAPEX Budget Summary
- November 2014 & YTD CAPEX Budget – actual vs. budget
- SDSTA Staffing Plan by Funding Source as of November 2014

Department of Energy (DOE) SDSTA FY2015 Scheduled Performed Actual (SPA) Curve

This graph represents an analysis of the DOE Subcontract No. 6994297 Operations scheduled funding compared to actual. The report shows funding through September 2015 along with information related to Funded-to-Date dollars, Scheduled dollars, Performed dollars, and Actual dollars by month. Actual dollars represent actual invoices for the months sent to Lawrence Berkeley National Laboratory (LBNL) for reimbursement. For November, the invoices totaled \$1,082,236, which is lower than the anticipated reimbursements of \$1,099,780 by \$17,544. Since the inception of this subcontract in February 2012, the actual expenses are at \$37,640,640, which is lower than the budget of \$37,776,236 by \$135,596. As for FY2015, we are over budget by \$335,831 which is primarily due to posting three pay periods to October rather than the usual two pay periods.

Balance Sheet Items

Cash in Local Checking – Total on hand at November 30, 2014 was \$599,481; down from last month by \$553,802. Funds on hand were necessary to pay employee medical/life/vision insurance all due December 1, 2014. The high balance also contains funds from LBNL received late in November after requesting funds from the State accounts.

Cash with State Treasurer – Total balance of \$26,189,136. This has decreased from last month by \$312,419 as this amount was drawn down during November.

Billed Accounts Receivable (A/R) – Billed A/R represents any open invoices based on contracts from sources such as LBNL, other smaller contracts from other universities, and Barrick/Homestake Mining Company. Total is at \$1,424,967; down from last month by just \$32,480. Included in the balance are open invoices to LBNL for \$1,157,889; representing invoices for the Large Underground Xenon (LUX) subcontract, LUX-ZEPLIN (LZ) engineering support, and invoices for the Operations subcontract No. 6994297. Additional open invoices include \$254,199 from Fermilab, \$5,467 from various other smaller university subcontracts, as well as open invoices from Barrick equaling \$7,413.

Unbilled A/R – Balance of \$5,790. Unbilled A/R represents items that have not been billed on various contracts. November's balance is immaterial.

Other A/R – Current balance of \$291,895. This balance represents any Interest Receivable and Miscellaneous Accounts Receivable. The balance increased by \$15,933 which represents the interest accrual for the month net of a payment on an open miscellaneous accounts receivable.

Inventory – Supplies – Balance at \$2,569,692 for fixed assets being stored but not in service. This balance has decreased by \$6,057; represented by scrapping eight reels of wire rope that are obsolete. We received \$4,190 as scrap value resulting in a small net loss of \$1,867. These reels were received from Barrick when the property was donated.

Inventory Warehouse/Personal Protective Equipment (PPE) – Current balance of \$369,796. This balance represents the warehouse inventory that was purchased by SDSTA prior to federal funding and xenon gas inventory for experiment use. This balance has decreased by \$215 for inventory usage.

Other Current Assets – This listing on the balance sheet represents the balances of both prepaid insurance – \$317,837 and prepaid other - \$33,725. Total balance of \$351,562 is down from last month by \$58,689. This decrease represents the monthly insurance expenses along with expensing prepaid items in November. Monthly insurance expenses were stable at \$40,679 including worker's compensation.

Fixed Assets – Total of \$720,299,438 (net of depreciation through 11/30/14). Fixed assets are unchanged for the month except for depreciation, which results in a decrease of \$141,738.

Other Assets – Work in Progress – This balance represents the current progress being made using Sanford/SDSTA Funds and State funding to support the budgeted projects on the CAPEX budget less any items that are being capitalized within the Fixed Asset designation. Current balance has increased by \$593,457 to \$3,143,028. The balance represents the current year's project costs (not including personnel) funded by these sources.

Other Assets – Capital Lease – This balance of 564,767 represents the deep pump system capital lease. The balance has decreased by \$14,320. The lease through AmWest, Inc. was renegotiated to include transference of property to us at the end of the lease term in January 2018. The rental payments are being directly charged to the LBNL federal subcontract. Per the subcontract, the pumping system will become the property of the federal government at the end of the lease period. The equipment will be fully expensed over the period of the lease at which time it will be removed (along with the lease liability) from the SDSTA's balance sheet.

Total Assets – Total of \$107,803,757. This is down from last month by \$510,330; which represents the net activity as listed above.

Accounts Payable – Our Accounts Payable balance of \$1,006,391 (including Accounts Payable and Accounts Payable Accrual) at the end of the month compared to last month has decreased by \$254,255. This decrease is primarily due to owing less to various contractors for the Sanford Lab Homestake Visitor Center exhibit project and a roof project at Sanford Lab.

Accrued Payroll Liabilities– Current balance of \$638,258 is down by \$27,001 from last month. This represents the net change between earned vacation and vacation taken and other changes in other employee benefit related liabilities. This difference is immaterial.

Long Term Accrued Employee Benefits/Lease – This balance of \$564,767 denotes the liability associated with the capital lease for the deep pump system from AmWest, Inc. This balance has decreased by \$14,320 for the month's reduction in the lease amount owed.

Total Liabilities – Total Liabilities decreased by \$295,576 (from \$2,504,992 to \$2,209,416), which reflects the net activity listed above.

Total Equity – Decrease to \$105,594,340 from the previous month \$105,809,095

Total Liabilities & Equity –Decrease to \$107,803,757 from the previous month of \$108,314,087.

Statement of Income Items

On the SDSTA's Statement of Income, the DOE Subcontracts are consolidated into one line item on the report. Included in this amount are various subcontracts from LBNL, FNAL (Fermilab), as well as a small contract for the MAJORANA project with the University of North Carolina. Total revenue for this fiscal year through November 2014 is at \$6,066,353 (increase from October of \$1,268,116).

National Science Foundation (NSF) Subcontracts – Total revenue through November 2014 from NSF funding is \$7,115. The balance represents revenue from a small subaward through Case Western Reserve University as well as an award through the University of Minnesota.

State Revenue – Year-to-date revenue from the State of SD includes \$294,104 received from the Governor's Office of Economic Development (GOED) to assist with the costs of administering the Sanford Science Education Center in partnership with Black Hills State University (BHSU). The SDSTA also has received \$961,458 of Future Funds out of the \$1M pledged by the State to assist with the construction costs of the Sanford Lab Homestake Visitor Center. The balance also includes a small amount of funding from the University of South Dakota state research funds for the Center for Ultra-lowBackground Experiments in the Dakotas (CUBED). The increase to State Revenue for the month is \$221 with a total for the year of \$1,258,683.

Contributions & Donations – SDSTA Consultant Ron Wheeler's fund raising activities includes the receipt of \$500,000 in July from the Great Plains Education Foundation in support of the education efforts at Sanford Lab.

The Great Plains Education Foundation pledged another \$500,000 over the next four years to be used towards education programs associated with the Sanford Lab. Additional donations include \$15,000 received from the City of Lead to assist with the Sanford Lab Homestake Visitor Center costs. Year-to-date contributions total \$515,000. This is unchanged for the month of November.

Interest income recorded for the current fiscal year on State Funds is at \$84,743. This represents interest accruing at 0.75% on the cash held by the state on behalf of the SDSTA.

Direct Costs are then listed on the Statement of Income. The categories are listed to reflect the format used when invoicing on federal contracts. The classifications for Unallowable Costs and Indirect Costs are listed as well on this report to follow the federal contracting format. Direct Costs/Unallowable Costs are at \$5,259,025 for the year. Indirect Costs including fringe benefits are at \$2,817,267. Other Income through the month of November is at \$136,752 which represents miscellaneous income and a small amount for water treated for Barrick.

Finally, Net Income for the year is at \$485,348.

Comparative Balance Sheet

Significant differences include Total Cash with State Treasurer, which is lower by \$8,792,751 from this time last year as funds were expended over the 12-month period. Billed A/R is higher than this time last year by \$288,541 primarily due to increases in the total unpaid receivables from both LBNL and Fermilab. Other notable differences exist for changes in Fixed Assets. Fixed Assets increased by \$4,987,014 primarily due to yearend capitalization of improvements in progress for yearend closing. The category of Work in Progress has increased from this time last year by \$1,433,150 represented by the increase in activity in our CAPEX projects year to date. In summary, Total Assets have decreased by \$1,755,136. Total Liabilities have increased by \$154,878 over last year at this same time, primarily due to increased accounts payable for open invoices to various contractors. Total Equity has decreased by \$1,910,014 from last year at this same time primarily due to drawing down funds from the State. Yet, Investments in General Fixed Assets has increased by \$4,987,014 for the capitalization of items from FY2014.

Comparative Profit/Loss

Total Revenue for year to date November 2014 compared to year to date November 2013 has decreased slightly due to receiving \$2,000,000 from the State Legislature in the last fiscal year, but only \$1,258,683 from the State this year. Yet, this year's revenue includes contributions of \$500,000 from the Great Plains Education Foundation and \$15,000 from the City of Lead. Interest Income is slightly lower for year to date November 2014 due to a lower cash balance with the State compared to last year. Direct Costs and Indirect Costs for year to date November 2014 compared to this time last year show a small increase (2% increase). Net Income has decreased due to less revenue recorded for this year along with a slight increase in costs. Other Income is slightly up when comparing the two time frames, primarily due to the increased volume of Barrick's water being treated during July through October of this year.

Available Cash

This report reflects our available cash after noting the restricted cash balances in the Indemnification and Mine Closure accounts. The Sanford Gift #2 account is no longer designated as "restricted" in the same sense as the Indemnification and Mine Closure accounts due to the signing of the Fourth Amendment to the Homestake Gift Agreement. After our liabilities are noted, \$13,216,438 is available to be used for a limited scope of SDSTA expenses (Board, Administration, Communication, Education & Outreach, and Science Liaison expenses not covered by the current DOE funding), for current contracts concerning the various capital expenditure projects including the Ross Shaft Rehabilitation, and towards the specific educational projects listed in the Fourth Amendment.

Operating Budget Analysis

This report is separated into three sections: SDSTA funded activities, Federal & State funded activities, and Indirect expenses that benefit various activities. A few activities are over budget for the month but for immaterial amounts. Total operating expenses are \$199,132 under budget for November 2014. Year-to-date figures are almost all under budget for a total under run of \$866,936.

Capital Expenditure Budget Analysis

Our current capital expenditure projects have been condensed and are listed from CAP2012-13 - CAP2015-04 with various breaks in the numbering sequence. Total project dollars are at \$18,366,715, which represents the approved budget from the June 2014 Board meeting together with the additional budget of \$561,000 approved at the September 2014 Board meeting. All projects will be funded by the balance of Sanford Funds as directed by the Fourth Amendment to the Homestake Gift Agreement, \$2,000,000 of Future Funds for both the Sanford Visitor Center Design & Construction and the BHSU Jonas Science Building Renovation, funding from private fund raising activities, and SDSTA funds including interest. We spent \$806,930 on our CAPEX projects in November out of the budgeted \$1,017,662. Year-to-date we have expended \$4,436,186 on this list of projects.

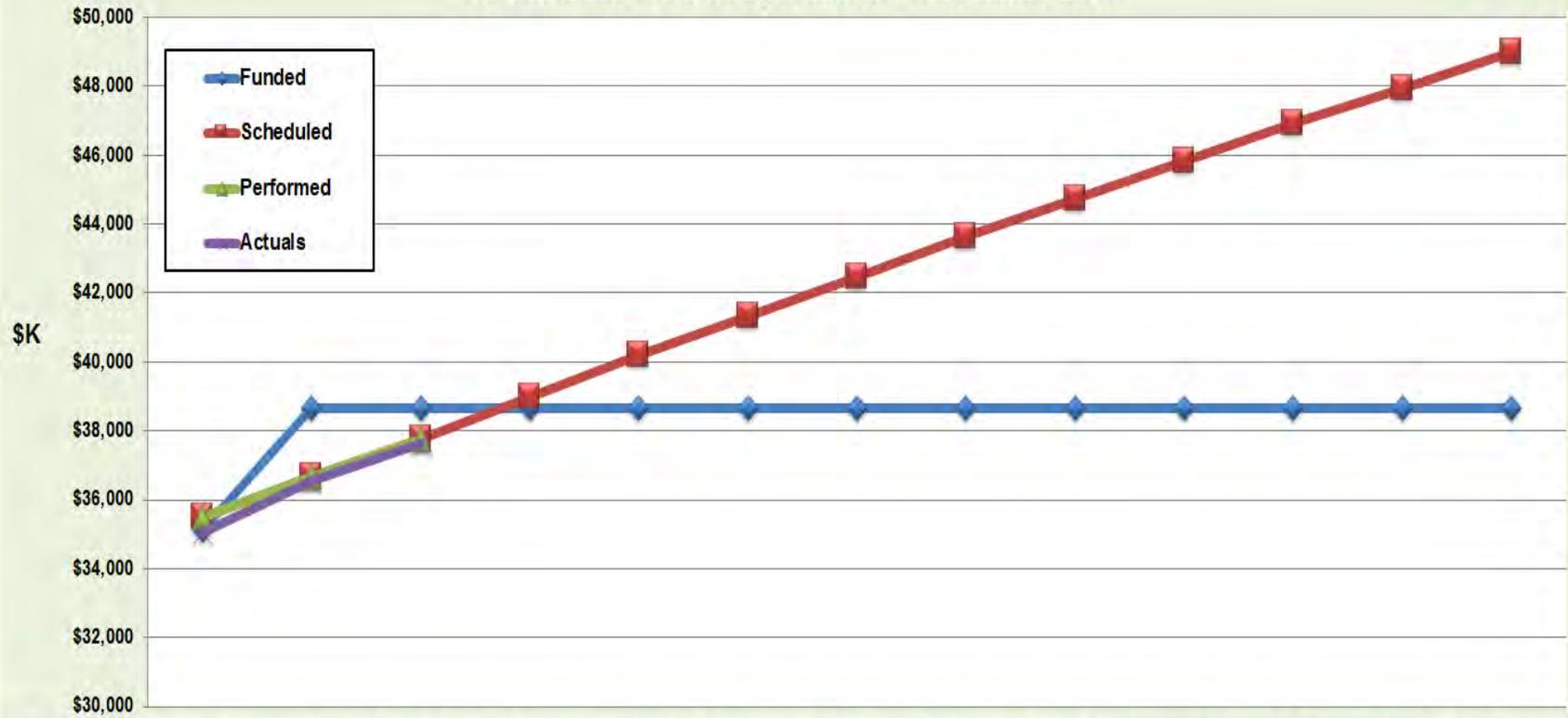
Miscellaneous Items

The South Dakota Department of Legislative Audit report is included in the Board packet for discussion at the December 18 Board Meeting . This year we have easily met the December 31 deadline for the LBNL contract.

Human Resources

There are no changes to the SDSTA staffing for November. A flu shot clinic was held during November for SDSTA employees. A Hep A/B and tetanus shot clinic was held December 1-2 for Operations personnel.

TOTAL SURF SDSTA Operations - November 2014



	CTD	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15	May-15	Jun-15	Jul-15	Aug-15	Sep-15
Funded	\$ 35,133	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669	\$ 38,669
Scheduled	\$ 35,501	\$ 36,676	\$ 37,776	\$ 38,987	\$ 40,210	\$ 41,330	\$ 42,481	\$ 43,642	\$ 44,745	\$ 45,814	\$ 46,911	\$ 47,934	\$ 49,009
Performed	\$ 35,501	\$ 36,676	\$ 37,776										
Actuals	\$ 35,031	\$ 36,559	\$ 37,641										

**DOE SDSTA FY 2015 SPA Curve
November 30, 2014**

DIVISION: ALL

BALANCE SHEET

ASSETS

AS OF
11/30/14

CURRENT ASSETS

First Interstate Checking	\$ 566,944.67
First Interstate Other	32,536.81

Total in Local Checking	599,481.48
SD Treas: Indemnification	10,000,000.00
SD Treas: Mine Closure	1,362,763.38
SD Treas: Operating	1,490,140.00
SD Treas: Sanford	6,702,170.48
SD Treas: Sanford Gift #2	6,634,062.00

Total with SD Treasurer	26,189,135.86
Billed A/R	1,424,967.34
Unbilled A/R	(5.79)
Other A/R	291,894.71
Inventory - Supplies	2,569,692.22
Inventory - Warehouse	369,796.44
Other Current Assets	351,561.84

Total Current Assets	31,796,524.10

FIXED ASSETS

Land, Underground & Other	12,353,375.03
Bldgs & Infrastructure	8,881,327.62
Improvements	49,286,320.20
Computer Equipment	362,464.95
Equipment & Fixtures	9,403,387.17
Accum Depr & Amort	(7,987,437.31)

Total Fixed Assets	72,299,437.66

OTHER ASSETS

Work in Process	3,143,027.54
Equipment - Capital Lease	564,767.41

Total Other Assets	3,707,794.95

TOTAL ASSETS

=====

\$ 107,803,756.71

=====

DIVISION: ALL

BALANCE SHEET

LIABILITIES & EQUITY

	AS OF
	11/30/14

CURRENT LIABILITIES	
Accounts Payable	\$ 985,177.45
Other Payables	21,213.13

Total Accounts Payable	1,006,390.58
Accrued Payroll Liab	638,258.31

Total Current Liabilities	1,644,648.89
OTHER LIABILITIES	
LT Accrued EB/Lease	564,767.41

Total Other Liabilities	564,767.41
STOCKHOLDER'S EQUITY	
Restricted: Indemnificati	10,000,000.00
Restricted: Sanford I.Lab	6,702,170.48
Restricted: Mine Closure	1,362,763.38
Restricted: Sanford Gift2	6,634,062.00

Total Restricted Funds	24,698,995.86
Investment in Gen FA	72,299,437.66
Unrestricted Funds	8,595,906.89

Total Equity	105,594,340.41
TOTAL LIABILITIES & EQUITY	\$ 107,803,756.71
	=====

ALL

STATEMENT OF INCOME

FOR THE PERIOD ENDING 11/30/14

	YR-TO-DATE

REVENUE	
DOE Subcontracts	\$ 6,066,353.28
NSF Subcontracts	7,114.60
State Revenue	1,258,683.06
Contributions & Donations	515,000.00
Checking Interest	30.86
Interest Income	84,743.09

TOTAL REVENUE	7,931,924.89
DIRECT COSTS	
Direct Labor	2,940,189.63
ERT Labor	13,068.00
Board of Directors	1,232.22
Capital Outlay >\$5K	19,166.00
Contractual Svcs	912,470.51
Emergency Resp	1,030.34
Inventory	73,669.31
Supplies	251,692.56
Travel - Domestic	26,715.30
Travel - Foreign	23,644.55
Utilities	734,380.65
Other Direct Costs	98,012.55
Unallow/Unbill Costs	163,753.24

TOTAL DIRECT COSTS	5,259,024.86
INDIRECT COSTS	
Fringe Benefits	1,301,509.37
Overhead	1,515,758.04

TOTAL INDIRECT COSTS	2,817,267.41

GROSS PROFIT FROM OPERATIONS	(144,367.38)

OTHER INCOME	
Water Treatment	114,692.96
Miscellaneous Income	22,059.20

TOTAL OTHER INCOME	136,752.16
OTHER EXPENSES	
Loss(Gain) on Sale of FA	2,852.14
Reclass Incr Net Assets	(495,815.79)

TOTAL OTHER EXPENSES	(492,963.65)
	=====
NET INCOME/LOSS	485,348.43
	=====

DIVISION: ALL

COMPARATIVE BALANCE SHEET

ASSETS

	AS OF 11/30/14	AS OF 11/30/13	\$ CHANGE	% CHANGE
CURRENT ASSETS				
First Interstate Checking	\$ 566,944.67	\$ 411,860.57	155,084.10	37.65%
First Interstate Other	32,536.81	31,530.00	1,006.81	3.19%
	-----	-----	-----	-----
Total in Local Checking	599,481.48	443,390.57	156,090.91	35.20%
SD Treas: Indemnification	10,000,000.00	10,000,000.00	-	0.00%
SD Treas: Mine Closure	1,362,763.38	1,349,275.35	13,488.03	1.00%
SD Treas: Operating	1,490,140.00	821,459.00	668,681.00	81.40%
SD Treas: Sanford	6,702,170.48	3,457,007.40	3,245,163.08	93.87%
SD Treas: Sanford Gift #2	6,634,062.00	19,354,145.00	(12,720,083.00)	-65.72%
	-----	-----	-----	-----
Total with SD Treasurer	26,189,135.86	34,981,886.75	(8,792,750.89)	-25.14%
Billed A/R	1,424,967.34	1,136,426.03	288,541.31	25.39%
Unbilled A/R	(5.79)	(64,615.63)	64,609.84	-99.99%
Other A/R	291,894.71	184,984.47	106,910.24	57.79%
Inventory - Supplies	2,569,692.22	2,702,464.79	(132,772.57)	-4.91%
Inventory - Warehouse	369,796.44	43,862.87	325,933.57	743.07%
Other Current Assets	351,561.84	374,693.20	(23,131.36)	-6.17%
	-----	-----	-----	-----
Total Current Assets	31,796,524.10	39,803,093.05	(8,006,568.95)	-20.12%
FIXED ASSETS				
Land, Underground & Other	12,353,375.03	12,353,375.03	-	0.00%
Bldgs & Infrastructure	8,881,327.62	8,881,327.62	-	0.00%
Improvements	49,286,320.20	43,964,388.80	5,321,931.40	12.11%
Computer Equipment	362,464.95	357,294.53	5,170.42	1.45%
Equipment & Fixtures	9,403,387.17	8,094,211.05	1,309,176.12	16.17%
Accum Depr & Amort	(7,987,437.31)	(6,338,173.10)	(1,649,264.21)	26.02%
	-----	-----	-----	-----
Total Fixed Assets	72,299,437.66	67,312,423.93	4,987,013.73	7.41%
OTHER ASSETS				
Work in Process	3,143,027.54	1,709,877.20	1,433,150.34	83.82%
Equipment - Capital Lease	564,767.41	733,498.57	(168,731.16)	-23.00%
	-----	-----	-----	-----
Total Other Assets	3,707,794.95	2,443,375.77	1,264,419.18	51.75%
	-----	-----	-----	-----
TOTAL ASSETS	\$ 107,803,756.71	\$ 109,558,892.75	(1,755,136.04)	-1.60%
	=====	=====	=====	=====

DIVISION: ALL

COMPARATIVE BALANCE SHEET

LIABILITIES & EQUITY

	AS OF 11/30/14	AS OF 11/30/13	\$ CHANGE	% CHANGE
CURRENT LIABILITIES				
Accounts Payable	\$ 985,177.45	\$ 629,154.40	356,023.05	56.59%
Other Payables	21,213.13	5,200.48	16,012.65	307.91%
	-----	-----	-----	-----
Total Accounts Payable	1,006,390.58	634,354.88	372,035.70	58.65%
Accrued Payroll Liab	638,258.31	686,684.77	(48,426.46)	-7.05%
	-----	-----	-----	-----
Total Current Liabilities	1,644,648.89	1,321,039.65	323,609.24	24.50%
OTHER LIABILITIES				
LT Accrued EB/Lease	564,767.41	733,498.57	(168,731.16)	-23.00%
	-----	-----	-----	-----
Total Other Liabilities	564,767.41	733,498.57	(168,731.16)	-23.00%
	-----	-----	-----	-----
TOTAL LIABILITIES	2,209,416.30	2,054,538.22	154,878.08	7.54%
STOCKHOLDER'S EQUITY				
Restricted: Indemnificati	10,000,000.00	10,000,000.00	-	0.00%
Restricted: Sanford I.Lab	6,702,170.48	3,457,007.40	3,245,163.08	93.87%
Restricted: Lab	-	821,459.00	(821,459.00)	-100.00%
Restricted: Mine Closure	1,362,763.38	1,349,275.35	13,488.03	1.00%
Restricted: Sanford Gift2	6,634,062.00	19,354,145.00	(12,720,083.00)	-65.72%
	-----	-----	-----	-----
Total Restricted Funds	24,698,995.86	34,981,886.75	(10,282,890.89)	-29.39%
Investment in Gen FA	72,299,437.66	67,312,423.93	4,987,013.73	7.41%
Unrestricted Funds	8,595,906.89	5,210,043.85	3,385,863.04	64.99%
	-----	-----	-----	-----
TOTAL EQUITY	105,594,340.41	107,504,354.53	(1,910,014.12)	-1.78%
	=====	=====	=====	=====
TOTAL LIABILITIES & EQUITY	\$ 107,803,756.71	\$ 109,558,892.75	(1,755,136.04)	-1.60%
	=====	=====	=====	=====

DIVISION: ALL

COMPARATIVE STATEMENT OF INCOME

FOR THE PERIOD ENDING 11/30/14

	YEAR TO DATE	PRIOR YEAR TO DATE	\$ CHANGE	% CHANGE
REVENUE				
DOE Subcontracts	\$ 6,066,353.28	\$ 5,765,461.49	\$ 300,891.79	5.22%
NSF Subcontracts	7,114.60	108,827.54	(101,712.94)	-93.46%
State Revenue	1,258,683.06	2,001,849.10	(743,166.04)	-37.12%
Contributions & Donations	515,000.00	-	515,000.00	100.00%
Checking Interest	30.86	25.24	5.62	22.27%
Interest Income	84,743.09	112,319.00	(27,575.91)	-24.55%
TOTAL REVENUE	7,931,924.89	7,988,482.37	(56,557.48)	-0.71%
DIRECT COSTS				
Direct Labor	2,940,189.63	2,926,514.67	13,674.96	0.47%
ERT Labor	13,068.00	9,987.50	3,080.50	30.84%
Board of Directors	1,232.22	2,396.47	(1,164.25)	-48.58%
Capital Outlay >\$5K	19,166.00	104,944.43	(85,778.43)	-81.74%
Contractual Svcs	912,470.51	682,521.76	229,948.75	33.69%
Emergency Resp	1,030.34	18,456.92	(17,426.58)	-94.42%
Inventory	73,669.31	155,310.61	(81,641.30)	-52.57%
Supplies	251,692.56	522,957.85	(271,265.29)	-51.87%
Travel - Domestic	26,715.30	26,398.42	316.88	1.20%
Travel - Foreign	23,644.55	10,659.91	12,984.64	121.81%
Utilities	734,380.65	607,867.57	126,513.08	20.81%
Other Direct Costs	98,012.55	97,994.57	17.98	0.02%
Unallow/Unbill Costs	163,753.24	114,178.27	49,574.97	43.42%
TOTAL DIRECT COSTS	5,259,024.86	5,280,188.95	(21,164.09)	-0.40%
INDIRECT COSTS				
Fringe Benefits	1,301,509.37	1,281,688.36	19,821.01	1.55%
Overhead	1,515,758.04	1,350,113.93	165,644.11	12.27%
TOTAL INDIRECT COSTS	2,817,267.41	2,631,802.29	185,465.12	7.05%
GROSS PROFIT	(144,367.38)	76,491.13	(220,858.51)	-288.74%
OTHER INCOME				
Water Treatment	114,692.96	67,790.83	46,902.13	69.19%
Miscellaneous Income	22,059.20	48,435.76	(26,376.56)	-54.46%
TOTAL OTHER INCOME	136,752.16	116,226.59	20,525.57	17.66%
OTHER EXPENSES				
Loss(Gain) on Sale of FA	2,852.14	-	2,852.14	100.00%
Reclass Incr Net Assets	(495,815.79)	(682,534.65)	186,718.86	-27.36%
TOTAL OTHER EXPENSES	(492,963.65)	(682,534.65)	189,571.00	-27.77%
NET INCOME/LOSS	\$ 485,348.43	\$ 875,252.37	(389,903.94)	-44.55%

South Dakota Science & Technology Authority
Available Cash
11/30/2014

Cash Total Checking/Savings	\$ 599,481.00
Cash With State Treasurer	<u>\$ 26,189,136.00</u>
Total Cash	\$ 26,788,617.00
Less: Restricted Funds	
Indemnification & Mine Closure	<u>\$ (11,362,763.00)</u>
Total Cash (Not Restricted)	\$ 15,425,854.00
Less: Total Liabilities	<u>\$ (2,209,416.00)</u>
Available Cash	<u><u>\$ 13,216,438.00</u></u>

SDS&TA Operating Budget Summary FY14/15
Actual vs Budget
November 2014 & YTD

	\$ Over/Under				\$ Over/Under				
	Nov. 2014	Budget	Budget	% of Budget	Actual YTD	YTD Budget	Budget	% of Budget	% Remaining
100%									
SDSTA (Authority) Direct Charges									
Board of Directors	\$18,159.00	\$19,184.00	\$1,025.00	94.66%	\$89,901.00	\$95,920.00	\$6,019.00	93.72%	6.28%
Executive Office	\$15,385.00	\$22,555.00	\$7,170.00	68.21%	\$106,700.00	\$116,289.00	\$9,589.00	91.75%	8.25%
Communications	\$14,616.00	\$12,896.00	-\$1,720.00	113.34%	\$65,372.00	\$68,325.00	\$2,953.00	95.68%	4.32%
Science Center E & O	\$0.00	\$0.00	\$0.00	0.0%	\$13,650.00	\$20,590.00	\$6,940.00	66.29%	33.71%
Science Liaison	\$1,637.00	\$2,031.00	\$394.00	0.0%	\$5,178.00	\$10,155.00	\$4,977.00	50.99%	49.01%
Subtotal	\$49,797.00	\$56,666.00	\$6,869.00	87.88%	\$280,801.00	\$311,279.00	\$30,478.00	90.21%	9.79%
Federal/State Funding - Direct Charges									
Fermi P.O. #609755 NEPA	\$6,943.00	\$4,658.00	-\$2,285.00	149.06%	\$36,527.00	\$49,216.00	\$12,689.00	74.22%	25.78%
Fermi P.O. #610998HDR	\$0.00	\$0.00	\$0.00	0.0%	\$358.00	\$370.00	\$12.00	96.76%	3.24%
Fermi P.O. #613525 Staff Services	\$0.00	\$0.00	\$0.00	0.0%	\$103,050.00	\$103,054.00	\$4.00	100.00%	0.00%
Fermi P.O. #614807 Ph2 Geotech	\$12,550.00	\$14,284.00	\$1,734.00	87.86%	\$260,398.00	\$443,893.00	\$183,495.00	58.66%	41.34%
Fermi P.O.#618228 Staff Services	\$26,766.00	\$19,197.00	-\$7,569.00	139.43%	\$31,146.00	\$24,089.00	-\$7,057.00	129.30%	-29.30%
Fermi P.O.#618743LBNOIntern.	\$43,900.00	\$50,560.00	\$6,660.00	86.83%	\$43,900.00	\$50,560.00	\$6,660.00	86.83%	13.17%
Fermi P.O.#618741 Excav.Des.	\$34,880.00	\$137,780.00	\$102,900.00	25.32%	\$34,880.00	\$137,780.00	\$102,900.00	25.32%	74.68%
LBNL LUX C#6973786	\$11,716.00	\$15,025.00	\$3,309.00	77.98%	\$59,503.00	\$71,050.00	\$11,547.00	83.75%	16.25%
LBNL Operations C#6994297	\$868,653.00	\$882,624.00	\$13,971.00	98.42%	\$4,260,741.00	\$4,730,694.00	\$469,953.00	90.07%	9.93%
LBNL LUX/Zepplin C#7093667	\$12,817.00	\$13,389.00	\$572.00	95.73%	\$66,539.00	\$76,835.00	\$10,296.00	86.60%	13.40%
MJD (Majorana) # 5-4473	\$2,373.00	\$2,000.00	-\$373.00	118.65%	\$9,653.00	\$8,000.00	-\$1,653.00	120.66%	-20.66%
CWR P.O. #228814 G2LZ	\$0.00	\$0.00	\$0.00	0.0%	\$956.00	\$1,100.00	\$144.00	86.91%	13.09%
CUBED - USD	\$177.00	\$500.00	\$323.00	35.4%	\$896.00	\$2,500.00	\$1,604.00	35.84%	64.16%
Sanf.Sci.Ed.Center - GOED Funded	\$22,626.00	\$25,000.00	\$2,374.00	90.5%	\$92,543.00	\$98,000.00	\$5,457.00	94.43%	5.57%
U. of Minn. DUGL#A003778902	\$1,427.00	\$1,500.00	\$73.00	95.13%	\$4,736.00	\$25,500.00	\$20,764.00	18.57%	81.43%
Subtotal	\$1,044,828.00	\$1,166,517.00	\$121,689.00	89.57%	\$5,005,826.00	\$5,822,641.00	\$816,815.00	85.97%	14.03%
Indirect Expenses									
Indirect Charges Personnel	\$83,524.00	\$91,059.00	\$7,535.00	91.73%	\$423,541.00	\$471,180.00	\$47,639.00	89.89%	10.11%
Indirect Charges Other	\$183,156.00	\$246,195.00	\$63,039.00	74.39%	\$1,212,008.00	\$1,184,012.00	-\$27,996.00	102.36%	-2.36%
Subtotal	\$266,680.00	\$337,254.00	\$70,574.00	79.07%	\$1,635,549.00	\$1,655,192.00	\$19,643.00	98.81%	1.19%
Totals	\$1,361,305.00	\$1,560,437.00	\$199,132.00	87.24%	\$6,922,176.00	\$7,789,112.00	\$866,936.00	88.87%	11.13%

SDSTA CAPEX Budget Summary FY14/15
Actual vs Budget
November 2014 & YTD

Budget Area	Actual Month	FY2015 Monthly Budget	\$ Over/Under Budget	% of Budget	Actual YTD	FY2015 YTD Budget	\$ Over/Under Budget	% of Budget	% Remaining
									100.00%
Operational CAPEX	\$ 806,930.44	\$ 1,017,662.00	\$ 210,731.56	79.29%	\$ 4,436,186.10	\$ 18,366,715.00	\$ 13,930,528.90	24.15%	75.85%
TOTAL CAPEX	\$ 806,930.44	\$ 1,017,662.00	\$ 210,731.56	79.29%	\$ 4,436,186.10	\$ 18,366,715.00	\$ 13,930,528.90	24.15%	75.85%

SD Science & Technology Authority
Operational CAPEX Budget
Monthly Actual vs Budget

Project #	Project Description	Nov. 2014	Budget	\$ Over/UnderBudget	% of Budget
CAP2012-13	Water/Hazard Mitigation Work		\$ 10,000.00	\$ 10,000.00	0.00%
CAP2012-27	Ross Shaft Furnishings Repl.M&S	\$ 163,796.24	\$ 237,498.00	\$ 73,701.76	68.97%
CAP2012-28	Work Decks		\$ -	\$ -	0.00%
CAP2012-32	SDSTA Personnel	\$ 186,598.25	\$ 207,572.00	\$ 20,973.75	89.90%
CAP2013-06	Yates Shaft Improvements	\$ -	\$ 25,000.00	\$ 25,000.00	0.00%
CAP2014-01	Sanford Visitor Center Design & Construction	\$ 217,547.48	\$ 270,842.00	\$ 53,294.52	80.32%
CAP2014-02	Xenon Gas	\$ 2,850.00	\$ 5,000.00	\$ 2,150.00	57.00%
CAP2014-04	Surface Lab Roof		\$ -	\$ -	0.00%
CAP2014-05	CASPAR Experiment Development	\$ 99,201.33	\$ 80,000.00	\$ (19,201.33)	124.00%
CAP2014-06	BHSU Jonas Science Building Renovation		\$ -	\$ -	0.00%
CAP2014-07	Davis Campus HVAC Augment System		\$ -	\$ -	0.00%
CAP2014-09	CASPAR Facility Development	\$ 136,937.14	\$ 181,750.00	\$ 44,812.86	75.34%
CAP2014-11	BHSU Facility Development		\$ -	\$ -	0.00%
CAP2015-01	WTP Tank & Install		\$ -	\$ -	0.00%
CAP2015-02	Yates Tunnel Hazard Mitigation		\$ -	\$ -	0.00%
CAP2015-03	Yates/Ross Hoist Bldg. Masonry		\$ -	\$ -	0.00%
CAP2015-04	Ellison Real Estate Option		\$ -	\$ -	0.00%
	Monthly Totals	\$ 806,930.44	\$ 1,017,662.00	\$ 210,731.56	79.29%

SD Science & Technology Authority
Operational CAPEX Budget
YTD FY2015 Actual vs Budget

Project #	Project Description	Nov. YTD FY2015	FY2015 Budget	\$ Over/UnderBudget	% of Budget	% Remaining
						100%
CAP2012-13	Water/Hazard Mitigation Work	\$3,199.50	\$ 113,643.00	\$ 110,443.50	2.82%	97.18%
CAP2012-27	Ross Shaft Furnishings Repl.M&S	\$1,054,964.22	\$ 4,643,148.00	\$ 3,588,183.78	22.72%	77.28%
CAP2012-28	Work Decks	\$18,375.00	\$ 45,000.00	\$ 26,625.00	40.83%	59.17%
CAP2012-32	SDSTA Personnel	\$835,094.62	\$ 2,231,015.00	\$ 1,395,920.38	37.43%	62.57%
CAP2013-06	Yates Shaft Improvements	\$29,900.69	\$ 300,000.00	\$ 270,099.31	9.97%	90.03%
CAP2014-01	Sanford Visitor Center Design & Construction	\$1,520,626.84	\$ 4,437,425.00	\$ 2,916,798.16	34.27%	65.73%
CAP2014-02	Xenon Gas	\$5,100.00	\$ 67,145.00	\$ 62,045.00	7.60%	92.40%
CAP2014-04	Surface Lab Roof	\$44,839.26	\$ 44,785.00	\$ (54.26)	100.12%	-0.12%
CAP2014-05	CASPAR Experiment Development	\$162,182.57	\$ 969,766.00	\$ 807,583.43	16.72%	83.28%
CAP2014-06	BHSU Jonas Science Building Renovation	\$0.00	\$ 2,500,000.00	\$ 2,500,000.00	0.00%	100.00%
CAP2014-07	Davis Campus HVAC Augment System	\$10,776.50	\$ 280.00	\$ (10,496.50)	3848.75%	-3748.75%
CAP2014-09	CASPAR Facility Development	\$454,167.96	\$ 2,178,308.00	\$ 1,724,140.04	20.85%	79.15%
CAP2014-11	BHSU Facility Development	\$77,591.51	\$ 500,000.00	\$ 422,408.49	15.52%	84.48%
CAP2015-01	WTP Tank & Install	\$110,167.43	\$ 97,000.00	\$ (13,167.43)	113.57%	-13.57%
CAP2015-02	Yates Tunnel Hazard Mitigation	\$0.00	\$ 100,000.00	\$ 100,000.00	0.00%	100.00%
CAP2015-03	Yates/Ross Hoist Bldg. Masonry	\$94,200.00	\$ 94,200.00	\$ -	100.00%	0.00%
CAP2015-04	Ellison Real Estate Option	\$15,000.00	\$ 45,000.00	\$ 30,000.00	33.33%	66.67%
	Totals	\$4,436,186.10	\$ 18,366,715.00	\$ 13,930,528.90	24.15%	75.85%

BHSU Pledged Contribution
(will add \$200,000 when received)

Source/WBS	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15	May-15	Jun-15	Jul-15	Aug-15	Sep-15
SDSTA	2.40											
Administration	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40
Communication	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
DOE OPERATIONS	77.60	77.60	77.60	77.60	77.60	77.60	78.10	78.10	78.10	78.10	78.10	78.10
Administration	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50
EHS	9.00	9.00	9.00	9.00	9.00	9.00	9.50	9.50	9.50	9.50	9.50	9.50
Engineering	4.60	4.60	4.60	4.60	4.60	4.60	4.60	4.60	4.60	4.60	4.60	4.60
Science	3.65	3.65	3.65	3.65	3.65	3.65	3.65	3.65	3.65	3.65	3.65	3.65
Operations												
Management	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
Ross Shaft	3.10	3.10	3.10	3.10	3.10	3.10	3.10	3.10	3.10	3.10	3.10	3.10
Yates Shaft	14.00	14.00	14.00	14.00	14.00	14.00	14.00	14.00	14.00	14.00	14.00	14.00
Hoist Operations	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
Hoist Maintenance	2.86	2.86	2.86	2.86	2.86	2.86	2.86	2.86	2.86	2.86	2.86	2.86
Ventilation	0.51	0.51	0.51	0.51	0.51	0.51	0.51	0.51	0.51	0.51	0.51	0.51
Hazard Mitigation	6.00	6.00	6.00	6.00	6.00	6.00	6.00	6.00	6.00	6.00	6.00	6.00
Water Treatment	5.20	5.20	5.20	5.20	5.20	5.20	5.20	5.20	5.20	5.20	5.20	5.20
Dewatering	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
Electrical Power Distribution	3.25	3.25	3.25	3.25	3.25	3.25	3.25	3.25	3.25	3.25	3.25	3.25
Cyberinfrastructure	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25
Buildings and Grounds	6.93	6.93	6.93	6.93	6.93	6.93	6.93	6.93	6.93	6.93	6.93	6.93
Equipment Maintenance	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
Davis Campus	1.75	1.75	1.75	1.75	1.75	1.75	1.75	1.75	1.75	1.75	1.75	1.75
SDSTA CAPEX	28.25											
GEN 2 LZ	1.33											
LBNE DESIGN	1.65											
LBNE NEPA	0.50	0.50	0.50	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00
LUX OPERATIONS	0.60											
INDIRECT	13.10											
Grand Total	125.43											

**SDSTA Staffing Plan by Funding Source
November 30, 2014**

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Gilt Edge Agreement Discussion (placeholder) – Mr. Tim Engel

Item #7 is a Placeholder - intergovernmental agreement between the SDSTA and the SD Department of Environment and Natural Resources (SD DENR).

Recommended Action:

Possible motion to approve the intergovernmental agreement between the SDSTA and the SD Department of Environment and Natural Resources as presented.

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Federal Agencies and Experiments Update – Dr. Kevin Lesko

Dr. Lesko will join by phone and provide an update on the federal agencies and experiments.

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Education and Outreach Update – Dr. Ben Sayler

Dr. Sayler will provide an update on Education and Outreach (E&O) activities.

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Review of New and Updated Policies - Mr. Mike Headley / Mr. Tim Engel

Attached are policies recommended to be approved:

- Manual Contents Page (*updated*)
- Policy 2:1 Anti-Harassment (*updated*)
- Policy 2:2 Equal Opportunity and Affirmative Action Employer (*updated*)
- Policy 2:4 Security and Site Access (*updated*)
- Policy 2:5 Use of SDSTA Owned Electronic Equipment, Systems and Protection of Personal Privacy (*updated to combine Policies 2:5, 2:7 and 2:12*)
- Policy 2:6 Tobacco-Free Property (*updated*)
- Policy 2:10 Annual Review of Policies (*updated*)
- Policy 2:11 Vehicle Use (*updated*)
- Policy 2:13 Open Door (*updated*)
- Policy 2:14 Workplace Violence (*updated*)
- Policy 2:16 Confidentiality (*updated*)
- Policy 2:17 Infectious Disease/Pandemic (*updated*)
- Policy 2:18 Whistleblower (*updated*)
- Policy 2:19 Americans with Disabilities Act (*updated*)
- Policy 2:20 Electronic and Radio Communication Devices (*updated*)
- Policy 2:21 Continuity of Operations Plan (*new*)
- Policy 2:22 Succession Plan (*new*)
- Policy 4:4:5 Military Active Duty Leave Plan (*new*)

Attached are policies recommended to be retired:

- Policy 2:7 No Solicitation/Distribution (*combine with Policy 2:5 above and retire this policy*)
- Policy 2:12 Employee Privacy (*combine with Policy 2:5 above and retire this policy*)

FYI - Attached are new procedures (no action required)

- Procedure 2:5A Use of SDSTA-Owned Electronic Equipment, Systems and Protection of Personal Privacy (*new*)
- Procedure 2:6A Tobacco-Free Property (*new*)
- Procedure 2:11A Vehicle Use (*new*)
- Procedure 2:13A Open Door (*new*)
- Procedure 2:14A Workplace Violence (*new*)

Please note: Legal Counsel has reviewed the above listed policies and procedures.

Recommended Action:

Motion to approve the above updated and retired policies as presented.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Anti-Harassment Policy

NUMBER: 2:1

The ~~South Dakota Science and Technology Authority (SDSTA) Authority~~ and the State of South Dakota will not tolerate harassment or offensive behavior based on race, color, creed, religion, sex, sexual orientation, gender identity, ancestry, national origin, ~~sex~~, age, ~~or~~ disability or political affiliation.

Harassment includes conduct that creates a hostile work environment or results in a "tangible employment action," such as hiring, firing, promotion or failure to promote, demotion, work assignments, or compensation decisions. This prohibition against harassment also encompasses sexual harassment. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexually harassing nature, when: (1) submission to the harassment is made either explicitly or implicitly a term or condition of employment; (2) submission to or rejection of the harassment is used as the basis for employment decisions affecting an individual, or (3) the harassment has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Employees must not engage in harassment or offensive behavior. Additionally, because of the ~~Authority's~~ SDSTA's strong commitment to keeping the workplace free from harassing and offensive behavior, employees must avoid any conduct that could be viewed as harassing or offensive even if the conduct does not violate federal or state law or constitute harassment.

Harassment or offensive behavior may take different forms and may be verbal, nonverbal, or physical in nature. To aid employees in identifying inappropriate conduct, the following examples of harassment or offensive behavior are provided (these examples are not all-inclusive):

- Unwelcome physical contact such as kissing, fondling, hugging, or touching;
- Demands for sexual favors; sexual innuendoes, suggestive comments, jokes of a sexual nature, sexist put-downs, or sexual remarks about a person's body; sexual propositions, or persistent unwanted courting;
- Swearing, offensive gestures, or graphic language made because of a person's race, color, religion, national origin, sex, age or disability;
- Slurs, jokes, or derogatory remarks, email, or other communications relating to race, color, religion, national origin, sex, age, or disability; or
- Calendars, posters, pictures, drawings, display, cartoons, images, lists, e-mails, or computer activity that reflects disparagingly upon race, color, religion, national origin, sex, age or disability.

SOURCE: ~~September, 2004~~ December 18, 2014 (This revision date supersedes all previous versions).
2:1 Anti-Harassment Policy, Page 1 of 2

An employee who has a complaint of harassment or offensive behavior by anyone, including supervisors, co-workers, or non-employees, should immediately notify his or her supervisor, a higher-level supervisor, the ~~personnel representative~~Human Resources Administrator or the Executive Director of the ~~Authority~~SDSTA.

The person who receives a harassment complaint shall immediately report the matter to his or her supervisor (or a higher-level supervisor if his or her supervisor is allegedly involved in the harassment) and the personnel representative.

All complaints will be investigated. If the investigation supports charges of harassment or a violation of this policy, appropriate corrective action against the alleged harasser will take place immediately and may include disciplinary action up to and including termination. The ~~Authority~~SDSTA will protect the confidentiality of harassment allegations to the extent possible, and information about alleged harassment will only be shared with those individuals who need to know about it. While the ~~Authority~~SDSTA cannot guarantee complete confidentiality since it cannot conduct an effective investigation without revealing certain information to the alleged harasser and potential witnesses, it will keep information as confidential as possible.

The ~~Authority~~SDSTA will not tolerate adverse treatment of employees because they report harassment, oppose discrimination in the workplace, participate in the complaint process, or provide information related to complaints. If an employee feels that he or she has been subjected to retaliation, the employee should immediately report the alleged retaliation to his or her supervisor, a higher-level supervisor or the ~~Authority's~~SDSTA's personnel representativeHuman Resources Administrator.

In addition to reporting alleged harassment to the ~~Authority~~SDSTA, an employee may file a charge of discrimination based on race, color, religion, national origin, sex, disability, or protected activity with the South Dakota Division of Human Rights (Human Rights) or may file a charge of discrimination based on race, color, ~~creed, religion, sex, sexual orientation, gender identity, ancestry, national origin, age, disability, political affiliation, religion, national origin, sex, age, disability~~, or protected activity with the ~~United States~~U.S. Equal Employment Opportunity Commission (EEOC). A charge of discrimination based on race, color, ~~creed, religion, sex, sexual orientation, gender identity, ancestry, national origin, age, disability, political affiliation~~religion, national origin, sex, disability, or protected activity must be filed with Human Rights or with the EEOC within 300 days of the violation. A charge of age discrimination must be filed with the EEOC within 180 days of the violation. These deadlines run from the last date of unlawful harassment and not from the date the complaint to the State is resolved.

Please contact the ~~Authority's personnel representative~~SDSTA's Human Resources Administrator if you have any questions about harassment or this policy.

South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Equal Opportunity and Affirmative Action Employer

NUMBER: 2:2

The ~~Authority~~ South Dakota Science and Technology Authority (SDSTA) is an equal opportunity employer and shall take affirmative action as called for by applicable laws to employ and to advance in employment all persons. ~~Equal employment opportunities will be provided to all employees in all conditions of employment.~~ Discrimination on the basis of race, color, creed, religion, sex, sexual orientation, gender identity, ancestry, national origin, age (40 years of age or older), disability, genetic information, or political affiliation is prohibited. If an employee believes he or she has been denied equal opportunity or discriminated against, the employee should immediately notify their supervisor or the Executive Director.

SOURCE: ~~Adopted September 2004; August 21, 2008~~ December 18, 2014 (This revision date supersedes all previous versions).

2:2 Equal Opportunity and Affirmative Action Employer Policy, Page 1 of 1

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Security and Site Access Policy

NUMBER: 2:4

The South Dakota Science and Technology Authority (~~the “Authority”~~SDSTA) is dedicated to the protection of its employees, visitors, facilities and assets, from any security threat affecting the Authority SDSTA.

To successfully manage risk as it relates to security and site access, the Authority SDSTA has prepared a set of guiding principles ~~for its Lead, South Dakota facility,~~ which includes the following:

- To reduce security risks at all levels of the organization₁,
- To integrate safety and security into daily work activities₂,
- To encourage a “risk-reduction culture” with a focus on security awareness₂,
- To prioritize security risk factors so that resources can be allocated effectively₁,
- To communicate with all parties within and outside of the Authority SDSTA to ensure that each knows its role and is aware of relevant security information, and
- To partner with parties involved in the hazardous materials transport chain for Authority SDSTA activities.

Specialized security training will be required for all employees whose job duties involve visitor processing, traffic, mail-handling and material loading.

The Authority SDSTA permits access to the site through controlled access points. -All visitors, users and contractors must check-in daily ~~-with~~ the Administration Bbuilding receptionist-front desk; a government-issued photo identification is required.- A temporary day badge will be issued upon check-in and must be returned to the ~~front desk~~ receptionist prior to leaving the premises.- Those who require continuous daily access will be issued a permanent badge, determined by the appropriate department head.

Groups that consist of students under the age of 18 must be accompanied by an adult ~~/~~chaperone. -The adult/chaperone is required to check-in at-with the front desk receptionist and provide a government-issued photo identification.

A visitor log is maintained and a copy is submitted to the South Dakota Homeland Security/ Fusion Center each month. -Information in this log does not include visitors under the age of 18.

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South Dakota Science & Technology Authority
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SUBJECT: Telephone, Email, and Internet Use of ~~Company~~ SDSTA-Owned Electronic Equipment, Systems and Protection of Personal Privacy Policy

NUMBER: 2:5

The South Dakota Science and Technology Authority (SDSTA) has established guidelines designed to protect the ~~SDSTA~~~~company~~ against improper use of company time, electronic equipment and software; and to protect the privacy of employees. The SDSTA shall enforce those rules fairly and consistently to protect assets of the SDSTA and the personal privacy of its employees.

No software or hardware is to be installed on the ~~SDSTA~~ computers unless approved by the SDSTA Information Technology office.

All SDSTA employees are responsible for following the procedures outlined in 2:5A for the proper use of electronic equipment, systems, and protection of personal privacy.

Violations of this policy will be considered serious, and may subject the employee to appropriate disciplinary action, up to and including termination, at the sole discretion of the SDSTA.

~~Personal use of the office telephones or Authority-owned cell phones or personal cell phones should be limited, and personal calls should be brief. Personal long distance calls must be billed to the employee's home telephone or credit card or placed collect. Employees who engage in excessive use of any of the above referenced telephones for personal calls will be subject to corrective action up to, and including, termination.~~

~~Employees should have no expectation of privacy with regard to e-mail and voice mail. Viewing or displaying images and/or sending messages that include ethnic slurs, racial comments, off color jokes or anything that may be reasonably construed as harassment to others is not allowed. The intentional or reckless display of sexually explicit images, messages and cartoons is not allowed. If an employee repeatedly receives email messages, the content of which violates, or could reasonably be construed to violate, this policy, the employee shall report that fact to the employee's supervisor.~~

~~Employees are prohibited from copying any of the Authority's software products for home or other use.~~

~~With regard to Internet use, it is expected that employees use this resource in a productive, professional manner. The Internet may not be used for illegal or unethical purposes or for viewing any web sites that are sexual in nature.~~

SOURCE: ~~December 18, 2014~~~~DATE September 2004; October 2005~~ (This revision date supersedes all previous versions).
2:5 Telephone, Email and Internet Use of Company Owned Electronic Equipment, Systems and Protection of Personal Privacy Policy, Page 1 of 2

~~Employees should not expect that files stored on Authority computers are, or always will be, private.~~

~~The Authority will not be responsible for unauthorized financial obligations resulting from access to the Internet.~~

**South Dakota Science & Technology Authority
Policies and Procedures Manual**

SUBJECT: Tobacco-Free Property Policy

NUMBER: 2:6

To protect and promote the health and well being of employees and visitors, and in compliance with SDCL 22-36-2, the South Dakota Science and Technology Authority (SDSTA) designates all property owned or operated by the SDSTA to be tobacco-free. This includes all buildings, grounds, parking lots, SDSTA-owned motor vehicles on or off SDSTA property, and any other motor vehicle on SDSTA property. This applies to all areas on the surface and in the underground.

PURPOSE

~~This policy has been established to protect and promote the health and well being of employees and visitors. Tobacco use is the single largest cause of preventable, premature death in the U.S. More than 70% of tobacco users want to quit, and worksite policies like this are one of the most effective ways to help them accomplish their goal. The discouragement of smoking also helps to reduce death and disease caused by tobacco use such as heart attacks, lung cancer, oral cancer, and other serious and costly illnesses.~~

~~South Dakota law prohibits smoking in places of employment and public places. SDCL 22-36-2.~~

~~The policy set forth below is effective July 1, 2008, for the South Dakota Science and Technology Authority (the "Authority").~~

~~A. TOBACCO-FREE AREAS:~~

~~All property owned or operated by the Authority shall be tobacco-free. This includes all buildings, grounds, parking lots, Authority-owned motor vehicles (whether on Authority property or not) and any other motor vehicle on Authority property. This applies to all areas on the surface and underground.~~

~~B. SIGNAGE:~~

~~"No Smoking" signs will be posted at all entrances to Authority property and buildings and in other prominent places. No ashtrays or other collection receptacles for tobacco trash will be placed or allowed on Authority property.~~

~~C. COMPLIANCE:~~

~~Enforcement of this policy is the shared responsibility of all Authority personnel. All employees are authorized and encouraged to communicate this policy with courtesy, respect, and diplomacy, especially with regard to visitors. If difficulties arise with compliance of this policy, notify your supervisor or security.~~

~~Incidents of smoking and/or tobacco use by employees are to be documented for supervisor following up, as well as, evaluated for trends and patterns of noncompliance.~~

SOURCE: ~~Adopted September, 2004; June 24, 2008; June 18, December 18, 2014-2009~~ (This revision date supersedes all previous versions).

2:6 Tobacco-Free Property Policy, Page 1 of 2

~~Employees are reminded that smoking in the workplace is a crime under South Dakota law.~~

~~D. TOBACCO CESSATION OPPORTUNITIES:~~

~~The Authority encourages all employees who use tobacco to quit. Tobacco cessation information is available from the South Dakota QuitLine. The QuitLine's toll free number is 1.866.737.8487, or by visiting the Tobacco Control Program website at: <http://www.state.sd.us/doh/Tobacco/>.~~

~~Questions: Any questions regarding the tobacco-free policy should be directed to your immediate supervisor or the Authority's Human Resource representative.~~

South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Annual Review of Policies

NUMBER: 2:10

All ~~Authority~~ [South Dakota Science and Technology Authority \(SDSTA\)](#) policies and procedures will be reviewed annually by the Board or by a subcommittee of the Board appointed by the Chair.

SOURCE: ~~DATE, April 7, 2006~~ December 18, 2014 (This revision date supersedes all previous versions).
2:10 Annual Review of Policies Policy, Page 1 of 1

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Vehicle Use Policy

NUMBER: 2:11

The South Dakota Science and Technology Authority (the “[Authority](#)”[SDSTA](#)) owns and leases motor vehicles which are available for official use. [Authority](#)[SDSTA](#) vehicles are only to be used for the performance of [Authority](#)[SDSTA](#) work and business. Passengers in [Authority](#)[SDSTA](#)-furnished vehicles must be engaged in official [Authority](#)[SDSTA](#) business.

Each department director and manager is responsible for restricting the use of [Authority](#)[SDSTA](#) vehicles to official [Authority](#)[SDSTA](#) business by properly authorized personnel, and for informing all authorized drivers regarding the consequences of the misuse of such vehicles and personal liability for costs involved in cases of misuse. Questions concerning any use of an official vehicle should be referred to the appropriate director or manager.

Any person operating an [Authority](#)[SDSTA](#)-furnished vehicle must have the proper licensing and appropriate training. -No person may operate an [Authority](#)[SDSTA](#)-furnished vehicle when under the influence of alcohol, drugs or other substances (lawful or not) or when suffering from a physical or mental condition that would render such operation unsafe.

Individual privileges to drive [Authority](#)[SDSTA](#) vehicles may be refused, revoked, or suspended by the responsible department director or manager whenever the [Authority](#)[SDSTA](#)'s policy is violated or when the department director or manager otherwise reasonably deems it necessary so to do.

The restrictions on the use of [Authority](#)[SDSTA](#) vehicles also apply to rental vehicles used for official business. -Because the agreement signed by an individual for rental of a vehicle is a contract between the individual and the rental company, rental vehicles may also be used for personal convenience or business as long as the individual pays for any additional costs. -The [Authority](#)[SDSTA](#) shall be responsible for any claims arising out of accidents that occur during official use of the rental vehicle. -The employee shall be personally responsible for any accidents that occur during personal use.

As between the [Authority](#)[SDSTA](#) and the employee, if a dispute arises concerning whether an accident occurred during official use or personal use, the burden is on the employee to establish by clear and convincing evidence that the accident occurred during official use.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Open Door Policy

NUMBER: 2:13

The management of the [Authority-South Dakota Science and Technology Authority \(SDSTA\)](#) maintains an open door policy under which employees may communicate their problems and concerns. If an employee has a subject that the employee feels requires some action or clarification, the employee should bring it to the attention of the employee's immediate supervisor. This should always be the first step, unless the situation personally involves the employee's supervisor. If the employee does not receive a satisfactory answer from the employee's immediate supervisor, or if the employee feels the matter cannot be discussed with that individual, the employee should take the matter to the employee's senior manager.

An employee may contact the Human Resources [Department Office](#) at any time if the employee does not feel comfortable utilizing the process established by this policy. No employee should hesitate to utilize this open door policy because it has been established for the employees' benefit to allow the freedom of expression and the clarification of employees' concerns.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Workplace Violence Policy

NUMBER: 2:14

The Authority ~~South Dakota Science and Technology Authority (SDSTA) seeks to provide a work environment that~~ ~~minimizes~~ ~~avoids~~ ~~safe~~ ~~workplace violence or other security risks~~ ~~for all employees.~~

The SDSTA shall establish procedures that ~~minimize~~ ~~avoid~~ the threat of violence in the workplace, without restricting appropriate public access to SDSTA employees and facilities, and provides guidelines for responding promptly and effectively to workplace violence.

~~To ensure a safe workplace and to reduce the risk of violence, all employees should review and understand all provisions of this workplace violence policy.~~

~~A. PROHIBITED CONDUCT:~~

~~The Authority will not tolerate any type of workplace violence committed by or against employees. Employees are prohibited from making threats or engaging in violent activities.~~

~~This list of behaviors, while not inclusive, provides examples of conduct that is prohibited and may subject an employee to disciplinary action up to and including discharge, at the sole discretion of the Authority.~~

- ~~1. Causing physical injury to another person.~~
- ~~2. Making harassing or threatening remarks and/or phone calls.~~
- ~~3. Harassing surveillance or stalking (following or watching someone).~~
- ~~4. Aggressive or hostile behavior that creates a fear of injury to another person or subjects another individual to emotional distress.~~
- ~~5. Intentionally damaging, or threatening to damage, Authority property or property of another employee.~~
- ~~6. Possession of a weapon while on Authority property or while on Authority business. Except for law enforcement personnel and Authority security personnel authorized to do so by the Executive Director, the Authority prohibits all persons who enter Authority property from carrying a handgun, firearm, knife (other than a workplace tool or a pocket knife with a blade less than 4" long) or other prohibited weapon of any kind regardless of whether the person is licensed to carry the weapon.~~

~~B. REPORTING PROCEDURES:~~

~~Any potentially dangerous situations must be reported immediately to a supervisor or the Human Resources Department, and all reported incidents will be investigated. The Authority will attempt, but cannot guarantee, that all information will be kept confidential, except as otherwise required by law. All parties involved in any contact prohibited by this policy will be contacted and the results of~~

SOURCE: ~~Adopted February 13, 2009~~ December 18, 2014 (This revision date supersedes all previous versions).
2:14 Workplace Violence Policy, Page 1 of 2

~~investigations will be discussed with them. The Authority will actively intervene at any indication of a possibly hostile or violent situation.~~

~~Employees who confront or encounter an armed or dangerous person should not attempt to challenge or disarm the individual. If a supervisor can be safely notified by the employee or others, such notice should be given. Otherwise, the employee should cooperate and follow the instructions given.~~

~~C. ENFORCEMENT:~~

~~All SDSTA employees are responsible for ~~minimiz~~avoiding workplace violence.~~

~~Violations of this policy by any individual on ~~Authority~~SDSTA property and/or while on ~~Authority~~SDSTA business may result in disciplinary action, up to and including termination and/or legal action as appropriate at the sole discretion of the ~~Authority~~SDSTA.~~

South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Confidentiality Policy

NUMBER: 2:16

During the course of their employment, [Authority](#) employees of the [South Dakota Science and Technology Authority \(SDSTA\)](#) may have varying levels of access to confidential and privileged information relating to the [AuthoritySDSTA](#)'s business, employees, and science and education users.

Confidential and privileged information includes but is not limited to:

1. Medical, personnel, salary, or security background records of individuals;
- 1.2. ~~Attorney-client privileged communications;~~
- 2.3. Unpublished information relating to technological and scientific developments;
- 3.4. Anticipated material or service procurement, engineers' cost estimates and names of low bidders not already announced;
- 4.5. Strategy for contract negotiations;
- 5.6. Board of Directors discussions held in executive session;
- 6.7. Security protocols, underground access points, ventilation protocols and similar information that, if known to the public, could compromise the security of Authority property, both on the surface and underground; and
- 7.8. Any other documents or information so designated by management.

Except as otherwise required or permitted by applicable law, [AuthoritySDSTA](#) employees shall not divulge any confidential or privileged information. Violation of this policy may result in discipline up to and including discharge, at the sole discretion of the [AuthoritySDSTA](#).

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Infectious Disease/Pandemic Policy

NUMBER: 2:17

The ~~Authority~~[South Dakota Science and Technology Authority \(SDSTA\)](#) will take proactive steps to protect the workplace in the event of an infectious disease outbreak. Employees are encouraged to engage in good hygiene practices while at work, especially hand washing with soap and water or, if water is not available, using alcohol-based disposable hand wipes or gel sanitizers.

The ~~Authority~~[SDSTA](#) will monitor, and coordinate responses to, an infectious disease outbreak, as well as create work rules that could be implemented to promote safety through infection control. ~~The~~ [AuthoritySDSTA](#) is committed to providing authoritative information about the nature and spread of infectious diseases, including symptoms and signs to watch for and steps to be taken in the event of an outbreak.

One purpose of earned sick leave is to help ensure that employees not report for work while displaying symptoms of illness or if subject to quarantine directives.

It is the goal of the ~~AuthoritySDSTA, during any time period of quarantine or infectious disease outbreak,~~ to strive to operate effectively, ensure that all essential services are continuously provided, and that employees are safe within the workplace during any time period of quarantine or infectious disease outbreak.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Whistleblower Policy

NUMBER: 2:18

—GENERAL

A.

The [Authority South Dakota Science and Technology Authority \(SDSTA\)](#) expects its directors, employees and other representatives to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. -As employees and representatives of the [AuthoritySDSTA](#), we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable [federal and state](#) laws and regulations.

—REPORTING RESPONSIBILITY

B.

It is the responsibility of all directors and employees to report Wrongful Conduct in accordance with this Whistleblower Policy.

—WRONGFUL CONDUCT

C.

The term, “Wrongful Conduct,” as used in this policy, means any serious impropriety that may impact the integrity or effective operations of the [AuthoritySDSTA](#), including, but not limited to, any one or more of the following: a serious violation of [AuthoritySDSTA](#) policy; a violation of applicable state or federal law; or the use of [AuthoritySDSTA](#) property, resources, or authority for personal gain or other unauthorized non organization-related purpose.

—NO RETALIATION

D.

No officer or employee who in good faith reports Wrongful Conduct will suffer harassment, retaliation or adverse employment consequence. - Any officer or employee who retaliates against anyone who has reported Wrongful Conduct in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the [AuthoritySDSTA](#) prior to seeking resolution outside the [AuthoritySDSTA](#).

—REPORTING WRONGFUL CONDUCT

E.

The [AuthoritySDSTA](#) encourages its officers and employees to share their questions, concerns, suggestions or complaints with someone who can address them properly. -Any officer or employee may report Wrongful Conduct to the

SOURCE: ~~DATE, Adopted March 26, 2009~~ December 18, 2014 (This revision date supersedes all previous versions).
2:18 Whistleblower Policy, Page 1 of 2

Executive Director or the Chairman of the Board of Directors. -If the Wrongful Conduct implicates one or both of the Executive Director or the Chairman of the Board of Directors, or if the reporting individual is not comfortable speaking with or not satisfied with response of the foregoing individuals, the issue may be reported to any member of the Board of Directors or to the [AuthoritySDSTA](#)'s general counsel.

-The Executive Director, the [AuthoritySDSTA](#)'s general counsel and any member of the Board of Directors to whom a report of Wrongful Conduct is made are required to immediately advise the full Board of Directors of such report of Wrongful Conduct.

— ACTING IN GOOD FAITH

F.

Anyone filing a complaint of Wrongful Conduct must be acting in good faith and have reasonable grounds for believing the information disclosed indicates Wrongful Conduct. -Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

— CONFIDENTIALITY

G.

Reports of Wrongful Conduct or suspected Wrongful Conduct may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of Wrongful Conduct or suspected Wrongful Conduct will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

— HANDLING OF REPORTED WRONGFUL CONDUCT

H.

A representative of the Board of Directors will notify the sender and acknowledge receipt of the reported Wrongful Conduct or suspected Wrongful Conduct within five business days, unless such report was submitted anonymously. -All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

— OSHA ACT OF 1970

I.

The Occupational Safety and Health Act of 1970 gives employees the right to file complaints about workplace safety and health hazards. -Further, the Act gives complainants the right to request that their names not be revealed to their employers. -In addition, employees who believe that their employer has discriminated or retaliated against them for raising or reporting safety or health concerns may file a complaint. -Details on filing a complaint with OSHA can be found at www.osha.gov/as/opa/worker/complain.html or if there is an emergency or the hazard is immediately life-threatening, call your local [OSHA Regional Office](#) or 1-800-321-OSHA.

South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Americans with Disabilities Act Policy

NUMBER: 2:19

A. PURPOSE

The South Dakota Science & Technology Authority (~~the “Authority”~~[SDSTA](#)) is committed to providing and promoting equal opportunities in all of its activities and services. -This commitment includes adhering to the mandates of the Americans with Disabilities Act of 1990 (ADA), a federal law that makes it unlawful to discriminate against a qualified person with a disability in all aspects of the employment process and in the provision of services and benefits. -The [AuthoritySDSTA](#) also adheres to all South Dakota laws and regulations that apply to individuals with disabilities.

The ADA enables society to benefit from the skills and talents of individuals with disabilities. -It provides protections similar to those provided by Title VII of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis of race, color, sex, national origin, and religion and Section 504 of the Rehabilitation Act of 1973, which is the foundation for the ADA.

B. WHAT IS A “DISABILITY” UNDER THE ADA?

The ADA utilizes a three-pronged definition of disability. -An individual with a disability is any person who:

1. has a physical or mental impairment that substantially limits one or more major life activities;
2. has a record of such an impairment; or
3. is regarded as having such an impairment.

An individual must satisfy at least one of the three prongs of the above definition in order to be considered an individual with a disability under the ADA.

C. REQUESTING ACCOMMODATIONS

Qualified employees or prospective employees with disabilities may request accommodations in order to perform essential functions of their job or gain access to the hiring process. -Such requests should be made to the Human Resources Office or to the employee’s supervisor. The [AuthoritySDSTA](#) will reasonably accommodate the known physical or mental limitation of an otherwise qualified applicant or employee with a disability unless the accommodation would impose an undue hardship on its business operation.

D. COMMITMENT

The [AuthoritySDSTA](#) is committed to providing reasonable accommodations to qualified persons with disabilities. This will ensure the full and fair participation of all employees and the public in all [AuthoritySDSTA](#) services and activities. All

SOURCE: ~~DATE, Adopted July 29, 2009~~December 18, 2014 (This revision date supersedes all previous versions).
2:19 Americans with Disabilities Act Policy, Page 1 of 2

policies, procedures and employees will support and embrace the [AuthoritySDSTA](#)'s efforts and State programs that are designed to promote and achieve the principles of the Americans with Disabilities Act and those South Dakota laws and regulations that apply to individuals with disabilities.

South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Electronic and Radio Communication Devices Policy

NUMBER: 2:20

In order to increase employee safety and eliminate unnecessary risks while driving, the South Dakota Science and Technology Authority (the “Authority” SDSTA) has enacted an Electronic and Radio Communication Device Policy. -The use of cell phones, and other wireless devices, or radio communications such as two-way radios, while driving, poses a significant safety risk to Authority SDSTA employees, other motorists, passengers, and pedestrians.

This policy includes restrictions on employee activities while driving an Authority SDSTA-owned or rented/leased vehicle, ATV, or any mobile equipment. -This policy includes restrictions on employee activities while driving privately owned or leased vehicles while on any Authority SDSTA business, including state or federally funded work.

Authority SDSTA employees may not engage in any “text messaging” or any voice calling while driving as well as when stopped at a red light or (for example) waiting for a train to pass. -This includes reading from or entering data into any hand-held electronic device, including e-mailing, instant messaging, accessing the internet, obtaining navigational information, initiating or receiving phone calls, or engaging in any other form of electronic data retrieval, or electronic or radio communication that requires the driver to divert their attention to their electronic device. -This includes cell phones, laptops, or other electronic devices, two-way radios, or adjusting a Global Positioning System (GPS). -A “hands-free” device may be used to initiate and receive calls while driving only if the device can be used without distraction. -Drivers should complete calls while the vehicle is parked or use “hands-free” mode wherever possible to ensure full attention to their driving responsibilities.

If a hands-free device is not available, Authority SDSTA employees are required to pull over to a safe place and put the vehicle in “Park” if a call must be initiated or received while driving. -This procedure should also be followed when making adjustments to a GPS. -GPS units may be used but must be programmed or set up in advance of driving so that drivers are not manually typing or inputting information while driving.

~~Radio communications such as two-way radios are allowed while driving in and around the Authority SDSTA property, but caution must be used while driving.~~

These restrictions do not apply to calls made to report an emergency. -In all such cases, all cautionary measures should be taken to safely report the emergency.

Violations of this policy will be considered serious and disciplinary action will be taken per Progressive Discipline and Termination Policy 4:12.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Continuity of Operations Plan Policy

NUMBER: 2:21

It is the policy of the South Dakota Science and Technology Authority (SDSTA) that a comprehensive and effective continuity of operations plan be maintained to ensure continuation of the mission in the event normal operations are disrupted or threatened with disruption.

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Policies and Procedures Manual

SUBJECT: Succession Plan Policy

NUMBER: 2:22

Recognizing that changes in management are inevitable, the South Dakota Science and Technology Authority (SDSTA) shall establish a succession plan, which identifies critical executive and management positions so as to avoid extended and costly vacancies in key positions and provide continuity in leadership.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Military Active Duty Leave Policy

NUMBER: 4:4:5

The South Dakota Science and Technology Authority (SDSTA) recognizes and values the service performed by members of our military. This policy provides information for those employees activated for military duty. The SDSTA wants to make this transition as easy and as comfortable as possible. The goal is to ensure that an employee required to report for active duty is able to leave employment temporarily with the knowledge that their affairs are in order and their employment rights are protected. This policy clarifies the SDSTA's position regarding leave and benefits.

The activated employee must furnish the Human Resources Office with a copy of their active duty orders.

Activated employees may choose from the following five (5) options or a combination of these options:

1. Up to 15 days (120 hours) of otherwise unused military training leave;
2. Up to 40 hours of otherwise unused personal leave;
3. Accrued vacation leave;
4. Active military duty status without pay;
5. Separation.

Unless plainly inconsistent, all restrictions otherwise applicable to leave hours generally also apply to leave taken in connection with activation for military service.

15 DAYS (120 HOURS) OF UNUSED MILITARY TRAINING LEAVE

The employee may use up to 15 days (120 hours) of otherwise unused military training leave. Military leave may be used either in small amounts to generate a partial paycheck or to make up the entire check for the pay period. If military active duty extends into a new calendar year, the employee may use their new calendar year allotment. Unused military leave does not accrue or accumulate from year to year.

40 HOURS OF UNUSED PERSONAL LEAVE

The employee may use up to 40 hours of otherwise unused personal leave. Personal leave may be used either in small amounts to generate a partial paycheck or to make up the entire check for the pay period. If military active duty extends into a new calendar year, the employee may use their new calendar year allotment. Unused personal leave does not accrue or accumulate from year to year.

A. VACATION LEAVE

The employee may use accrued and otherwise unused vacation leave to continue their bi-weekly paychecks until the leave is exhausted. Vacation leave may be used either in small amounts to generate a partial paycheck that covers employee-paid deductions, or to make up the entire check for the pay period.

SOURCE: Adopted December 18, 2014 (This revision date supersedes all previous versions).
4:4:5 Military Active Duty Leave Policy, Page 1 of 3

B. ACTIVE MILITARY DUTY STATUS WITHOUT PAY

The employee may choose to remain on the SDSTA's payroll system and not be paid. This will also be the default option if the employee does not choose a form of leave or if the chosen leave expires.

C. LONGEVITY PAY

The employee is eligible for longevity pay if the employee opts to remain on either paid leave or leave without pay. The employee will be issued a longevity check on the payroll of their anniversary date.

D. SEPARATION

While most employees will elect to remain a SDSTA employee and use either paid leave or go on active military duty status without pay, employees may separate employment with the SDSTA. If the employee separates employment, they will be paid for any vacation and sick leave balance in accordance with established policy.

WAGE DIFFERENCES FOR CERTAIN NATIONAL GUARD AND RESERVE MEMBERS

If an employee of the SDSTA who is a member of the National Guard or any other Reserve component of the U.S. Armed Forces and is ordered into State Active Duty (SAD), Title 10 or Title 32 service, other than for training purposes, and the employee's combined military salary and allowances are smaller than their SDSTA salary, SDSTA shall pay the difference between the employee's SDSTA salary or wage rate at the time the employee was activated and the employee's military salary and allowances for the time the employee is engaged in such active service, not to exceed 12 consecutive months. The salary or wage difference shall be paid by SDSTA on at least a quarterly basis.

For the purposes of this policy, the employee's military wages will include their base pay plus all allowances that are included in gross pay, which will be compared to the employee's SDSTA base pay including overtime built into their schedule, but excluding the Safety Construction Compensation (SCC) bonus.

If the employee qualifies for this payment, the employee shall make copies of all their military Leave & Earnings statements (LES) for the period of time they are activated and send them to the Human Resources Office either by mail, fax or email.

INSURANCE BENEFITS

For absences of 30 days or less, benefits continue as if the employee has not been absent. Employees called to active duty whose leave exceeds 30 days become automatically covered through TRICARE and will have the following options:

1. The employee and any eligible family members that are covered on the SDSTA Health Plan, at the time of activation, may continue existing health coverage. The maximum period of coverage for an employee shall be the lesser of:
 - A 24-month period beginning on the date on which the employee's absence for purposes of performing services begins; or
 - A period beginning on the date on which the employee's absence for the purpose of performing service begins and ending on the date on which the employee fails to return from service or report for work.

2. The employee may discontinue SDSTA Health Plan coverage and elect TRICARE for his/herself and for family members, or
3. Choose coverage through another group plan.

If the employee elects to continue the SDSTA Health Plan coverage they will continue to receive paid health benefits by the SDSTA. If they also have coverage through TRICARE for themselves and their dependents, the SDSTA Health Plan (with limitations and exclusions surrounding military action) is primary and TRICARE is secondary on any claims.

If the employee elects to continue any flexible benefits and/or dependent(s) coverage (health and/or flexible benefits), they must notify the Human Resources Office to make arrangements for premium payments including how to bill for coverage if the employee is on active military duty status without pay.

Employees returning from active duty will not be required to satisfy the pre-existing condition waiting period.

SOUTH DAKOTA RETIREMENT SYSTEM (SDRS) SERVICE CREDIT FOR MILITARY LEAVE OF ABSENCE

The employee will receive SDRS credited service for a leave of absence due to military service authorized by the SDSTA, without contribution by the employee and the SDSTA, if the employee returns to employment within one year from the date of discharge from their initial period of active military service and if they remain employed for at least one year. Should the employee want to maintain SDRS disability, survivor and optional spouse coverage while on military leave of absence, the employee is responsible to make both the employee and SDSTA contributions during such leave. To maintain the optional spouse coverage, the employee must also pay the additional 1.5% of salary contribution. Such contributions are based on the employee's rate of compensation immediately prior to such leave and must be transmitted by the employee to the SDRS at least monthly.

The employee may also purchase military leave of absence service at a later time if they do not return to service within one year of discharge and remain employed for one year. Employees should contact SDRS at (605) 773-3731 for more information concerning the foregoing.

EMPLOYEES RETURNING AFTER ACTIVE SERVICE

Federal and state law requires that after return from active duty, the SDSTA offer the employee a job with the same pay, rank, and seniority they would have expected if work had not been interrupted by military duty unless their separation from service is the result of a disqualifying discharge or other less than honorable discharge conditions. The actual position may or may not be the same, depending upon SDSTA needs at the time.

If the employee returns to duty within 90 days of discharge, or within 90 days after a hospitalization continuing after such release for a period of not more than one year, the employee will retain their most recent hire date and not serve another probationary period.

If the employee volunteers for emergency duty instead of being ordered to report, their leave and benefits will be handled in the same manner as someone who is ordered to report.

**SOURCE: Adopted December 18, 2014 (This revision date supersedes all previous versions).
4:4:5 Military Active Duty Leave Policy, Page 3 of 3**

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: No Solicitation/Distribution

NUMBER: 2:7

In order that employees give their undivided attention to their jobs, employees are prohibited from the solicitation of support for organizations or the distribution of non-work related material or literature of any kind during the employee's work shift. Similarly, no employee who is not on a work shift may solicit for organizations or distribute materials or literature of any kind to another employee who is on a work shift.

Employee solicitations may be left in break rooms or posted on approved public bulletin boards but under no circumstances will an employee be allowed to solicit person to person.

Requests for exceptions to this policy must be directed to the Executive Director. No exception shall be valid unless issued in writing by the Executive Director.

Non-employees may not come on Authority property at any time to solicit for any cause or distribute material or literature of any kind for any purpose that is not strictly and specifically work-related.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Employee Privacy

NUMBER: 2:12

No employee shall have any expectation of privacy as to information stored on computers or in other electronic media, telephone conversations originated from or received on Authority property, the employee's workspace or personal belongings brought onto Authority property. Without limiting the generality of the foregoing, no employee shall have any expectation of privacy as to emails sent or received using an Authority email account or on an Authority computer. The Authority may review the contents of emails at any time with or without the employee's knowledge or permission and may conduct unannounced searches of employee spaces and property located at or brought to the workplace. The Authority may require employees to exhibit the contents of their workspace, bags, purses, vehicles, briefcases, packages, tool boxes, lunch boxes, lockers and other such items. An employee's refusal to allow access or a search may subject the employee to appropriate disciplinary action, up to and including termination, at the sole discretion of the Authority.

**SOURCE: ~~Adopted February 13, 2009 (This revision date supersedes all previous versions):~~
~~2:12 Employee Privacy Policy, Policy retired on December 18, 2014~~**

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South Dakota Science & Technology Authority

Policies and Procedures Manual

SUBJECT: Use of Company Owned Electronic Equipment, Systems and Protection of Personal Privacy Procedures

NUMBER: 2:5A

South Dakota Science and Technology Authority (SDSTA) employees are expected to exercise sound judgment and display professional behavior in the day-to-day performance of their assigned responsibilities.

The SDSTA has established guidelines designed to protect the SDSTA against improper use of electronic equipment and software and to protect the privacy of its employees. Those rules shall be enforced fairly and consistently to protect SDSTA assets and the personal privacy of employees.

The SDSTA reserves the right to take corrective action, up to and including termination, should use of company owned assets, electronic equipment or systems cause disruption, loss of productivity, or invade the privacy of co-workers.

A. Solicitation/Distribution

In order that employees give their undivided attention to their jobs, the solicitation of support for organizations or the distribution of non-work related material or literature of any kind is prohibited during the employee's work shift. Similarly, off-shift employees may not solicit for organizations or distribute materials or literature of any kind to employees on a scheduled work shift.

Per supervisor's approval, employee solicitations may be left in break rooms or posted on approved public bulletin boards, but under no circumstances will an employee be allowed to solicit person-to-person.

Non-employees may not come on property at any time to solicit for any cause or distribute material or literature of any kind for any purpose not strictly and specifically work-related.

Requests for exceptions to approved procedures must be directed to the Executive Director. No exception shall be valid unless issued in writing by the Executive Director.

B. Telephone Usage

Personal use of the office telephones, SDSTA-owned cell phones or personal cell phones should be limited and brief in duration. Personal long distance calls must be billed to the employee's home telephone or credit card or placed collect.

Use of hand-held mobile phones while driving is prohibited. Employees using mobile phones while in vehicles must remember their primary responsibility is driving safely and obeying the rules of the road. Employees must pull to the side of the road, come

to a complete stop, and put the vehicle in “Park” before dialing or talking on a mobile phone if a hands-free device is not available.

The use of video, photo, text messaging, voicemail, and Internet connectivity must be utilized in a manner that does not interfere with productivity and protects the personal privacy of co-workers. Use of camera phones or camera PDAs are permitted only in public areas of SDSTA facilities. Images of employees may be captured and used only with their permission. Employees should have no expectation of privacy with regard to use of these features.

Employees engaging in excessive use of any of the referenced telephone applications will be subject to corrective action up to, and including, termination.

C. Computers, Email, and Internet Usage

The SDSTA maintains a computer network and purchases software for use in the network or develops proprietary software systems for SDSTA use. All computers, software, and the data on the hard drives are the property of the SDSTA. Employees are prohibited from copying any SDSTA software products for home or other use.

No software or hardware, other than the operating system, Adobe or Java updates, is to be installed on the computers unless approved and installed by the Information Technology (IT) office. Software products from any source, other than automatic updates, should also be installed by IT personnel only.

The Internet can be a valuable source of information and research. Email can be an excellent means of communicating with other employees, outside vendors and other businesses. Use of the Internet, however, must be tempered with common sense and good judgment and employees are expected to use these resources in a productive, professional and courteous manner. The SDSTA will not be responsible for unauthorized financial obligations resulting from access to the Internet.

Emails are sometimes misdirected or forwarded and may be viewed by persons other than the intended recipient. Users should write email communications with no less care, judgment and responsibility than that used for letters or internal memoranda written on SDSTA letterhead.

Employees should have no expectation of privacy with regard to email and Internet use, nor should employees expect that files stored on SDSTA computers are, or always will be, private. Viewing or displaying images and/or sending messages that include ethnic slurs, racial comments, off-color jokes or anything that may be reasonably construed as harassment to others is not allowed. The intentional or reckless display of sexually explicit images, messages and cartoons is not allowed. The Internet may not be used for illegal or unethical purposes or for viewing any web sites that are sexual in nature.

If an employee repeatedly receives email messages, the content of which violates, or could reasonably be construed to violate, these procedures, the employee shall report that fact to his or her supervisor.

Violations of SDSTA’s computer, email and Internet procedures may result in disciplinary action up to and including termination.

D. Employee Privacy

No employee shall have any expectation of privacy as to information stored in, created, received, or sent on computers or other electronic media, telephone conversations originated from or received on SDSTA owned equipment, the employee's workspace or personal belongings brought onto SDSTA property.

Without limiting the generality of the foregoing, no employee shall have any expectation of privacy as to emails sent or received using an SDSTA email account or on a SDSTA computer. The SDSTA may review the contents of emails at any time with or without the employee's knowledge or permission.

The SDSTA may conduct unannounced searches of employee spaces and property located at or brought to the workplace. Employees may be required to exhibit the contents of their workspace, bags, purses, vehicles, briefcases, packages, tool boxes, lunch boxes, lockers and other such items.

An employee's refusal to allow access or a search may subject the employee to appropriate disciplinary action, up to and including termination, at the sole discretion of the SDSTA.

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South Dakota Science & Technology Authority Policies and Procedures Manual

SUBJECT: Tobacco-Free Property Procedures

NUMBER: 2:6A

The South Dakota Science and Technology Authority (SDSTA) has designated all property owned or operated by the SDSTA to be tobacco-free to protect and promote the health and well being of employees and visitors.

- A. **TOBACCO-FREE AREAS:** All property owned or operated by the SDSTA shall be tobacco-free. This includes all buildings, grounds, parking lots, SDSTA-owned motor vehicles on or off SDSTA property, and any other motor vehicle on SDSTA property. This applies to all areas on the surface and in the underground.
- B. **SIGNAGE:** “No Smoking” signs will be posted at all entrances to SDSTA property and buildings and in other prominent places. No ashtrays or other collection receptacles for tobacco trash will be placed or allowed on SDSTA property.
- C. **COMPLIANCE:** Enforcement of the tobacco-free property policy is the shared responsibility of all SDSTA personnel. All employees are authorized and encouraged to communicate the policy with courtesy, respect, and diplomacy, especially with regard to visitors. If difficulties arise with compliance of the policy, notify your supervisor or security.

Incidents of smoking and/or tobacco use by employees are to be documented for supervisor following up, as well as, evaluated for trends and patterns of noncompliance.

Employees are reminded that smoking in the workplace is a crime under South Dakota law. SDCL 22-36-2 prohibits smoking in places of employment and public places.

- D. **TOBACCO CESSATION OPPORTUNITIES:** The SDSTA encourages all employees who use tobacco to quit. Tobacco cessation information is available from the South Dakota QuitLine by calling its toll free number (1-866-737-8487), or by visiting the Tobacco Control Program website at:
<http://doh.sd.gov/prevention/tobacco/>.

Questions regarding the tobacco-free policy should be directed to your immediate supervisor or the SDSTA’s Human Resource Administrator.

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South Dakota Science & Technology Authority
Policies and Procedures Manual

SUBJECT: Vehicle Use Procedure

NUMBER: 2:11A

A. GENERAL:

1. **Transportation Services:** The South Dakota Science and Technology Authority (SDSTA) owns and leases motor vehicles which are available for official use. SDSTA vehicles are for official use only, i.e., for the performance of SDSTA work and business. Passengers in SDSTA-furnished vehicles must be engaged in official SDSTA business.
2. **Department Directors' and Managers' Responsibilities:** Each department director and manager is responsible for restricting the use of SDSTA vehicles to official SDSTA business by properly authorized personnel, and for informing all authorized drivers regarding the consequences of the misuse of such vehicles and personal liability for costs involved in cases of misuse.

Questions concerning any use of an official vehicle should be referred to the appropriate director or manager.

3. **Licenses, training and other restrictions:**
 - a. Any person operating an SDSTA-furnished vehicle must have a valid drivers' license issued by a state of the United States and, if necessary and appropriate for the vehicle type, a commercial driver's license.
 - b. Any person operating an SDSTA-furnished vehicle must be task-trained for the vehicle to be driven.
 - c. No person may operate an SDSTA-furnished vehicle within four hours of ingesting any quantity of alcohol, when under the influence of drugs or other substances (lawful or not) or when suffering from a physical or mental condition that would render such operation unsafe.

B. AUTHORIZED AND UNAUTHORIZED USES OF VEHICLES:

1. **Transportation to Residence, Lodging, or Eating Places:**
 - a. SDSTA-furnished vehicles may be used for transportation between an individual's place of work, residence, lodging or eating place only when at least one of the following circumstances exists:
 1. The nature of the work requires a vehicle at or near an employee's residence or lodging in order to respond to emergencies or expected off-hour calls.
 2. A vehicle is necessary to perform special hauling or other services for the SDSTA between an employee's place of work and a location at, near or en route to his or her residence or lodging.

SOURCE: November 21, 2014 (This revision date supersedes all previous versions).
2:11A Vehicle Use Procedure, Page 1 of 3

3. An employee is required to depart on or return from a field trip at unusually early or late hours.
 4. Public transportation is not practicable or reasonably available while an employee is on a field trip or official travel.
 5. Special or emergency situations required by SDSTA work, such as unexpected overtime, make it unreasonable to expect an employee to use other transportation to his or her residence or lodging.
 - b. Use of a SDSTA vehicle in any of the above circumstances must be authorized by the appropriate department director or manager.
2. Personal Use: Use of a SDSTA vehicle for an employee's personal convenience or benefit constitutes misuse and is prohibited. Improper personal use includes, but is not limited to, the following:
 - a. Trips to service stations or repair shops in connection with the servicing or repair of any individual's private car.
 - b. While on special assignment or official travel, side trips for meals that involve significant extra time or distance to satisfy a personal preference when other reasonable and adequate eating places are more convenient to the employee's lodging, place of work, or direct route of official travel.
 - c. Local stops for personal shopping or other business, even if such stops are on a direct route of travel on an official trip.
3. Use by Non-Employees:
 - a. Non-employees are normally unauthorized to drive or be passengers in SDSTA-furnished vehicles. They may be authorized to use SDSTA vehicles, however, when they are engaged in contract work for the SDSTA. No contractor or employee of a contractor may drive a SDSTA-furnished vehicle unless the contractor first agrees to indemnify the SDSTA from any claims or losses resulting from said use and the contractor provides proof of insurance covering the contractor's use of the vehicle that is acceptable to the SDSTA. Approval for contractor use of an SDSTA-provided vehicle must be provided in writing by the department director or manager that is responsible for administration of the contractor's contract.
 - b. If a non-employee is approved to operate a SDSTA vehicle, that person must be a licensed driver with a valid drivers' license issued in the United States, a copy of which must be provided to SDSTA. Any such person must also be task trained to drive SDSTA vehicles.
4. Suspension or Revocation of Driving Privileges: Individual privileges to drive SDSTA vehicles may be refused, revoked, or suspended by the responsible department director or manager whenever the SDSTA's policy is violated or when the department director or manager otherwise reasonably deems it necessary so to do.

C. RENTAL VEHICLES:

1. The restrictions on the use of SDSTA vehicles also apply to rental vehicles used for official business. Because the agreement signed by an individual for rental of a vehicle is a contract between the individual and the rental company, rental vehicles may also be used for personal convenience or business as long as the individual pays for any additional costs for, e.g., mileage, day charges, and any insurance fees resulting from personal use.
2. The SDSTA shall be responsible for any claims arising out of accidents that occur during official use of the rental vehicle. The employee shall be personally responsible for any accidents that occur during personal use. It is the responsibility of the employee to ensure that personal use of a rental vehicle is covered by the employee's personal insurance or by supplemental insurance purchased at the employee's expense.
3. As between the SDSTA and the employee, if a dispute arises concerning whether an accident occurred during official use or personal use, the burden is on the employee to establish by clear and convincing evidence that the accident occurred during official use.

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South Dakota Science & Technology Authority

Policies and Procedures Manual

SUBJECT: Open Door Procedures

NUMBER: 2:13A

The South Dakota Science and Technology Authority (SDSTA) maintains an open door policy to encourage open communication, feedback and discussion about any matter of importance to an employee.

- A. Purpose: The purpose of SDSTA's open door policy is to provide a work environment where:
- open, honest communication between managers and employees is a day-to-day business practice;
 - employees may seek counsel, provide or solicit feedback or raise concerns within the company; and
 - employee input is welcomed, advice is freely given and issues are surfaced early and are candidly shared without fear of retaliation when input is offered in good faith.

While there may not be an easy answer or solution to every concern, the open door policy provides SDSTA employees the opportunity to be heard at all times.

- B. Responsibilities: Employees have the responsibility to address any area of their work causing issues or concerns with a manager.

All members of management have a responsibility to see that open door matters are considered carefully and seriously and that an answer is promptly given.

Management also has the responsibility to ensure that no employee is penalized for exercising his or her privilege to utilize the Open Door Policy.

By listening to employee's problems, complaints, suggestions and observations, the SDSTA is able to address complaints, to improve, and to foster employee understanding of the rationale for practices, processes and decisions.

- C. Procedure: Most problems can and should be solved in discussion with the employee's immediate supervisor; this is encouraged as the first effort to solve a problem.

The Open Door Policy, however, means that the employee may also discuss issues and concerns with the next level of management and/or the Human Resource Administrator.

While the above procedure is preferred, it should be understood that any employee, at any time, and for whatever reason, has the right to bring up an issue of concern directly to the Executive Director and/or to any member of the Board of Directors.

Employees with questions about matters of compliance or ethics are encouraged to consult their supervisor, manager, Human Resource Administrator, Executive Director or to call the SDSTA Ethics Hotline (605-722-8650, extension 314) to request assistance.



South Dakota Science & Technology Authority Policies and Procedures Manual

SUBJECT: Workplace Violence Procedures

NUMBER: 2:14A

The South Dakota Science and Technology Authority (SDSTA) has established the following procedures to avoid the threat of violence in the workplace, without restricting appropriate public access to SDSTA employees and facilities, and to provide guidelines for responding promptly and effectively to workplace violence.

All SDSTA employees are responsible for avoiding workplace violence. To ensure a safe workplace and to reduce the risk of violence, all employees should review and understand all provisions of this procedure.

- A. **DEFINITIONS:** Workplace violence is defined as any intentional act that inflicts, attempts to inflict, or threatens to inflict bodily hurt on another person or that inflicts, attempts to inflict, or threatens to inflict, damage to property, whether committed by an SDSTA employee or by anyone else and which occurs in an SDSTA workplace, at an SDSTA site location or while an employee is engaged in SDSTA business.

Workplace is defined as all SDSTA property and any other locations where SDSTA employees are performing their work.

- B. **PROHIBITED CONDUCT:** The SDSTA will not tolerate any type of workplace violence committed by or against employees. Employees are prohibited from making threats or engaging in violent activities.

This list of behaviors, while not inclusive, provides examples of conduct that is prohibited and may subject an employee to disciplinary action, up to and including discharge, at the sole discretion of the SDSTA.

1. Causing physical injury to another person.
2. Making harassing or threatening remarks and/or phone calls.
3. Harassing surveillance or stalking (following or watching someone).
4. Aggressive or hostile behavior that creates a reasonable fear of injury to another person or subjects another individual to emotional distress.
5. Intentionally damaging, or threatening to damage, SDSTA property or property of another employee.
6. Possession of a weapon while on SDSTA property or while on SDSTA business. Except for law enforcement personnel and SDSTA security personnel authorized to do so by the Executive Director, the SDSTA prohibits all persons who enter the SDSTA property from carrying a handgun, firearm, knife (other than a workplace tool or a pocket knife with a blade less than 4-inches long) or other prohibited weapon of any kind regardless of whether the person is licensed to carry the weapon.

SOURCE: November 24, 2014 (This revision date supersedes all previous versions).
2:14A Workplace Violence Procedures, Page 1 of 2

- C. **RESPONDING TO AND REPORTING PROCEDURES:** A significant element in avoiding workplace violence is a workforce trained in the identification of situations that are likely to result in workplace violence and in the handling and reporting of such situations, whether perpetrated by a co-worker or by a third party.

Employees who confront or encounter an armed or dangerous person should not attempt to challenge or disarm the individual. If a supervisor can be safely notified by the employee or others, such notice should be given. Otherwise, the employee should cooperate and follow the instructions given.

All employees shall promptly report any potentially dangerous situations to a supervisor or the Human Resources Administrator, and all reported incidents will be investigated. In emergency situations, employees may report workplace violence to supervisory or managerial level employees other than their own supervisors. Employees shall promptly report to their supervisors situations that they believe could lead to workplace violence, including but not limited to protective orders or other “no-contact” orders.

Managers and supervisors have a responsibility to ensure that behaviors and actions that are likely to result in workplace violence are dealt with promptly, firmly and fairly, and shall respond promptly to reports of workplace violence from SDSTA employees. All reports of workplace violence shall immediately be reported orally to the Human Resource Administrator or Executive Director.

The SDSTA will take reasonable steps to protect the safety of persons reporting workplace violence. All parties involved in any act prohibited by this policy will be contacted and the results of investigations will be discussed with them. The SDSTA will actively intervene at any indication of a possibly hostile or violent situation.

Anything in this procedure to the contrary notwithstanding, employees are free to report instances of workplace violence to law enforcement. Management will make reports to law enforcement when management deems it appropriate given the circumstances, and in any event when required by law.

- D. **ENFORCEMENT:** Violations of this policy by any individual on SDSTA property, and/or while on SDSTA business or in a manner that interferes with SDSTA operations may result in disciplinary action, up to and including termination and/or legal action as appropriate at the sole discretion of the SDSTA.

Lobbyist Registration – Mr. Tim Engel

Discussion

Ms. Mandy Knight will contact the State of South Dakota mid-Jan 2015 and request badges for Mr. Mike Headley, Mr. Ron Wheeler and Mr. Tim Engel for the 2015 Legislative Session.

Recommended Action:

Motion to designate Mr. Mike Headley, Mr. Ron Wheeler and Mr. Tim Engel as lobbyists for the SDSTA.

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Set 2015 SDSTA Board of Directors Meeting Schedule – Mr. Mike Headley

Below are suggested dates and times for the 2015 SDSTA Board of Directors meeting schedule:

- Thursday, March 19, 2015 at 9:00 am (MT)
- Thursday, June 18, 2015 at 9:00 am (MT)
- Thursday, September 17, 2015 at 9:00 am (MT)
- Thursday, December 17, 2015 at 9:00 am (MT)

** Please bring your personal calendars to the Board meeting to set next year's meeting schedule*

Recommended Action:

Motion to approved suggested dates and times as listed above.

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Executive Session – Chairperson Casey Peterson

Recommended Action:

Motion to enter into executive session to discuss personnel matters and to consult with legal counsel concerning contractual and legal matters.

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Report from Executive Session – Chairperson Casey Peterson

Recommended Action:

Motion to accept Report from Executive Session.

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Board Comments – Chairperson Casey Peterson
