



BOARD OF REGENTS

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OFFICE OF THE EXECUTIVE DIRECTOR

July 20, 2017

TO: Government Operations and Audit Committee
FROM: Mike Rush, South Dakota Board of Regents
RE: Response to GOAC Request for Information

On July 5, 2017, the South Dakota Board of Regents received a letter from Senator Deb Peters, Chair of the Government Operations and Audit Committee, requesting information from the Board on various topics. These topics included:

- Operational policies of acceptance and admissions of undocumented students and resulting fiscal impact
- University Centers financial review
- U.S. Department of Education grants of interest by the Committee

The attached exhibits provide information in regard to these topics, and are listed below for your reference.

Exhibit A: Operational Policies of Acceptance and Admissions of Undocumented Students and Resulting Fiscal Impact

Exhibit B: University Center Operating Statements for Fiscal Year Ended June 30

Exhibit C: U.S. Department of Education Federal Grant Program Overview

Exhibit A

Operational Policies of Acceptance and
Admissions of Undocumented Students
and Resulting Fiscal Impact

**Operational Policies of Acceptance and Admissions of Undocumented Students and
Resulting Fiscal Impact**

Undergraduate Admission Process

- Each applicant is required to submit the following items: (1) A completed application; (2) The \$20 application fee; (3) The high school transcript; and (4) SAT or ACT official scores.
- The admissions staff reviews all submitted applications to assess the applicant's academic ability.
 - BOR Policy 2:3 is the System Undergraduate Admission policy and contains the details for the information that is assessed to determine whether an applicant's academic ability would support his/her admission.
 - For admissions to a baccalaureate degree program by a high school graduate, the factors considered include (1) the high school GPA; (2) ACT or SAT test score; (3) class rank, and (4) minimum high school course requirements.
- Applicants whose academic ability meets or exceeds the requirements in BOR Policy 2:3 have the remainder of their applications reviewed to determine whether they qualify for resident tuition rates under BOR Policy 3:2.
 - The default qualification for resident tuition rates for most applicants requires (1) graduation from a South Dakota high school, and (2) U.S. Citizenship or permanent legal resident status.
 - For a majority of applicants, a valid South Dakota high school transcript coupled with the self-identification in the application for admissions as a U.S. Citizen is used to designate compliance with the residency requirement.
 - Applicants who will graduate or have graduated from a South Dakota high school who do not identify themselves as U.S. Citizens will receive a letter stating that they will be charged non-resident tuition rates unless they provide documentation of their permanent legal status.
- Male students born after December 31, 1959 must certify in the application for admission that they have complied with the Selective Service registration requirements prior to enrolling.
- Fiscal impact of admission of undocumented students is negligible.

Exhibit B

University Center Operating Statements
for Fiscal Year Ended June 30

EXHIBIT B

**Black Hills State University - Rapid City
Operating Statement for Fiscal Year Ended June 30**

	<u>Actual FY13</u>	<u>Actual FY14</u>	<u>Actual FY15</u>	<u>Actual FY16</u>	<u>Actual FY17</u>	<u>Budget FY18</u>
Revenues						
Tuition Revenue (after HEFF)	\$5,923,619	\$6,297,014	\$5,923,288	\$5,180,387	\$4,922,456	\$5,032,000
Rentals	\$0	\$0	\$9,788	\$13,272	\$24,707	\$25,000
Testing Services	\$8,571	\$7,148	\$10,769	\$9,398	\$8,209	\$9,000
Auxiliary Operations	\$0	\$0	\$965	\$496	\$1,214	\$500
Total Revenues	\$5,932,190	\$6,304,162	\$5,944,810	\$5,203,553	\$4,956,586	\$5,066,500
Expenses						
Instructional Costs	\$2,210,752	\$2,279,735	\$2,032,672	\$1,778,011	\$1,680,275	\$1,709,000
Center Operating Costs	\$1,099,530	\$1,275,337	\$1,415,771	\$1,435,940	\$1,468,257	\$1,490,000
Total Expenses	\$3,310,282	\$3,555,072	\$3,448,443	\$3,213,951	\$3,148,532	\$3,196,500
Contribution to Campus Support Costs	\$2,621,908	\$2,749,090	\$2,496,367	\$1,989,602	\$1,808,054	\$1,870,000
Total Expenses Plus Contribution	\$5,932,190	\$6,304,162	\$5,944,811	\$5,203,553	\$4,956,586	\$5,066,500

Footnotes:

1) Basis of Accounting: Cash basis.

2) Explanation and Uses of Campus Support Costs:

The main campus provides additional support through a variety of instructional, supervisory, and accounting functions. The revenue generated above the noted direct expense is retained on campus to fund the additional support the center requires.

3) Explanation of Why No Statement of Financial Position is Provided:

A statement of financial position isn't provided as the Rapid City Center isn't a standalone operation. The revenues above the direct expenditures flow to the main campus to cover center support in all the areas of operation. BHSU-RC can be viewed as simply another department within Black Hills State University. Black Hills State University maintains a single financial position.

Source: As reported by Black Hills State University.

	<u>Actual FY13</u>	<u>Actual FY14</u>	<u>Actual FY15</u>	<u>Actual FY16</u>	<u>Actual FY17</u>	<u>Budget FY18</u>
Enrollment Data						
Student Headcount Served	2,042	1,928	1,882	1,696	1,521	
Full-Time Equivalent Students	739	719	680	642	571	
Credit Hours Generated	21,594	20,918	19,610	18,478	16,709	17,000

Source: Regents Information Systems (end-of-term, self-support hours).

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**University Center - Sioux Falls
Operating Statement for Fiscal Year Ended June 30**

	Actual FY13	Actual FY14	Actual FY15	Actual FY16	Actual FY17	Budget FY18
Revenues						
Tuition Revenue (Net of HEFF)	\$6,372,514	\$6,113,654	\$6,187,677	\$5,342,418	\$4,539,365	\$4,562,062
Rentals	\$272,529	\$254,975	\$273,702	\$263,505	\$288,254	\$288,254
Testing Services	\$7,621	\$6,411	\$5,328	\$85,559	\$47,858	\$47,858
Auxiliary Operations	\$177,955	\$147,721	\$74,629	\$45,275	\$77,894	\$77,894
Total Revenues	\$6,830,619	\$6,522,761	\$6,541,336	\$5,736,757	\$4,953,371	\$4,976,068
Expenses						
Instructional Costs	\$3,008,780	\$2,932,751	\$2,593,047	\$2,389,951	\$1,592,406	\$1,600,368
UCSF Operating Costs	\$3,201,009	\$2,834,679	\$2,536,210	\$2,494,619	\$2,886,908	\$3,061,537
Total Expenses	\$6,209,789	\$5,767,430	\$5,129,256	\$4,884,570	\$4,479,314	\$4,661,905
Contribution to Campus Support Costs	\$620,830	\$755,331	\$1,412,080	\$852,187	\$474,057	\$314,163
Total Expenses Plus Contribution	\$6,830,619	\$6,522,761	\$6,541,336	\$5,736,757	\$4,953,371	\$4,976,068

Footnotes:

1) Basis of Accounting: Cash

2) Explanation and Uses of Campus Support Costs: Costs associated with supporting UC, such as HR, ITS, Finance, etc

3) Explanation of Why No Statement of Financial Position is Provided:

The Sioux Falls Center is not a standalone operation. The Center operation is part of the USD financial statement and instructional revenues and expenses are reported on the DSU, SDSU and USD financial statements. The Center does not maintain fund balances.

Source: As reported by the University of South Dakota.

	Actual FY13	Actual FY14	Actual FY15	Actual FY16	Actual FY17	Budget FY18
Enrollment Data						
Student Headcount Served	2,799	2,552	2,102	1,788	1,572	
Full-Time Equivalent Students	981	917	752	612	525	
Credit Hours Generated	29,144	27,330	22,436	18,256	15,662	15,662

Source: Regents Information Systems (end-of-term, self-support hours).

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Capital University Center
Operating Statement for Fiscal Year Ended June 30

	<u>Actual*</u> <u>FY13</u>	<u>Actual</u> <u>FY14</u>	<u>Actual</u> <u>FY15</u>	<u>Actual</u> <u>FY16</u>	<u>Actual</u> <u>FY17</u>	<u>Budget</u> <u>FY18</u>
Revenues						
Tuition Revenue (after HEFF)	\$303,711	\$339,380	\$282,354	\$352,836	\$185,807	\$185,000
General Fund Rent	\$34,768	\$34,768	\$34,768	\$34,768	\$34,768	\$34,768
HEFF Rent	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000
CUC Foundation	\$98,000	\$101,976	\$134,443	\$99,297	\$91,344	\$91,000
Space Rental	\$0	\$0	\$0	\$0	\$0	\$82,000
Testing Revenue	\$1,018	\$1,157	\$1,752	\$3,673	\$6,847	\$7,000
Other**	\$0	\$25,735	\$34,962	\$0	\$0	\$62,000
Auxiliary Operations (Bookstore)	\$56,326	\$51,433	\$34,226	\$32,062	\$18,827	\$18,000
Total Revenues	\$543,823	\$604,449	\$572,505	\$572,636	\$387,593	\$529,768
Expenses						
Instructional Costs	\$136,845	\$140,241	\$141,482	\$178,523	\$104,839	\$105,000
Center Operating Costs	\$435,551	\$445,738	\$404,594	\$343,076	\$308,120	\$320,000
Scholarships	\$20,000	\$20,850	\$30,600	\$28,406	\$20,614	\$20,000
Rent	\$84,768	\$84,768	\$84,768	\$84,768	\$84,768	\$84,768
Total Expenses	\$677,164	\$691,597	\$661,444	\$634,773	\$518,341	\$529,768
Net Income (Loss) from Operations	(\$133,341)	(\$87,148)	(\$88,939)	(\$62,137)	(\$130,748)	\$0
Net Income / (Loss) by Campus						
USD Gain/(Loss) - Self Support	(\$995)	\$21,496	\$24,252	\$31,415	\$13,838	\$0
SDSU Gain/(Loss) - Self Support & Admin	(\$132,346)	(\$108,644)	(\$113,191)	(\$93,552)	(\$144,586)	\$0
Net Income (Loss) from Operations	(\$133,341)	(\$87,148)	(\$88,939)	(\$62,137)	(\$130,748)	\$0
BOR Contribution to SDSU	\$0	\$59,187	\$113,371	\$93,552	\$143,980	\$0
CUC Adjusted Net Income (Loss)	(\$133,341)	(\$27,961)	\$24,432	\$31,415	\$13,232	\$0

Note: Statement does not include the USD Nursing Program which is a state supported program.

* FY13 Activity for CUC Foundation is based on estimates

** FY14 and FY15 direct contributions from Halverson Trust for M&R work. FY18 is potential workforce development grant from Pierre and Fort Pierre.

Footnotes:

1) Basis of Accounting: Cash Basis

2) Explanation and Uses of Net Income: The main campuses at SDSU and USD provide additional support through a variety of instructional, supervisory, and accounting functions. The revenue generated above the expenditures is retained on campus to fund the additional support the center requires. A loss is absorbed by the campus self-support operation.

3) Explanation of Why No Statement of Financial Position is Provided: A statement of financial position isn't provided as the operations at CUC for SDSU and USD are not standalone operations. The revenues and losses are absorbed by the main campus self-support operation. Any funds remaining at the end of the year are used to cover the accounting, human resource, or administrative support functions at the main campus.

	<u>Actual</u> <u>FY13</u>	<u>Actual</u> <u>FY14</u>	<u>Actual</u> <u>FY15</u>	<u>Actual</u> <u>FY16</u>	<u>Actual</u> <u>FY17</u>	<u>Budget</u> <u>FY18</u>
Enrollment Data						
Student Headcount Served	286	292	276	209	176	
Full-Time Equivalent Students	48	54	44	46	31	
Credit Hours Generated	1,416	1,530	1,235	1,312	896	896

Source: Regents Information Systems (end-of-term, self-support hours).

Exhibit C

U.S. Department of Education
Federal Grant Program Overview

**South Dakota Board of Regents
U.S. Department of Education Federal Grant Program Overview**

GEAR UP

This discretionary grant program is designed to increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six-year grants to states and partnerships to provide services at high-poverty middle and high schools. Only one agency per state, as designated by the governor, is allowed to apply for a state grant, while multiple partnership grants can operate in a single state. Those agencies operating state grants may choose to serve a group of priority students or a cohort of students. (U.S. Department of Education, 2014)

The South Dakota Department of Education is the designated agency for South Dakota's state grant. South Dakota GEAR UP had an initial funding level of \$3.4 million annually to fund staffing, programming for students and families, professional development opportunities for educators in GEAR UP schools, and the summer residential program. States must provide at least a one-to-one funding match.

Programming runs year round and must include mentoring, outreach, information on postsecondary financial aid, and support services that encourage enrollment in rigorous courses and improve high school graduation and postsecondary enrollment rates. South Dakota GEAR UP also includes an academically intensive summer residential program. Students must submit an application to participate in GEAR UP's summer program.

Since the transition of GEAR UP to Black Hills State University, regional coordinators employed by the grant visit their assigned schools weekly to provide services to students and families. The high school summer program consists of two weeks on the BHSU campus and one week at Placerville Camp with an academically rigorous curriculum focused on math and science. Summer programming also includes regional, week-long day camps for middle school students located at various schools across the state. BHSU operates the program at a \$2.2 million funding level plus match. The current grant cycle is slated to end in 2018.

TRIO

The Federal TRIO Programs (TRIO) are Federal outreach and student services programs designed to identify and provide services for individuals from disadvantaged backgrounds. TRIO includes eight programs targeted to serve and assist low-income individuals, first-generation college students, and individuals with disabilities to progress through the academic pipeline from middle school to postbaccalaureate programs. TRIO also includes a training program for directors and staff of TRIO projects. (U.S. Department of Education, 2015) There are currently three TRIO programs serving South Dakota: Talent Search, Upward Bound, and Student Support Services. Federal guidelines dictate that at least two thirds of students served by any TRIO program must come from families with household incomes at 150% or less of the federal poverty rate and first generation college students. The Talent Search program serves students in grades 6-12, Upward Bound serves students in high school, and Student Support Services serving students enrolled at a

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postsecondary institution. Students must apply in order to participate in TRIO programming. TRIO programs operate on 5-year competitive grant cycles.

South Dakota's only Talent Search program is based out of the University of South Dakota campus, and a staff of seven advisors provide services to twenty one schools across the state. Talent Search funds provide staffing and programming that provides academic, career, and financial counseling to its participants and encourages them to graduate from high school and continue on to the postsecondary institution of their choice. The program provides services throughout the academic year.

There are three Upward Bound programs in South Dakota operating out of the campuses of Northern State University, South Dakota State University, and University of South Dakota. Upward Bound funds are used to cover staffing and programming that provides academic support, emotional encouragement and assistance with the college application and financial aid process as a means of overcoming social barriers to higher education. The program offers services throughout the academic year and during a 6-week residential summer program.

The Student Support Services (SSS) program serves 685 students at four Board of Regents institutions – BHSU, NSU, SDSU, and USD. Funding provides for staffing, grant aid, and services that include academic advising and tutoring.

College Access Challenge Grant

The purpose of the College Access Challenge Grant Program (CACG) was to foster partnerships among federal, state, and local governments and philanthropic organizations through matching challenge grants that were aimed at increasing the number of low-income students who are prepared to enter and succeed in postsecondary education. (U.S. Department of Education, 2014) College Access Challenge Grant was funded for five years with money carrying over into fiscal year 2015. CACG funds were used for staffing, professional development for school counselors, programming efforts that include FAFSA Nights, fee waivers for students, and South Dakota's inaugural College Application Week Campaign. CACG funds were utilized to fund transitional programs at Board of Regents institutions. CACG was awarded to the South Dakota Department of Education with Regental institutions receiving subawards to administer the summer transitional programs.

First in the World

The First in the World (FITW) Program provides grants to institutions of higher education to spur the development of innovations that improve educational outcomes and make college more affordable for students and families, and to develop an evidence base of effective practices. Institutions of higher education or consortia of such institutions are eligible applicants for FITW grants. Applicants are strongly encouraged to partner with public and private institutions and agencies that can assist the applicant to achieve the goals of the project. (U.S. Department of Education, 2014)

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First in the World funds are being used to fund the South Dakota Jump Start program at the six Board of Regents institutions as well as Oglala Lakota College. The funds provide for staffing two Access Advisors to work in high schools as well as seven Jump Start Retention Advisors who work on the campuses as student case managers. Access Advisors help high school students navigate the college application and financial aid processes. Access Advisors serve all high schools within the state of South Dakota. The Jump Start program also includes summer bridge and Earn-and-Learn opportunities in which students take courses and work part-time during the summer to provide academic momentum towards degree completion. Students who identify as American Indian or meet free and reduced lunch eligibility and graduated from a South Dakota high school are eligible to participate in the Jump Start program.

Title II, Part A – Improving Teacher Quality State Grant

As the State Agency for Higher Education (SAHE), the SD BOR administers a portion of Title II, Part A, Improving Teacher Quality State Grant funds to make competitive grants for the purpose of providing professional development opportunities for middle and high school teachers to improve and increase student knowledge and lead to high quality instruction. Proposals were solicited annually from eligible partnerships, which were required to include partners from: a College of Arts & Sciences, a College of Education, and a high need school district, with the awards made to the institution of higher education partner. The professional development activities must involve a minimum of 15 contact hours (sufficient for one semester credit hour) and include at least one follow-up session with the teachers during the school year after they have implemented the content and pedagogy learned in their classrooms. Prior to federal FY2017 this program was funded through a Title II, Part A set-aside for SAHE's, which averaged approximately \$300,000 a year. The Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act, removed the SAHE set-aside effective federal FY2017, which had the effect of ending the program, with all existing funding required to be obligated and expended by September 30, 2018.

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	GEAR UP 2011-2018	CACG 2010-2015	TRIO Talent Search 5yr competitive cycle	TRIO Upward Bound 5yr competitive cycle	TRIO Student Support Services 5yr competitive cycle	SD Jump Start 2014-2018	Title II, Part A Annual Set-aside concluded federal FY2016
Grant Recipient	SD DOE	SD DOE	USD	NSU, SDSU, USD	BHSU, NSU, SDSU, USD	SDSU	SDBOR
Subgrants	BHSU & SDBOR institutions 2015-Present at \$2.2 million + 1- to-1 match	SDBOR institutions at \$300,000 for transition activities	N/A	N/A	N/A	SDBOR institutions and OLC	Institutions of higher education
Campus Lead	BHSU: June Apaza & Urla Marcus DSU: Amy Crissinger NSU: Steve Rasmussen USD: John Howe	BHSU: Urla Marcus DSU: Kari Forbes-Boyte NSU: Peni Mounga SDSM&T: Jesse Herrera SDSU: April Eastman USD: Jesús Treviño	Marion Blue Arm	NSU: Peni Mounga SDSU: Samantha Contarino USD: Megan Taylor	BHSU: Susan Hupp NSU: Laci Hettick SDSU: Jeff Vostad USD: Carol Voss Ward	BHSU: Urla Marcus DSU: Ben Jones NSU: Checka Leinwall SDSM&T: Jesse Herrera SDSU: Keith Corbett USD: Kim Grieve	Principal investigator at the institution receiving the award
Goals & Objectives	Increase number of AI/AN, low income students that succeed in postsecondary	Increase postsecondary awareness and opportunity for underrepresented and underserved students	Early intervention program to prepare students to graduate from HS and enter postsecondary	Provide intensive academic support to participants in preparation for college entrance	Increase the college retention and graduation rates of students who are first generation, low income, or have a disability	Increase the number of AI, low income students that enroll and succeed in postsecondary	Professional development for middle and high school teachers to improve & increase student knowledge and lead to high quality instruction
Target Population	American Indian, low income students and families	Underserved (1st gen, low income, minority) students & families	2/3 students must be low income (<150% of fed poverty level) & 1st gen; grades 6- 12	2/3 students must be low income (<150% of fed poverty level) & 1st gen; grades 9- 12	2/3 students must be low income (<150% of federal poverty level) & 1st gen; undergraduate	American Indian and/or low income students	Teachers from high-need school districts

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Students Served	26 schools	37 high schools	971	NSU: 68 SDSU: 55 USD: 88	BHSU: 200 NSU: 165 SDSU: 160 USD: 160	303	N/A (approx. 100 – 120 teachers annually)
Program Activities	-Acceleration based summer programs -Financial aid awareness -Targeted tutoring and mentoring -Career exploration -College prep -Promote rigorous curriculum	-HS outreach activities -College information -ACT Prep -SDMyLife (career enrichment) -FAFSA help -Professional development for counselors -Transition programs at BOR schools	-Financial Aid and literacy -Academic guidance and preparation -Social guidance	-Academic skills -Career prep/exploration -ACT prep -College prep -FAFSA nights -6 week summer program -College visits	-Academic advising -Career development -Tutoring -Grant aid	-College prep -Intrusive advising -Success plans -Earn & Learn Summers -Textbook lending library -Living-learning community	-Professional development activities for middle and high school teachers -Minimum 15 contact hours -At least one follow-up session w/teachers during school year after having implemented the content and pedagogy in the classroom
Funding	Initially \$3.4 million annually over 7 years with 1-to-1 match requirement	\$1.4 million over 5 years with 1-to-1 match requirement	\$466,080	NSU: \$291,618 SDSU: \$257,497 USD: \$407,880	BHSU: \$296,083 NSU: \$289,942 SDSU: \$242,292 USD: \$226,600	\$900,000 per year	Approximately \$300,000 annually (concluded federal FY2016)

***LIFE CYCLE OF SPONSORED RESEARCH:
SDSU PROCEDURES AND RESPONSIBILITIES***

The life cycle provides a brief, basic overview of all aspects of sponsored project administration from identification of funding for the idea through the process of writing and submitting a proposal for external funding to administration of an award and subsequent closing of the project at the end of the funding period. The life cycle is a resource for information and tools to assist faculty and staff with administration of sponsored projects throughout the duration of the project.

Roles and Responsibilities in the Life Cycle:

The Office of Research Assurance and Sponsored Programs (ORASP) and the Office of Grants and Contracts Administration (GCA) work closely with College Grant Coordinators (CGC) to assist faculty in their efforts to obtain and administer sponsored programs in accordance with the applicable rules and regulations to ensure a steady stream of external funding for faculty (PI/PD) and the University. Responsibilities of key players in obtaining and managing sponsored program activity are as follows:

- ORASP: predominantly pre-award functions – Admin/Morrill Bldg., Room 200, 688-6696
- GCA: predominantly post-award financial functions – Admin/Morrill Bldg., Room 323, 688-5113
- CGC: assist faculty with development of proposal application
- PI/PD: lead individual on proposal application

Stages of the Life Cycle:

A. Project Development:

1. Idea Development:
 - a. PI/PD and collaborators
2. Funding Source Identification:
 - a. ORASP and CGC assist research faculty and staff in identifying funding opportunities
3. Proposal Preparation:
 - a. CGC and ORASP assist research faculty and staff with proposal application development
 - b. ORASP assists faculty and staff in improving craftsmanship

B. Project Submission:

1. Proposal Routing, Approval and Submission:
 - a. Department heads and deans of the PI/PD and other key project personnel review and approve the plan of work, budget, and resource commitments associated with the application
 - b. GCA offers budget development guidance and reviews the proposal budget and justification for compliance with governing cost principles and other applicable requirements/policies

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- c. ORASP reviews the proposal and information provided through the routing process for completeness and compliance for financial and non-financial matters
 - d. ORASP provides institutional approval to the application package and submits the application package to the sponsor
 - e. ORASP enters information regarding the application into the Banner financial information system
2. Sponsor Receipt and Review of Proposal
 3. Sponsor informs University of intent to sponsor project and provides terms and conditions for sponsorship
 4. University negotiates any matters of concern with sponsor

C. Award Receipt:

1. ORASP reviews and executes negotiated award agreement and forwards it to GCA for project/financial setup

D. Account/Fund Establishment:

1. GCA sets up fund/budget in Banner and provides PI/PD and department personnel with details of new project/fund along with a copy of the award document

E. Project Start-Up:

1. PI/PD, key project personnel, and students initiate approved plan of work

F. Subawards and Subrecipient Monitoring:

1. If subawards/subcontracts were identified at application or determined necessary in post-award phase (this action may require sponsor approval), GCA will provide risk analysis of A-133 Audits, verify registration and exclusion status in EPLS.gov., and make recommendations regarding issuance of subaward or amendment
2. GCA develops, issues, and authorizes subawards and amendments using GCA-approved forms
3. PI is responsible for programmatic compliance and for reviewing and approving all subrecipient invoices for payment
4. GCA is responsible for A-133 compliance and bottom-line financial compliance

G. Award/Project Management:

1. GCA monitors the post-award financial administration of sponsored activity for the University which includes:
 - a. Invoicing sponsor, submitting required financial reports, and managing cash
 - b. Monitoring project expenditures for financial compliance
 - c. Processing changes in PI/PD, budget, and amendments/extensions to existing awards Providing details to PI/PD and department personnel
 - d. Providing monthly payroll/non-payroll transactions and status of spending information to PI/PD and department personnel for their review
 - e. Assisting with tracking and documenting cost share/match and timely and accurate effort certification
 - f. Providing Banner and financial compliance training

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2. ORASP reviews and approves modifications in scope of work, PI/PD, key project personnel, or budget
3. PI/PD is responsible, on behalf of the University, for fiscal and technical management of the project in accordance with sponsor terms and conditions, applicable laws, and regulations

H. Award/Project Closeout:

1. GCA will work with PI/PD and department support staff to ensure project/fund is ready to close
2. GCA is responsible for closing funds/budgets, for submission of final financial status reports/invoices, and for letting PI/PD/department know that a fund has been closed
3. PI/PD, with assistance from ORASP/GCA, is responsible for ensuring submission of final technical and required invention and/or property reports

I. Record Retention and Audit:

1. For sponsored research, records will be retained according to South Dakota Board of Regents retention policy or retention policy of a specific sponsor. If there is a conflict with University retention rules, the more conservative rule takes precedence. If legal or audit issues are raised, records will be retained longer
2. GCA in conjunction with University Accounting Department, acts as liaison for audits of sponsored research