



Florida Atlantic Research and Development Authority

Title: Budget, Financial & Purchasing Policy
Date Adopted: October 14, 2015
Effective Date: October 1, 2015
Amendment Date: June 24, 2020, December 8, 2021

1. PURPOSE

The purpose of the "Budget, Financial & Purchasing Policy" is to provide guidelines for the purchases of goods and/or services made by or on behalf of the Florida Atlantic Research and Development Authority (hereinafter referred to as the "Authority"). Purchases not explicitly covered in these guidelines are to be approved in advance by the Authority.

2. SCOPE

- a. This policy applies to:
 - i. Members of the Authority and employees of the Authority, or
 - ii. Individuals or organizations contracted to do business on behalf of the Authority, all of whom are defined as "agents".
- b. Each contract or agreement for the purchase of goods or services shall include the following Equal Opportunity provision:

During the performance of this Agreement, the (vendor) (contractor) (service provider) (other) agrees not to discriminate against any employee or applicant for employment because of race, color, religion, gender, sexual orientation or national origin.

3. PURCHASING CATEGORIES

a. Purchases: \$5,000 or Less

The purchase of goods or services that cost \$2,500 or less does not require independent approval of the Authority provided that funds for such purchase have been included in the current year's approved budget. The agent making the purchase shall, in his or her reasonable discretion, obtain the goods and/or services from a responsible vendor for a fair value. In the event funds for a purchase have not been designated in the current year's budget approved by the Authority, the agent shall obtain the approval of the Authority prior to the purchase.

b. Purchases: \$5,001 to \$10,000

The purchase of goods or services that cost more than \$5,000, up to and including \$10,000, does not require independent approval of the Authority provided that funds for such purchase have been included in the current year's approved budget. In the event funds for a purchase have not been designated in the current year's budget approved by the Authority, the agent shall obtain the approval of the Authority prior to the purchase. The agent shall endeavor to obtain quotes, to the extent possible, from at least three different vendors, for the cost of providing the relevant goods and/or services. The agent making the purchase shall select the vendor with the lowest responsible quote, unless all quotes are rejected, or the agent, in his or her reasonable discretion, determines that the quality of service and/ or goods offered in a higher quote presents the best value. The agent has the right to reject all quotes submitted for a specific purchase pursuant to this paragraph. The President may sign checks and order Automatic Clearing House (ACH), online bill payments and Electronic Funds Transfer (EFT) up to and including \$10,000.

c. Informal Bids: \$10,001 to \$50,000

The purchase of goods or services that cost more than \$10,000 and up to and including \$50,000 does not require independent approval of the Authority provided that funds for such purchase have been included in the current year's approved budget. In the event funds for a purchase have not been designated in the current year's budget approved by the Authority, the agent shall obtain the approval of the Authority prior to the purchase. The agent shall obtain quotes from at least three different vendors, to the extent possible, for the cost of providing the relevant goods and services. The Authority shall ordinarily authorize the purchase from the vendor with the lowest responsible quote, unless all quotes are rejected, or the Authority determines that the quality of service and/ or goods offered in a higher quote presents the best value. The Authority has the right, in its sole discretion, to reject all informal bids submitted for a specific purchase pursuant to this paragraph.

d. Competitive Procurement: More than \$50,000

The purchase of goods or services in excess of \$50,000 shall require prior approval of the Authority. The Authority shall obtain such purchases through competitive procurement except as otherwise provided in paragraphs 3, e, f, and g.

The agent shall draft the appropriate notice of intent to procure the goods or services, which may, as appropriate, contain specifications of the specific goods and/or services to be purchased. The agent shall obtain proposals, from at least three different vendors, to the extent possible, for the cost of providing the relevant goods and/or services. The notice of intent shall be approved by the Authority, and shall then be: 1) provided to regional chambers of commerce and economic

development organizations for dissemination, 2) sent to the top 25 providers of the relevant service, as listed by the *South Florida Business Journals Book of Lists*, and 3) posted on the Authority's website at least 30 days before bids are due. The Authority shall ordinarily award the contract to the lowest responsible and compliant bidder, unless all bids are rejected, or the Authority determines that the quality of service and/ or goods offered in a higher bid presents the best value. The Authority has the right, in its sole discretion, to reject all bids submitted for a specific purchase pursuant to this paragraph.

e. Emergency Purchases

In the event of an accident or emergency that threatens the safety, financial viability or a substantial loss to the Authority, as determined to exist by the agent and the Chair of the Authority, in his or her reasonable discretion, purchases in any amount may be made by the agent without compliance with the guidelines described above. In making purchases in such an emergency situation, the agent shall, in his or her reasonable discretion obtain the services and/or goods from a responsible vendor for a fair value. Any purchase made pursuant to this paragraph shall be immediately reported to the Authority in writing.

f. Sole Sources

In the event the Authority makes a written determination that a particular good or service, or aggregate thereof, is only available from a single source, such item(s) may be purchased from such source without further compliance with these guidelines.

g. Other Exceptions

The following contracts, or acquisitions of goods or services, are exempt from compliance with these guidelines provided such contracts and acquisitions are authorized and approved by the Authority and are:

- i. goods and services acquired through participation in a cooperative purchasing agreement with one or more public entities or pursuant to Chapters 255 and 287 Florida Statutes;
- ii. Changes, amendments or change orders to existing contracts that do not exceed 25% of the contracted value;
- iii. Purchases pursuant to grant requirements;
- iv. A project where the contractor or builder has been selected by the tenant and use of such contractor or builder is a condition of the tenancy, if:
 - 1. The estimated costs of construction are reviewed by an architect selected by the tenant, or its agent (if appropriate) and such architect certifies in writing that such costs are competitive in the market place; or
 - 2. The tenant or contractor or builder is legally obligated for the complete and total repayment of any debt incurred by the Authority in connection with such a project.

h. Construction of Facilities for Lease to the State

The construction of facilities in connection with the lease of space to executive agencies, departments or other political subdivisions of the State shall be competitively bid in accordance with the requirements of state law, including Section 255.2501, Florida Statutes.

i. Procurement Review

The contracts and performance of vendors retained by the Authority shall be reviewed at least every three years.

j. Employee Reimbursement

From time to time it may be necessary for employees other than the President to use personal automobiles for Authority business. In such cases, the employee must seek the President's approval before such an event occurs and submit a mileage report within thirty (30) days of the occurrence. The Authority will reimburse employees at the prevailing standard mileage rate used by the Internal Revenue Service.

4. BUDGET

On an annual basis the President, will facilitate the preparation of a budget to be approved by the Authority. The approved budget will function as the guideline for the fiscal operations. The Authority should be presented with a proposed budget with sufficient time to allow for the approval of a final budget before the beginning of the following fiscal year. Should the Authority fail to approve a budget before a new fiscal year, the existing adopted budget shall be deemed to have been finally renewed and adopted by the Authority.

5. PAYMENTS MADE

Payments for goods and services may be made by check, ACH, or EFT. Checks over \$10,000 must be signed by 2 authorized signors, excluding monthly checks for rent. ACH and EFT may only be executed by the President. Payments must be made on timely basis to ensure good credit standing and avoid late fees.

When necessary, checks will be prepared twice a month by the staff for signature by the President.

6. PAYMENTS RECEIVED

Checks should be deposited on a timely basis to decrease the chance of loss and to maximize cash flow. Copies of checks should be made and attached to the deposit slip.

7. BANK STATEMENTS

Bank statements will be reviewed and electronically acknowledged by the President. Bank accounts will be reconciled on a monthly basis and given to the President by the 15th day of the following month. The President will submit each month's financial statements to the Authority for review and approval at the next regular meeting of the Authority.

8. ACCOUNTS RECEIVABLE

A list of accounts receivable will be given to the President by the 10th of each month for review.

9. FINANCIAL STATEMENTS

Financial statements will be prepared on a monthly basis and given to the President by the 15th day of the following month. The statements will be prepared on a full-accrual basis according to GAAP.

10. INVESTMENTS

All investments made by the Authority must be made in furtherance of its public purposes.

11. BORROWING

A majority of the Authority constitutes a quorum, which is necessary for any Authority action. Borrowing may only be done by Authority action. Any bond issuance must be done by Authority action, with the President of FAU's designee present and voting, per F.S. 159.703 (6).

12. FIXED ASSETS

Fixed assets over \$2,500 in value will be depreciated based on the following categories:

- Computers and Office Equipment - Straight line over 5 years
- Leasehold Improvements - Straight line - number of years depends on item (future improvements will follow previous schedules)
- Permanent Signs - Straight line over 30 years

13. DISPOSITION OF PROPERTY

From time to time, the Authority may have surplus property. Surplus property is defined as Authority owned property that is not needed or has no practical use. Surplus property may be sold by the President or his/her designee. For surplus property valued under \$2,500, the President or his/her designee may donate such property to local charitable organizations in need of such items.

Adopted this 14th day of October 2015
Amended this 24th day of June 2020
Amended this 8th day of December 2021



Florida Atlantic Research and Development Authority

Title: Harassment Policy
Date Adopted: October 14, 2015
Effective Date: October 1, 2015
Amended: August 26, 2020

1. **PURPOSE** – It shall be the policy of the Florida Atlantic Research and Development Authority (FARDA) that a policy, "Harassment Policy", is hereby adopted, to wit:
 - a. FARDA will provide a work environment free of harassment which encourages mutual respect, cooperation and understanding amongst members of the Florida Atlantic Research and Development Authority (hereinafter referred to as the "Authority") and employees of the Authority.
 - b. The Authority will not tolerate harassment whether it occurs in the workplace or outside the workplace.
2. **SCOPE** –
 - a. This policy applies to:
 - i. Members of the Authority and Employees of the Authority.
 - ii. Claims of conduct defined as "Harassment".
 - iii. Harassing conduct committed by vendors, clients and members of the public will not be tolerated. Harassing conduct by non-employees will be addressed through the Authority's control over any business relationship with the alleged harasser.
3. **DEFINITIONS** –
 - a. For purposes of this policy, "Workplace Harassment" consists of unsolicited, offensive or retaliatory behavior based on race, color, religion, sex, sexual orientation, national origin, age, handicap, marital status, gender identity or expression, or an employee's exercise of their constitutional or statutory rights. "Sexual Harassment" consists of unsolicited, offensive behavior involving sexual overtures or conduct, either verbal or physical. Neither Workplace Harassment nor Sexual Harassment refers to occasional comments of a socially acceptable nature to a reasonable person. The term "Harassment" is used in this policy to describe both Sexual Harassment and Workplace Harassment. Harassment

refers to behavior that is not welcome, that is personally offensive, and that lowers morale, and, interferes with the work environment.

Offensive comments about an Employee's race, color, religion, sex, sexual orientation, national origin, age, handicap, marital status, gender identity or expression, or an Employee's exercise of their constitutional or statutory rights constitutes Harassment when (1) submission to such comments or conduct is made either explicitly or implicitly a term of an individual's employment, (2) submission to or rejection of such comments or conduct by an individual is used as a basis for employment decisions affecting such individual, or (3) such comments or conduct have the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment. Harassment may also take the form of employment actions such as termination, demotion, or other adverse employment decisions which effect an Employee's working conditions, if such actions are taken on the basis of an employee's race, color, religion, sex, sexual orientation, national origin, age, handicap, marital status, gender identity or expression, or an Employee's exercise of their constitutional or statutory rights.

Employment actions that are based on an Employee's performance or other legitimate reasons are not Harassment.

4. PREVENTION –

- a. The Authority believes that the elimination of Harassment begins with its prevention. The Authority is committed to:
 - i. Publicizing this policy at least annually to all Employees and Authority members, and to providing new Employees and Authority members with a copy of this policy, to ensure their understanding of their rights and obligations under this policy, and the procedures for filing complaints under this policy;
 - ii. Developing methods to sensitize all Employees and Authority members to issues of Harassment;
 - iii. Maintaining effective procedures for the enforcement of this policy and for the filing of complaints under this policy.
- b. The Authority welcomes any comments and suggestions as to how this policy may be improved. Such comments and suggestions should be provided to the Authority in writing.

5. COMPLAINT PROCEDURE

- a. An Employee who believes he or she has been subjected to Harassment must promptly bring that problem to the attention of the Authority. Complaints should immediately be reported to the President. If the complaint involves the President, the Employee shall immediately report the complaint to the General Counsel.
- b. If a complaint involves a member of the Authority, the Employee should report the complaint to the President and the General Counsel. No later than five (5) business days after receiving the complaint, the President or General Counsel shall refer the matter to a private law firm outside the jurisdiction of Palm Beach

and Broward Counties to investigate the claim. Once the complaint has been referred to the outside law firm, the party who made the complaint shall be notified. Each complaint will be immediately and thoroughly investigated in a professional manner.

- c. Actions taken to investigate and resolve Harassment complaints shall be conducted in a confidential manner to the extent practicable, appropriate and permitted by law in order to protect the privacy of persons involved. The person who is the subject of the complaint will be notified and provided with an opportunity to respond verbally and/or in writing. The investigation may include interviews with parties involved in the incident, and if necessary, with individuals who may have observed the incident or conduct, or who have other relevant knowledge.
 - d. If deemed to be in the Authority's best interest, an Employee, whether the complainant, the respondent or both, may be placed on Administrative Leave with pay during the investigation process.
 - e. The Employee will be notified of a decision or the status of the investigation in a timely manner.
 - f. If the investigation finds there is reasonable cause to support the complaint, appropriate corrective and/or disciplinary action will be swiftly taken by the Authority.
 - g. There will be no discrimination or retaliation taken against any individual who files a complaint in good-faith, even if the investigation finds there is not sufficient evidence to support the complaint, or if the charges cannot be proven. There will be no discrimination or retaliation taken against any other individual who participates in the investigation of a complaint.
 - h. Disciplinary action, which may include discharge, will also be taken against individuals who make false or frivolous, malicious, or reckless accusations.
- 6. DISCIPLINE FOR VIOLATIONS OF THIS POLICY**
- a. In accordance with the procedures developed by the Authority, the Authority will take immediate and appropriate corrective action, against any individual who the Authority determines has violated this policy.
 - b. If, during the performance of their duties on behalf of the Authority, any Employee is subjected to Harassment or retaliation by any person(s) not associated with the Authority, the Authority will take immediate and appropriate corrective action to protect the Employee from such Harassment or retaliation.

ADOPTED THIS 14th DAY OF OCTOBER 2015

AMENDED THIS 26TH DAY OF AUGUST 2020



Florida Atlantic Research and Development Authority

Title: Non-discrimination, non-harassment, non-retaliation policy
Date Adopted: December 9, 2015
Effective Date: January 1, 2016
Amended: August 26, 2020

Purpose – To adopt a Non-Discrimination, Non-Harassment, and Non-Retaliation Policy (the “Policy”).

The Policy is hereby adopted, to wit:

Equal Employment Opportunity

It is the policy of the Authority to promote and assure equal opportunity employment for all current and prospective Employees without regard to race, color, religion, sex, age, handicap, disability, marital status, genetic information, sexual orientation, pregnancy, national origin, citizenship status, and any other legally recognized status entitled to protection under federal, state, or local anti-discrimination laws.

Employees who have any questions concerning this policy or feel that they have not been treated in accordance with this policy should contact the President of the Authority. If the President of the Authority cannot provide the necessary information, the Employee may contact the Authority Chair. The Authority prohibits retaliation against any Employee who makes a good faith complaint under this policy. Violations of this policy will result in appropriate disciplinary action up to and including termination of employment.

Americans With Disabilities Act

The Authority is committed to complying with all applicable provisions of the Americans with Disabilities Act, as amended (ADA), and applicable state and local laws. It is the Authority's policy not to discriminate against any qualified Employee or applicant with regard to any terms or

conditions of employment on the basis of such individual's disability. Consistent with this policy of non-discrimination, the Authority will provide reasonable accommodations to an individual with a disability, as defined in the ADA or applicable law, who has made the Authority aware of his or her disability, unless doing so constitutes an undue hardship to the Authority.

The Authority also wishes to participate in a timely, good faith, interactive process with a disabled applicant or Employee to determine effective reasonable accommodations, if any, which can be made in response to a request for accommodations. Requests should be made to the President of the Authority. By working together in good faith, the Authority hopes to implement any reasonable accommodations that are appropriate and consistent with legal obligations. Any Employee or job applicant who has questions regarding this policy or believes that he or she has been discriminated against based on a disability should notify President of the Authority, or, if necessary, the Authority Chair.

Anti-Harassment/Anti-Discrimination And Retaliation Policy

The Authority believes that each of us should be able to work in an environment free of discrimination and harassment. To this end, the Authority prohibits and will not tolerate discrimination or harassment based on *any* legally protected status, including but not limited to race, color, religion, sex, age, handicap, disability, marital status, genetic information, sexual orientation, pregnancy, national origin, or citizenship status. Although this policy is primarily directed to sexual harassment, it applies equally to any form of discrimination or harassment based on any legally protected status.

Procedure For Reporting Harassment: If you believe (or have direct knowledge of such incidents) that you are being harassed by a supervisor, co-worker, vendor, or patron, you should promptly report the incident or incidents to the President of the Authority. If you do not feel comfortable reporting this matter to the President, you may report the matter to the Authority Chair.

If you report the incident(s) in writing, please place the report in a sealed envelope marked "Personal and Confidential." The following information should be included in the written statement: the date(s) of the incident(s), identity of the alleged harasser, identity of any witnesses, and details about the incident(s).

The Authority Investigation: The Authority will investigate all sexual harassment claims (or other types of unlawful harassment and discrimination) irrespective of the identity of the alleged perpetrator.

Sanctions: If the investigation reveals evidence supporting the occurrence of an incident of sexual harassment (or other type of unlawful harassment or discrimination), the Authority will

take prompt remedial action. The Authority's disciplinary action will depend upon the specifics of the case and may range from a warning to termination of employment.

If the investigation fails to disclose unlawful harassment or discrimination conclusively, the Authority reserves the right to nonetheless take action. The Authority will not transfer the alleged victim unless he or she consents to the transfer.

Prohibition Against Retaliation: The Authority does not condone or permit retaliation. No one will suffer any adverse consequences as a result of bringing a complaint of perceived unlawful harassment or discrimination to the Authority's attention. There will be no retaliation for either reporting the harassment/discrimination or for cooperating in the investigation of the report. Any Employee responsible for retaliatory conduct will be subject to discipline, up to and including discharge. If an Employee believes that he or she is being retaliated against, the Employee is encouraged to report the retaliation by using the same procedures discussed above for reporting harassment and discrimination.

Follow-up: Once the matter has been resolved, the Authority will continue to monitor the Employees involved to ensure that no future incidents of harassment or discrimination occur. The Authority is dedicated to maintaining a working environment free of discrimination and based on professionalism. We expect that all Employees will continue to act responsibly to fulfill the Authority's commitment to working in an environment totally free of discrimination. Employees should not hesitate to ask questions regarding harassment or discrimination.

Open Door Policy

It is the Authority's policy to welcome and encourage Employee ideas and suggestions. We know from our experience that our success greatly depends upon the helpful thoughts and suggestions of our Employees. We want our Employees to feel free to express themselves about anything which concerns them. The Authority requires that Employee concerns be given consideration without discrimination or recrimination

Employees are encouraged to openly discuss problems with their direct supervisors or President of the Authority so that appropriate action can be taken to address such problems. If the direct supervisor or President of the Authority cannot be of assistance, the Employee is free to discuss the issue with the Authority Chair.

**ADOPTED THIS 9th DAY OF DECEMBER 2015
AMENDED THIS 26TH DAY OF AUGUST 2020**



Florida Atlantic Research and Development Authority

Title: Sign and Exterior Aesthetic Specifications Policy
Date Adopted: October 14, 2015
Effective Date: October 1, 2015
Amended: August 26, 2020

Purpose – To adopt a Sign and Exterior Aesthetic Specifications Policy (“Sign Policy”) This document serves as an outline of the acceptable design standards and the review and approval process.

Applicants with proposed changes to property within the boundaries of Research Park are required to schedule a meeting with the President to discuss the proposed plans.

The Authority oversees all signage associated with the Research Park and either approves or denies each proposal following the President’s recommendation(s). All new signage must be consistent with the sign specifications outlined in this document. These design specifications do not affect prior offenses, rights, or acts committed or established before the creation of this document. This policy accounts for administrative, legal and accounting costs associated with the Authority’s obligation to review and process signage requests forwarded to it by the President

The Approval Policy is hereby adopted, to wit:

- A. Scope** – The Sign Policy shall apply to all tenants of any current or future campuses of the Research Park, on or after the Effective Date, but shall not have any retroactive effect.

B. Definitions -

Billboard

A sign which directs attention to a business, profession, commodity, service or entertainment conducted, sold or offered outside the boundaries of Research Park. Signs larger than 50 square feet in overall area are considered to be billboards with the exception of temporary construction signs and building façade signs.

Exterior Directory sign

An exterior sign which lists all tenants within a multiple tenant structure or structures available at a single site or location.

Directional sign

Any sign which provides information relative to safely identifying vehicular entrances and exits to parking lots or traffic circulation areas for activities. Directional signs may include logo, symbols or a business name.

Façade sign

A sign that is attached to the exterior wall of a structure with the display surface of the sign approximately parallel to the building wall.

Monument sign

A permanent sign where the entire bottom of the sign is affixed to the ground, not to a building. A sign that serves to identify the name of the building, address, and logo is approved.

Right-of-Way (ROW)

The strip of land between the site and the paved road that has been dedicated for the purpose of maintaining the road and the installation and maintenance of utilities, drainage, sidewalks and other facilities. No permanent signs are permitted in the ROW.

Sign area

The area defined on the sign depicting the extreme limits of the lettering, logo, trademark, or other graphic representation used to differentiate the sign from the background against which it is placed.

Temporary sign

A sign that temporarily provides information regarding an event on the premises displayed no longer than 1 day.

Tenant

A party to whom one or more Sites has been leased or to whom space within Research Park has been leased.

C. Purpose and Application

Review and Approval Process

All requests to remodel or alter the property or the exterior of the building must be discussed with the President before any further actions are made. All signage plans are required to be submitted to the President upon the submittal of associated building plans, or in the event of new or improved signage requests, at the time of initial design. The President will make an initial determination within ten (10) business days.

Approval will be based upon conformity and harmony of external design with the design standard specifications outlined in this document. Improvements or alterations of any site will not commence prior to compliance with the review process and submittal requirements outlined herein.

Once all required documentation has been collected and the President has reviewed each proposal, the tenant shall submit nine (9) copies of all material to the President for the Authority to review. The applicant is responsible for the safety, structural and electrical (if applicable) quality of the proposal and must show verification by a licensed professional that the final design meets all design requirements, including wind load requirements set forth in the City's Code as well as in the Florida Building Code. It is also the responsibility of the applicant to obtain all necessary permits needed before construction can be initiated.

Design Specifications and Requirements

The objective of this section is to ensure conformity with design, construction and placement of all future building related signage within Research Park to create and maintain a uniformed appearance. This document provides guidance of standards for the fabrication, erection, and use of signs, symbols, and marking devices within Research Park. The design specifications apply to all building sign proposals.

General On-Site Sign Guidelines

- 1) The full logo of the Research Park at Florida Atlantic University centered at the top of the sign to ensure uniformity and place identity and be of a size appropriate to the rest of the sign, to be approved by the President.
- 2) Only signs indicating the name of the building or tenant and the persons or entities occupying the building shall be permitted.
- 3) Building façade signs shall generally be placed on the outside wall or walls of the building but shall not extend above the line of the roof line or extend beyond the sides of the building.
- 4) No sign shall be placed or externally illuminated in such a manner as to cast a glare on neighboring sites or in such a manner as to impede the safe movement of traffic.
- 5) All signs shall be designed, erected, altered, moved and maintained in accordance with plans and specifications submitted to and approved by the Authority.

- 6) Exterior colors and materials used for the design and construction of the monument signs should be stucco like or consistent with the building materials used on the associated building.
- 7) Billboards or other advertising signs are prohibited. Signs larger than 50 square feet in overall area are considered to be billboards with the exception of temporary construction signs and building façade signs.

Additional recommendations:

- 1) Landscaping around monument signage is permitted as long as the landscaping is sensitive to the context and ties into the surrounding scheme or design. No landscaping surrounding the perimeter of the monument sign shall extend more than 18 inches above the footer/base of the sign.

Priority of Signs

Where the location of two or more signs conflicts under the requirements of this article, the sign meeting the requirements of this article and having the earliest dated permit for its erection shall have priority over other signs in conflict. If multiple types of signs are to be located in close proximity of one another the monument sign's location will take priority over the other types of signs proposed for that particular site. President shall render a decision to tenant on signage approval within ten (10) business days.

Standards and Specifications for On-Site Monument and Building Façade Signs

Monument signs and building façade signs shall be allowed subject to the limitations in this document. Detailed drawings of these specifications are illustrated in below. The drawings in this document are not to be used for construction and shall only be used for illustrative purposes.

Monument Sign Height

The maximum height of all monument signs should not exceed 6'2", measuring from the top of the signs crown to the bottom of the base where it meets the ground plane. Refer to Illustrations below. The alteration of the existing grade in an effort to increase the overall monument height is prohibited.

Monument Sign Size

Monument signs should not exceed the dimensions illustrated on the sign standard diagrams provided in this document. Sign sizes and dimensions can be seen in the illustrations below.

Monument Sign Illumination

Monument signs may be externally illuminated after proper approval by the Authority. No sign shall be illuminated in such a manner as to cast a glare on neighboring sites or in such a manner as to impede the safe movement of traffic. The following lighting is not permitted for use within Research Park:

1. Flash or strobe lighting
2. Neon lighting

Sign Placement

Only one monument sign and one building façade sign shall be allowed for each premise. Lots that have frontage on more than one street, under the discretion of the Authority may install additional signage after approval has been made by the Authority.

- 1) Setback
 - a. Monument signs shall not be placed within any right-of-way or easement requirements on any site. Signs shall be visible to traffic but must not interrupt the safe movement of traffic by obstructing sightline views.
- 2) Building Façade signs
 - a. May not project more than 12 inches from the building wall to which they are attached.
 - b. May not exceed past the top of the roof or be mounted on the roof in any way or extend beyond the sides of the wall.

Signs for Multiple Tenants within a Building

Where a single building or a complex of buildings on a site contains two or more separate tenants, such buildings shall be permitted one monument sign to display the building name(s). Directory signs shall be used to display the name and location of all tenants located within the appropriate buildings.

Options for Displaying Company/Building Name or Logo

There are three (3) options for displaying the company/building name or logo within the designated sign area on a monument sign. All options must be displayed within the designated sign display area. This area depicts the extreme limits of the lettering, logo, trademark, or other graphic representation used to differentiate the sign from the background against which it is placed.

1) Block Text Lettering

Companies choosing to use standard block text lettering for their monument sign to display their company name shall follow the font style detailed below and shall be mounted no more than 3/16" off the face of the sign. Material used to attach the lettering as well as the type of material used for the lettering must also be detailed.

- a. Company name lettering shall be at minimum 2" high but shall not exceed a maximum of 6" high. All signage text shall be located within its designated display area. See below for appropriate positioning requirements for lettering.

2) Company name and/or logo

Companies choosing to use their logo in conjunction with or in place of the solid

block text lettering must provide design drawings to scale illustrating the logo placement and size on the sign. Material used to attach the logo as well as the type of material used for the logo must also be detailed. Refer to Figure 1B for appropriate positioning requirements for lettering. The placement of the logo is not limited to the placement illustrated in Figure 1B but it must fit within the designated sign display area as described above.

- a. A single plaque, 6'4"x 1'8" may be used to display company information and logo. The plaque is to be centered vertically and horizontally with a 2" space around the perimeter of the plaque and placed within the designated area illustrated in Figure 1C. Plaques must be constructed using a durable material suitable for outdoor use. Wood plaques or other non-durable materials that require continual upkeep maintenance are not allowed.
- 3) Building Name

This option may be used for buildings with multiple tenants. The monument sign display area will display the building name and directory signs will be used to display the building's tenant company names. Refer to Directory Signs for further details.

Address Font Size and Mounting Standards

- 1) The standard address text font style shall be Optima, black.
- 2) The address can be displayed as either a full address, which includes the building number and street name or a partial address which consist of only the building number.
- 3) A standard font size for the full or partial address shall be 4" high. See below for placement of address on the monument.
- 4) Material used for the block lettering must be approved prior to its installation and shall be mounted no more than 3/16" off the face of the sign.

Exterior directory signs are suggested, but not required for sites with multiple buildings or tenants that are located in close proximity to each other, sharing either the same parking facilities or main entrance. These signs shall be made visible to visitors walking from the surrounding parking facilities, directing them to the desired company or building's main entrance. The following are the standards required for approval of directory signs.

- 1) Overall size of the directional sign shall not exceed 5' in height or 4'6" wide (width includes both side poles measuring 3" in diameter)
- 2) Information shall be displayed within the designated 4'x 3'10" area of the sign.
- 3) It is the responsibility of the tenant to whom the Site has been leased to keep all tenant information up to date and maintained on the directory sign(s).
- 4) No information shall be placed outside of the designated area (illustrated in Figure 4).
- 5) These exterior signs shall be located close to the main entrance of the corresponding buildings, visible to the surrounding parking facilities from approaching automobile

and pedestrian traffic.

Standards for Temporary Signs

Temporary Signs for Public and Semipublic Events or Functions

A non-illuminated temporary sign announcing an event to be held at a location in the Research Park may be allowed on the site of the sponsoring institution and on the site of the event. Temporary directional signs may be placed near the right-of-way, upon approval by the President.

- 1) Standard size for temporary signs shall be 18"x 24" in size and shall not exceed three (3) feet in height. Signs needing to be larger than the standard size must get approval from President before posting.
- 2) Temporary signs can be displayed on the day of the event (one day) without formal approval from the President. Signs needing to be displayed longer than one day must be approved by the President.
- 3) Political and campaign signs are not permitted within Research Park.

Temporary For Sale or Lease Signs

Signs designed and intended to advertise and promote the sale, rental or lease of lots and/or structures within Research Park shall be permitted as follows:

- A. Signs shall not exceed 32 square feet in area and shall not exceed six (6) feet in height.
- B. Signs shall not be placed within the right-of-way of any site and shall not obstruct the visibility of permanent signs (i.e. monument, auxiliary, directory).
- C. Such signs shall be permitted only within the confines of the site being advertised, unless permission to install additional signs has been approved by the President.

Temporary Signs for Construction

One temporary construction sign shall be allowed per site where construction is taking place. The sign may include the identification of the new building and the names of persons and firms performing services or labor or supplying materials to the premises. Such signs must be removed within 30 days of the issuance of a certificate of occupancy or certificate of completion.

Temporary Signs for New Tenant or Name Change

A new business or a business relocating to a new location with no permanent signs may obtain approval through the President to erect a temporary sign to display tenant information for a period of not more than 60 days or until installation of permanent sign, whichever shall occur first. A temporary ground sign shall not exceed four (4) feet in height and have a display area no larger than 6 ½' x 2' in area.

- D. If the President determines that a signage proposal requires Authority approval, the applicant will be required to pay a \$500 fee to account for administrative, legal and accounting costs associated with the Authority's obligation to review and process the

signage request.

Nonconforming

- 1) All nonconforming permanent on-site signage permitted before the effective date of this article are exempt from the regulations with the following exception:
 - a. Nonconforming permanent on-site signs may be maintained and repaired but shall not be structurally or mechanically extended or altered to further the nonconformance except as required by the building official in cases where it has been determined that there exists imminent danger to the public safety.
- 2) The following signs shall be removed or made to conform to this document:
 - a. Any nonconforming permanent on-site sign which is destroyed or damaged to the extent of 50 percent or more of its replacement value shall not be repaired or rebuilt except in conformity with this article, unless a variance is granted by the Authority.

Upon failure to comply within the time specified, the Authority is hereby authorized to cause removal of such sign and any expense shall be paid by the lessee of said sign or of the property upon which the sign is located.

Standards for flag poles

Any single tenant building within the Research Park may erect and maintain up to three (3) flag poles within a thirty (30') feet span. Any multi-tenant building may erect and maintain one (1) flagpole.

- 1) No flagpole shall be taller than thirty-five feet (35');
- 2) If flags are to be flown during hours of dark, each pole must be illuminated, with permitted electrical installations;
- 3) If a flagpole is to fly the U.S. flag it must be at least one foot (1') taller than any other flagpole associated with the building in question.
- 4) Flag poles erected prior to the enactment of this policy are grandfathered in.

C. Variances

Any tenant desiring to make use of their site, or any portion thereof, other than in strict accordance with the restrictions and specifications set forth in this Building Sign Specifications document may apply to the Authority for a variance.

The Authority shall not approve any application for a variance unless it finds that denial of the application would result in an undue hardship upon the applicant and that the grant of variance will be in harmony with the general intent of the Building Sign Specifications document.

D. Maintenance

It shall be the responsibility of the tenants within Research Park to keep their respective Building Signs, in a safe, clear, orderly and aesthetically pleasing condition. In the event of tenant's failure to properly discharge its responsibilities for maintenance, the Authority shall send Property Owner written notice giving thirty (30) business days to perform said maintenance otherwise the Authority reserves the right to perform any necessary repairs and maintenance at the expense of the tenant and the Authority shall have the right of access to the Sites for such purpose.

ADOPTED THIS 14th DAY OF OCTOBER 2015
AMENDED THIS 26TH DAY OF AUGUST 2020



Florida Atlantic Research and Development Authority

Title: Whistleblower Policy
Date Adopted: October 14, 2015
Effective Date: October 1, 2015
Amended: August 26, 2020

1. **PURPOSE** – It shall be the policy of the Florida Atlantic Research and Development Authority (FARDA) that a policy, "Whistleblower Policy", is hereby adopted, to wit:

The purpose of "Whistleblower Policy," is to provide employees of the Florida Atlantic Research and Development Authority (hereinafter referred to as the "Authority") an opportunity to voice their concerns related to impropriety experienced or observed in the work place in an open and transparent manner without cause for retribution.

The Authority has endorsed the provisions set out below to ensure that no employee should feel at a disadvantage in raising legitimate concerns.

No employee who in good faith reports a matter pursuant to this policy shall suffer harassment, retaliation, or adverse employment consequence. An employee, officer or Authority member who retaliates against someone who has reported a matter in good faith is subject to discipline up to and including termination of employment. This policy is intended to encourage and enable employees and others to raise serious concerns within the Authority prior to seeking resolution outside the Authority. When an individual discovers information, which they believe shows wrongdoing within the organization, then this information should be disclosed internally without fear of reprisal, and there should be arrangements to enable this to be done independently of line management.

This policy is intended to assist individuals who believe they have discovered wrongdoing. It is not designed to question financial or business decisions taken by the Authority nor should it be used to reconsider any matters, which have already been addressed under harassment, complaint, disciplinary or other procedures. Once the

"whistleblowing" procedures are in place, it is reasonable to expect employees to use them rather than air their complaints outside the Authority.

2. **SCOPE OF POLICY** - This policy is designed to enable employees of the Authority to raise concerns internally and at a high level and to disclose information, which the individual believes, shows wrongdoing or impropriety. This policy is intended to cover concerns, which are in the public interest and may at least initially be investigated separately but might then lead to the invocation of other procedures e.g. disciplinary.
 - a. These concerns could include:
 - i. Financial malpractice, impropriety, or fraud:
 - ii. Failure to comply with a legal obligation or Florida Statutes
 - iii. Dangers to health and safety or the environment
 - iv. Criminal activity
 - v. Improper conduct or unethical behavior
 - vi. Attempts to conceal any of these
 - b. Safeguards - This policy is designed to offer protection to those employees of the Authority who disclose such concerns provided the disclosure be made:
 - i. In good faith
 - ii. In the reasonable belief of the individual making the disclosure that it tends to show wrongdoing or impropriety, and if they make the disclosure to an appropriate person (see below). It is important to note that no protection from internal disciplinary procedures is offered to those who choose not to use the procedure. In an extreme case, malicious or false allegations could give rise to legal action on the part of the persons complained about.
 - c. Confidentiality - The Authority will treat all such disclosures in a confidential and sensitive manner. The identity of the individual making the allegation may be kept confidential so long as it does not hinder or frustrate any investigation. However, the investigation process may reveal the source of the information and the individual making the disclosure may need to provide a statement as part of the evidence required.
 - d. Anonymous Allegations - This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously are much less credible, but they may be considered at the discretion of the Authority. In exercising this discretion, the factors to be taken into account will include:
 - i. The seriousness of the issues raised
 - ii. The credibility of the concern
 - iii. The likelihood of confirming the allegation from attributable sources
 - e. Untrue Allegations - If an individual makes an allegation in good faith that is not confirmed by subsequent investigation, no action will be taken against that individual. In making a disclosure the individual should exercise due care to ensure the accuracy of the information. If, however, an individual makes malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against that individual

3. PROCEDURES FOR MAKING A DISCLOSURE

- a. On receipt of a complaint of wrongdoing or impropriety, the member of staff who receives and takes note of the complaint, must pass this information as soon as is reasonably possible, to the appropriate designated investigating officer as follows:
 - i. Complaints of wrongdoing or impropriety will be investigated by the President, unless the complaint is against the President or is in any way related to the actions of the President. In such cases, the complaint should be passed to the Chair of the Authority for referral.
 - ii. Complaints against the Chair shall be passed to the Authority's General Counsel who will nominate an appropriate investigating officer.
 - iii. The complainant has the right to bypass the line management structure and take their complaint directly to the Chair. The Chair has the right to refer the complaint back to management if he/she feels that the management without any conflict of interest can more appropriately investigate the complaint.
 - b. Should none of the above routes be suitable or acceptable to the complainant, then the complainant may approach the Authority's General Counsel who has been designated and trained as an independent point of contact under this procedure. He can advise the complainant of the possible internal and external avenues of complaint open to them:
 - i. General Counsel
 - c. If there is evidence of criminal activity, then the investigating officer should inform the police immediately. The Authority will ensure that any internal investigation does not hinder a formal police investigation.
4. **TIMELINE** - Due to the varied nature of these sorts of complaints, which may involve internal investigators and/or the police, it is not possible to lay down precise timelines for such investigations. The investigating officer should ensure that the investigations are undertaken as quickly as possible without affecting the quality and depth of the investigations.

The investigating officer, should as soon as practically possible, send a written acknowledgement of the concern to the complainant and thereafter report back to them in writing the outcome of the investigation and on the action that is proposed. If the investigation is a prolonged one, the investigating officer should keep the complainant informed, in writing, as to the progress of the investigation on at least a monthly basis and as to when it is likely to be concluded. All responses to the complainant should be in writing and sent to their home address.

5. INVESTIGATING PROCEDURE

- a. The investigating officer should follow these steps:
 - i. Full details and clarifications of the complaint should be obtained.
 - ii. The investigating officer should inform the person against whom the complaint is made as soon as is practicable. The person will be informed of their right to be accompanied by representative at any future interview or hearing held under the provision of these procedures.

- iii. The investigating officer should consult with the Authority's General Counsel and consider the involvement of the Authority's auditors and/or the police if appropriate.
 - iv. The allegations should be fully investigated by the investigating officer with the assistance where appropriate, of other individuals.
 - v. A decision concerning the complaint and validity of the complaint will be made by the investigating officer. This decision will be detailed in a written report, provided to the Chair and General Counsel as appropriate, containing the findings of the investigations and reasons for the judgement.
 - vi. If the complaint is shown to be justified, then the Authority will invoke disciplinary or other appropriate procedures.
 - vii. If appropriate, a copy of the outcomes will be passed to the Authority's auditor to enable a review of the procedures.
- b. If the complainant is not satisfied that their concern is being properly handled by the investigating officer, they have the right to raise it in confidence with the Chair or General Counsel.
 - c. If the investigation finds the allegations unsubstantiated and all internal procedures have been exhausted, but the complainant is not satisfied with the outcome of the investigation, the Authority recognizes the lawful rights of employees and ex-employees to make disclosures to prescribed persons or, where justified, elsewhere.

ADOPTED THIS 14th DAY OF OCTOBER 2015

AMENDED THIS 26TH DAY OF AUGUST 2020



Florida Atlantic Research and Development Authority

Title: Personnel Policy
Date Adopted: December 16, 2020
Effective Date: January 1, 2021

PURPOSE – This Personnel Policy of the Florida Atlantic Research and Development Authority (the “Authority”) is hereby adopted, to wit:

SCOPE - In the absence of a written employment agreement signed by an authorized representative of the Authority, all employees of the Authority are employed on an at-will basis and such employment may be terminated by the Authority or the employee for any reason and with or without notice. No employee of the authority, other than those subject to a specific written employment agreement, has any expectation of continuing employment with the Authority. Neither these policies nor any other written document – other than such a signed written employment agreement – in any way alter this status.

DEFINITIONS

1. The "Authority" shall mean the Florida Atlantic Research and Development Authority. Except as lawfully and properly delegated to its officers, the powers of the Authority are exercised through, and the business affairs of the Authority are managed under the direction of the members.
2. "Employee" shall mean an employee of the Authority.
3. "President" shall mean the Authority Employee whose job title is President. If such position is vacant, "President" shall mean the person designated by the Authority as the acting President.

EMPLOYEE CONDUCT AND RELATED MATTERS

1. **ARREST OR CRIMINAL CHARGE AGAINST EMPLOYEE** If an Employee is arrested or any criminal charge is brought against an Employee, the Employee shall notify the Authority (by written notice to the President) within one (1) business day. Minor traffic infractions not constituting a felony or misdemeanor do not require notice.
2. **COMPUTER, INTERNET AND EMAIL SYSTEM.** The Authority’s computer, internet and email systems should be used solely for the operations of the Authority, and

Employees have no expectation of privacy or right to personal use of these systems. These systems may never be used to: harass, intimidate, or threaten another person; access or distribute obscene, abusive or defamatory material; impersonate or mislead any other person; access the email, computer or other computer-based account of another person without express authorization of the Authority; bypass any security mechanisms; distribute information unrelated to the operations of the Authority; conduct business on behalf of any person or entity other than the Authority (including the Employee); or accomplish or attempt to accomplish any conduct which is unlawful or otherwise inconsistent with the interests of the Authority.

3. CONFLICTS OF INTEREST AND RELATED MATTERS.

A. All employees are subject to the provision of Florida Statutes §§ 112.311 and 112.313 and other regulations or standards governing the conduct of employees of agencies, including those set forth by the Florida Commission on Ethics.

B. No Employee or other individual is eligible to hold a position of employment which reports directly to a Relative of the Employee or individual and no Employee may directly supervise a position in which a Relative of the Employee is employed. As used herein, "Relative" means individual who is related to the Employee as father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother, or half-sister.

C. No Employee may use the Employee's status with the Authority to interfere with the result of an election or nomination process, nor to directly or indirectly cause another Employee to contribute anything of value to any party, committee, organization, agency or person for political purposes.

D. Employees may not engage in or accept any conflicting employment or enterprise inconsistent with or incompatible with the Employee's job duties with the Authority. Prior to accepting any potentially conflicting employment, Employees should disclose to the Authority (via written notice to the President), including the identity of the employer and anticipated job duties.

4. EMPLOYEE DRESS CODE – Casual business wear will generally be acceptable in the office environment during regular business hours. Casual business wear means comfortably fitting, clean, neat clothing, in good condition, that communicates a professional attitude. The following items are inappropriate for office wear: apparel typically worn to the beach or for work in the yard or gym; clothing that is excessively revealing (transparent, or that overly exposes areas of the body such as the midriff or chest); bedroom slippers or flip flops; garments meant to be worn as underwear; T-shirts; or, attire with graphics or text endorsing gang membership, obscenity, illegal activities, violence, drugs, alcohol or tobacco.

5. TOBACCO USE PROHIBITED ON AUTHORITY PREMISES. All use of smoking or tobacco products (including electronic smoking devices) is prohibited on Authority premises.

6 UNLAWFUL AND/OR PROHIBITED SUBSTANCES. Use, sale, dispensing or possession of illegal drugs or narcotics is prohibited on Authority premises. Unless approved in advance by the Authority as part of an Authority-sanctioned event, the use, sale, dispensing or possession of alcoholic beverages is prohibited on Authority premises. Appropriate disciplinary action will be taken against Employees who are in possession of or under the influence of alcohol or illegal drugs while on Authority premises.

7. TERMINATION. Employment with the authority is “at will” and may be terminated by the Authority or the Employee for any reason, with or without cause. Terminated employees shall be paid any owed compensation and benefits payable through the effective date of termination. The Authority shall be entitled to deduct from any payments amounts owed by the Employee to the Authority.

ADOPTED THIS 16th DAY OF DECEMBER 2020

FLORIDA ATLANTIC RESEARCH AND DEVELOPMENT AUTHORITY (THE “AUTHORITY”)

INTERNET USE POLICY

EFFECTIVE AUGUST 14, 2024

This Policy governs all employees’ use of the Authority’s Internet system. The Internet is to be used to further the Authority’s mission, to provide effective service of the highest quality to the Authority’s clients and staff, and to support other direct job-related purposes. The various modes of Internet access are Authority resources and are provided as business tools to employees who may use them for research, professional development, and work-related communications. Limited personal use of Internet resources is a special exception to the general prohibition against the personal use of computer equipment and software.

Other Authority Policies Incorporated

Internet usage is strictly governed by all Authority policies and practices, including but not limited to all employment policies and standards of conduct of the Authority. Under no circumstances are pornographic or harassing materials to be sent, viewed, or received using Authority equipment or facilities at **any** time. Please see the President if you have questions regarding any policies or practices.

Security and Confidentiality

Internet users are prohibited from intentionally seeking information on, obtaining copies of, or modifying files, other data, or passwords belonging to other users, or misrepresenting other users on the network. Unauthorized downloading of software over the network is prohibited. The President will provide a safe method for downloading software that will also honor licensing agreements and fees.

Internet users must maintain the security and confidentiality of Authority information and personal addresses or phone numbers of Authority employees. Unauthorized access to the Authority’s confidential, financial and strategic information is prohibited.

Limitations on Personal Use

Employees are not permitted to use the Internet for personal reasons during regular business hours, but only during breaks, provided that they adhere to all Authority policies. Any abuse of this privilege will result in revocation of the employee’s personal use privileges.

Legal Issues

Internet users are prohibited from transmitting any material or using the Internet in violation of any federal or state law. This includes but is not limited to copyright infringement, discrimination, negative statements regarding other companies or clients, or the communication of unlawful materials. Employees should assume that all communications and information accessible via the network are copyrighted. Plagiarism is prohibited.

The Authority's Internet facilities and computing resources must not be used knowingly to violate the laws and regulations of the United States or any other nation, or the laws and regulations of any state, city, province or other local jurisdiction in any material way. Use of any Authority resources for illegal activity is grounds for immediate dismissal, and the Authority will cooperate with any legitimate law enforcement activity.

Privacy

The Authority has software and systems in place that can monitor and record all Internet usage. Employees should be aware that our security systems are capable of recording (for each and every user) each World Wide Web site, each chat, newsgroup or e-mail message, and each file transfer into and out of our Internal networks, and the Authority reserves the right to do so at any time. **No employee has a reasonable expectation of privacy in his or her Internet usage.**

The Authority will periodically access, screen, and disclose use of the Internet system in order to determine whether employees are violating any applicable policies. The Authority will review Internet activity and analyze usage patterns and may choose to publicize this data to assure that Authority Internet resources are devoted to maintaining the highest levels of productivity. In addition, the Authority reserves the right to inspect any and all files stored in private areas of our network in order to ensure compliance with this policy. Such inspection includes material sent over and received from the Internet. Employees have no ownership or privacy expectations regarding such data.

Appropriate Communication

Only those employees who are duly authorized to speak to the media, analysts or in public gatherings on behalf of the Authority may speak/write in the name of the Authority to any newsgroup or chat room.

Employees are prohibited from sending anonymous messages or using aliases on the Internet. All messages sent from an Authority address must comply with all Authority policies.

Violations

Data that is composed, transmitted, accessed, or received via the Internet must not contain content that could be considered discriminatory, offensive, obscene, threatening, harassing, intimidating, or disruptive to any employee or other person. Examples of unacceptable content may include, but are not limited to, sexual comments or images, racial slurs, gender-specific comments, or any other comments or images that could reasonably offend someone on the basis of race, age, sex, religious or political beliefs, national origin, disability, sexual orientation, or any other characteristic protected by law.

The unauthorized use, installation, copying, or distribution of copyrighted, trademarked, or patented material on the Internet is expressly prohibited. As a general rule, if an employee did not create material, does not own the rights to it, or has not gotten authorization for its use, it should

not be put on the Internet.

Abuse of the Internet access provided by the Authority in violation of law or the Authority's policies will result in disciplinary action, up to and including termination of employment. Employees may also be held personally liable for any violations of this policy.

Any violation of this policy may be grounds for discipline, up to and including termination. Employees are expected to report any misuse of the Internet, or attempted infiltration by outsiders into the system, to their supervisor.

ADOPTED THIS 14th DAY OF AUGUST 2024



Florida Atlantic Research and Development Authority

Policy No. 14-2

Title: Administrative Requests Policy

Date Adopted: December 10, 2014

Effective Date: January 1, 2015

Amended: July 26, 2017, June 26, 2019

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1. **Purpose** – To adopt an administrative requests policy (“Administrative Requests Policy”) designated as Policy No. 14-2.

The Approval Policy is intended to:

- (a) Delineate how tenants can apply for administrative assistance of the Authority; and
- (b) Account for administrative, legal and accounting costs associated with the Authority’s obligation to review and process administrative requests submitted by its tenants in the Research Park.

The Approval Policy is hereby adopted, to wit:

2. **Scope** – The Approval Policy shall apply to all Authority tenants of any current or future campuses, on or after the Effective Date. The Approval Policy shall apply to existing tenants to the extent set forth herein but shall not have any retroactive effect.
3. **Definitions**
 - a. “President” shall mean the Authority employee whose job title is President. If the President role is vacant, “President” shall mean the person designated by the Authority as the acting President.
 - b. “Broker” shall mean the commercial real estate broker designated by the owner of any of the buildings or by the holder of any leasehold interest in the Research Park to represent that building or leasehold interest for the purposes of selling or leasing it to end user tenants or other entities.

- c. “Owner” shall mean the person or entity that owns any of the buildings in the Research Park, or that owns any leasehold interest in any of the leases, subleases or sub-subleases in the Research Park.
- d. “Applicant” shall mean the tenant which makes application to the Authority for assistance.
- e. “Application” shall mean any request from a tenant or sub-tenant to provide:
 - i. An estoppel certificate;
 - ii. A Non-Disturbance, Recognition and Direct Leasing Agreement;
 - iii. An amendment to a lease, sub-lease or sub-sublease;
 - iv. Consider a consent to a transaction which requires FARDA’s review; and
 - v. Any other request for administrative review and/or action by FARDA that is for the sole or primary benefit of the tenant, sub-tenant, or leaseholder.
- f. “Research Park” shall mean real property and/or buildings owned, leased or controlled by the Authority, which are intended to house companies and organizations involved in research and development of new products and services for the economic development of Palm Beach and Broward counties, and in promoting scientific research and development in collaboration with FAU..
- g. “Tenant” shall mean any entity which leases real property and/or buildings owned, leased or controlled by the Authority, and any entity which sub-leases real property from such an entity. The meaning shall also include entities which lease space within a building owned, leased or controlled by the Authority or any of its sublessees.

4. Initial Procedure –

- a. All Applicants must be identified and presented to the President. President shall make him/herself available to meet with the Applicant within five business days of a request to meet, unless such obligation is impracticable under the circumstances. If the five-business day deadline may not be met, the President shall meet with the Applicant as soon as practicable.
 - b. The President will review the materials the Applicant is requesting be reviewed and determine, in consultation with General Counsel, whether or not Authority action is required.
 - c. If no Authority action is required the President shall inform the Chair of the Authority of the request that has been received and express his/her intention to execute the relevant documents or take the relevant action within thirty (30) days of such notice to the Chair.
 - d. The President will consult with General Counsel to review any relevant documents to ensure legal sufficiency and, if applicable, any necessary protections for FARDA’s interests.
- 5. Review –** If the President, in consultation with General Counsel, deems that the application requires Authority action, he/she shall inform the Chair of the application within five (5) days of receiving the application and, with the Chair’s consent, place the item on the next regularly scheduled meeting of the Authority for review. At such meeting the President and General

Counsel will describe the application and the action the Authority is being asked to take. The Applicant will have the opportunity to address the Authority at such meeting. The President will present his/her recommendation to the Authority. If the Authority approves the application, it shall specify in its resolution whether the Chair or the President is authorized to execute the necessary actions and documents. The authorized party shall execute the actions approved by the Authority within thirty (30) days of the Authority's approval, or at such time as the Authority prescribes (such as a transaction closing date).

6. **Administrative Accounting** – In order to account for administrative, legal and accounting costs associated with the Authority's obligation to review and process administrative requests submitted by its land tenants and sub-tenants in the Research Park, the Authority requires that the applicant shall pay a review and processing fee of one thousand dollars (\$1,000) per application or entity that is making application. Such fee shall be satisfied and paid before the date of the Authority meeting, if one is required. In the case that the President determines that no Authority action is required, the fee shall be due and payable within thirty days (30) of his/her action or approval. Failure to satisfy the fee before the Authority meeting will result in the President recommending that the Authority delete the item from its agenda until such time as the fee is paid. A schedule of other requests and associated fees follows:

Fee Schedule

Administration of billing from governmental agencies	5% of total amount billed
Review of requested amendments to leases	\$1,000 per lease/document
Review of requested assignment of leases	\$1,000 per transaction
Administration of estoppel certificate requests	\$1,000 per certificate
Site plan review	\$1,000 per site plan
Administration of permit applications (incl. signing off on permits to other agencies)	5% of permit application fee (\$50 minimum)

Fees may vary depending non-standard items for review and approval. An estimate of the review fee will be provided to the party requesting the review before FARDA begins the review process.

Legal Fees – Any legal fees FARDA incurs as a result of considering changes or requests made by tenants will be billed by FARDA's general counsel at commercial rates and must be reimbursed to FARDA. Any legal costs incurred by the Authority as a result of administering any of the above listed services are separate from the fees charged by the Authority. Applicant must agree to reimburse the Authority for 100% of the legal costs incurred by the Authority. General Counsel will furnish FARDA with an invoice for its services at on its regular invoicing schedule, and FARDA will invoice the applicant for reimbursement within five (5) days of

receiving such invoices. Costs must be reimbursed to FARDA within thirty (30) days of the Authority's invoice date. If the estimated legal costs exceed two thousand dollars (\$2,000) FARDA requires that the tenant deposit the estimated legal costs, in the reasonable estimation of the President, in escrow with FARDA's General Counsel at the time of submission in order to ensure timely payment. FARDA's approval or action will contain language providing for the payment of General Counsel's fees making the action void unless fees are paid.

7. Exceptions – In the event that a state agency, other than an institution of higher learning, is a land tenant or sub-tenant, it shall be exempt from this policy.

ADOPTED THIS 10TH DAY OF DECEMBER, 2014

AMENDED THIS 26th DAY OF JULY, 2017

AMENDED THIS 26th DAY OF JUNE, 2019



Florida Atlantic Research and Development Authority
Policy No. 19-01

Title: Disaster Preparedness and Recovery Plan
Date Adopted: May 14, 2019
Effective Date: May 14, 2019

1. PURPOSE

The purpose of Policy No. 19-01, “Disaster Preparedness and Recovery Plan,” is to provide a systematic guide with procedures for regular back up of the Florida Atlantic Research and Development Authority’s (hereinafter referred to as the “Authority”) data and periodic retrieval of that data as well as instructions on preparing for a natural disaster, i.e. hurricane or fire, and post event recovery. The Plan will provide the necessary steps to ensure the safety of the Authority’s employees at the Research Park at Florida Atlantic University®, protect permanent records, and limit any damage to the facility.

2. SCOPE

The policy provides employees and agents of the Authority guidelines for protecting hard copy files, electronic files, a system of backing up digital documents, and preparing for and recovering from fire or natural disasters.

3. GUIDELINES

a) Securing Electronic Files: Daily and in the event of a disaster

The Authority’s electronic files (all files including financials) are maintained on several computers owned by the Authority and are backed up by a professional offsite third-party electronic back-up service.

- i. All staff computers are equipped with the latest version of Carbonite software, which automatically backs up all files to a remote server daily. In addition to Carbonite, In the event of

- a natural disaster, all staff laptops will be removed from the building to a secure, off-site location in a plastic waterproof bag.
- ii. Almost all files related to conducting the business of the Authority are emailed between the Director of Operations and President. These emails are securely maintained off-site by Google Mail Service.
 - iii. The Authority's financial records are kept in QuickBooks Online system, which is web-based, and backups of the data are kept securely online in a remote location.

b) Securing Hard Copy Files

The files are organized and located in an area that can be easily removed in the event of an impending natural disaster. FARDA staff members are responsible for removing the files, securing in plastic, waterproof boxes and transporting to a secure, off-site location.

The Director of Operations will coordinate with the President and IT Consultants in performing final backups prior to shutting down of the network infrastructure, including a collection of documents pertinent to the storm, such as the Governor's Executive Order, original archived documents, emergency contact information, checklists, daily reports, links to other pertinent websites and any other appropriate information.

c) Natural Disaster Preparedness

The purpose of these procedures is to prepare for and respond to a natural disaster or other impending emergency. The procedures provide an orderly guide for preparations at the Research Park and for emergency response during or in anticipation of natural disasters. For the purpose of this plan, natural disasters will include hurricanes, tornadoes, floods and wildfires.

At the first issuance of a storm-watch for the area or notification of any other impending natural disaster, under the direction of the President, the Director of Operations will meet to review the Disaster Preparedness Procedures, staff responsibilities and leave schedules, and any other issues that may affect storm preparations.

d) FAU Alert System

Florida Atlantic University Department of Emergency Management developed the "*FAU Alert System*" as its official emergency notification and warning system in the event of an impending hurricane or severe storm. The system includes numerous forms of broadcast communications including social media

notifications, text messaging, webpage updates, and outdoor warning sirens on main campus. In the event of an emergency, which urgently threatens the safety of persons outdoors, the University may sound the sirens. The **alert tones are very loud and distinct** and should be easily heard by anyone who is outdoors.

The alert tone may / may not be followed by voice instructions. Regardless if you can comprehend the voice instructions, the default action anytime the siren is sounded is to:

Take shelter in the nearest building and seek further information.

e) Definitions

- Hurricane Watch - Hurricane conditions are *possible* in the specified area of the *Hurricane Watch*, usually within 36 hours. During a *Hurricane Watch*, prepare to take immediate action to protect your family and property in case a *Hurricane Warning* is issued.
- Hurricane Warning - A *warning*, which indicates that hurricane winds of 74 mph or higher or any combination of dangerously high water and very rough seas, are expected in specified coastal areas. When a *Hurricane Warning* is announced, hurricane conditions are considered imminent and may begin immediately or at least within the next 12 to 24 hours. It is of utmost importance that ALL precautionary measures and actions be instituted immediately for the protection of life and property.
- Evacuation Order - The most important instruction you will receive from local government officials, relayed over radio and television stations, is an evacuation order. Once issued, an evacuation order is mandatory under law in the state of Florida. If you live in a mobile home or an area ordered to evacuate, gather your survival kit and leave immediately. If you live in a safe area, secure your home and be prepared to stay. Because of long evacuation times and the unpredictability of hurricanes, you may be ordered to leave before a hurricane watch or warning is issued.

f) Other Data Protection Precautions

Prior to the actual removal of files, the Director of Operations will instruct FARDA's IT consultants to test the network equipment stored at the office to verify it is secure and backed up in the event of an outage. The Director of Operations and President will coordinate a plan for telecommunications among staff which may be deployed in the event of an outage.

When a Watch is issued, staff will be given adequate time to begin securing the facility and equipment and implement their own family hurricane plan.

g) Early Preparations

Staff should take an inventory of all stocked items and prepare a checklist.

Staff should purchase any special-needs items (e.g. tape, lumber, nails, protective plastic sheeting or other items).

h) When the Watch Turns to Warning

If the Research Park is within the area designated as a warning for possible storm impact, staff designated for specific preparations will mobilize.

i) Closing and Opening Offices or Work Sites: Research Park at Florida Atlantic University

These guidelines should be followed when there is time to plan for closure of the office:

When possible, the President should consult with the Chair of the Authority prior to the closure. The decision to close the Research Park offices because of a hurricane or other natural disaster should take into account the FAU Emergency notifications, NOAA weather forecast; closure notices issued by other state agencies, county or city governments; and local evacuation notices. The Authority will close the Research Park offices subject to a mandatory evacuation notice.

When closing the Research Park offices, follow these steps:

- i. The President will notify the Director of Operations of the decision to close or reopen the office. The Director of Operations, in turn, is responsible for ensuring that staff and Research Park tenant companies receive notice of the closure or reopening. The President will immediately follow-up on this action with an email to the Authority announcing the Research Park office closure or reopening.
- ii. The Director of Operations will ensure that staff review and comply with the Disaster Checklist before leaving the office or work sites.

j) Evacuations

Staff who reside in evacuation areas will make every attempt to notify their supervisor when relocating to their designated relocation location.

When the storm danger has passed, employees in evacuation areas and/or those impacted by the storm will make every reasonable attempt to contact their supervisor to report their status, request assistance if needed.

k) Coordination and Communication

During major storm events, the Authority will provide timely, accurate and helpful information to staff members and the public that will contribute to their safety and minimize inconvenience associated with a hurricane or other disaster. The Authority's objective is to ensure that the public and staff receive accurate, up-to-date information regarding closings or openings of the Research Park at Florida Atlantic University. The following should be considered:

- i. Ensure that staff and Research Park tenants have a general understanding that if a local county government is closing its offices, the Research Park will probably be closing.
- ii. In addition to notifying those above, any staff member authorized to close or re-open offices or facilities will inform the President (or designee) via email or phone of such decisions. The President will maintain a list of emergency phone numbers and the Director of Operations will promptly post the latest information on the Authority's website at www.research-park.org. The President or designated staff member will use appropriate social media channels (e.g., Twitter, Facebook) to deliver pertinent news updates.
- iii. If there is a need to extend the closure of the facility for longer than surrounding businesses or Florida Atlantic University, post-storm, the President should report any status changes regarding the Research Park facility by contacting the Chair of the Authority, Director of Operations, and update the website and social media channels accordingly. This update should occur no later than noon each day. Exceptions are in the case of phones or electric service is not restored.

l) Before the Storm

Use the Disaster Plan (Attachment A), www.research-park.org, social media channels (e.g., Twitter, Facebook) to communicate the status of the Research Park office.

For insurance purposes, take pictures of all property, equipment and contents of buildings. Place the pictures in Google Drive under the FMIT Liability Insurance section in a new sub-folder with an appropriate title and date of the preparations. For example: 2018-09-08_Hurricane Irma.

Ensure that the offsite third-party online back-up has all recent data backed up and secured. Store all permanent historical hard copies of documents in a plastic sealed package or plastic/sealed storage box and keep off-site.

m) Employee Pay and Leave Issues

The Authority's staff members are allowed to use, if necessary, administrative leave for the period the area/work site is closed. Administrative leave counts as hours of pay but does not count as hours of work for overtime purposes. Employees may use administrative leave only to bring their hours up to the contracted hours for the work period. An employee who is on a prior-approved leave of absence or scheduled holiday during an emergency will not have the leave of absence changed to administrative leave.

Through Executive Order, the Governor may grant state agencies, local and county government discretion to waive the personnel rule with regard to administrative leave during a disaster. The President has delegated authority for approving such leave to staff. The use of administrative leave for a disaster may be approved only if the employee has residential property damage that requires his/her presence or if the employee would be exposed to unsafe conditions attempting to travel to work (trees or power lines down, flooded roads, etc.). Requests to use disaster administrative leave must be made in writing (email is acceptable) to the President, as appropriate.

n) After the Storm

The Property Manager and FARDA President (or designee) will determine preliminary damage estimates based upon that path and the strength of the storm and the property located within that area.

After the roads are cleared and waters receded, FARDA President (or designee) will work with the Property Manager to perform site reviews and document all damages. This will be reported to the Chair of the Authority including additional damage found after the site review.

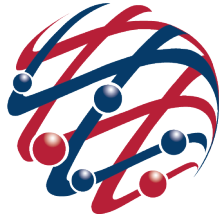
The President will visit the disaster sites and oversee any insurance processes and/or FEMA claims if applicable. Ensure pictures of damaged property are taken before any repairs are made. Place these pictures in the designated folder.

Create a list of any costs that are incurred, whether by staff time or use of equipment.

o) Things to Remember

- i. Do not attempt to repair any property until the President and Property Manager have visited the site and assessed the damage to recommend to the Chair of the Authority for approval to begin emergency repairs.
- ii. Do not sign FEMA project worksheets, if applicable. This should be coordinated solely with the President and the Property Management Company.
- iii. An Emergency Declaration does not change the required documentation or justification needed to pay an invoice.
- iv. Assessments are not directly reimbursable by FEMA.
- v. Employees are responsible for contacting the Director of Operations, their supervisor, checking the website www.research-park.org or consulting other message centers specified in the closure notice for information regarding the office/work site closure/reopening.

ADOPTED THIS 14 DAY OF MAY, 2019



RESEARCH PARK AT FLORIDA ATLANTIC UNIVERSITY®

Florida Atlantic Research and Development Authority

Title: Tenant Application and Review Policy

Date Adopted: 11 October 2023

1. Purpose:

The purpose of this Tenant Application and Review Policy (the “Application Policy”) is to delineate how prospective tenants can apply for and receive use approvals from the Authority. This policy is intended to meet the requirements of Section 5 (c) of the Amended and Restated Agreement between the Authority and the City of Boca Raton, dated 11 May 2005.

2. Scope:

The Application Policy shall apply to all property and space uses at any and all properties located within the Research Park where the Authority is the senior lessor, on or after the Adoption Date. The Application Policy shall apply to existing uses to the extent set forth herein but shall not have any retroactive effect.

3. Definitions:

- a. “President” shall mean the Authority employee whose job title is President. If the President role is vacant, “President” shall mean the person designated by the Authority as the acting President.
- b. “Broker” shall mean the commercial real estate broker designated by the owner of any of the buildings or by the holder of any leasehold interest in the Research Park to represent that building or leasehold interest for the purposes of selling or leasing it to tenants or other entities.
- c. “City” shall mean the City of Boca Raton, a Florida municipal corporation.
- d. “Owner” shall mean the person or entity that owns any of the buildings in the Research Park, or that owns any leasehold interest in any of the leases, subleases or sub-subleases in the Research Park.
- e. “Applicant” shall mean the prospective tenant which makes application to the Authority for review and approval under this policy.
- f. “Application” shall mean any the document attached to this policy as Exhibit “A”
- g. “Research Park” shall mean real property and/or buildings owned, leased, or controlled by the Authority, which are intended to house companies and organizations involved in research and development of new products and services for the economic development of Palm Beach and Broward counties, and in promoting scientific research and development in collaboration with FAU.
- h. “Tenant” shall mean any person or entity which leases real property and/or buildings owned, leased, or controlled by the Authority, and any entity which sub-leases real property from such an entity. The meaning shall also include entities which lease space within a building owned, leased or controlled by the Authority or any of its sublessees.

- i. "Use" shall mean the business functions which will be performed by the proposed Tenant in the Research Park.
- j. "University" shall mean Florida Atlantic University, a member of the State University System of Florida.
- k. "VPR" shall mean the person employed by Florida Atlantic University as its Vice President for Research.

4. Procedure:

- a. All Applicants shall complete and submit the Application to the President on behalf of the Authority.
- b. If the Application is complete, the President shall confirm the relevant Owner's interest in leasing space to the Applicant for the stated use.
- c. If the Owner confirms its interest in leasing space to the Applicant, the President shall submit the Application to the VPR or designee and to the City Manager of the City of Boca Raton.
- d. The VPR or designee shall review the Application and solicit input from relevant faculty and administration staff at Florida Atlantic University, as appropriate. If relevant Florida Atlantic University administration, faculty and/or staff express interest in the stated use, they may request a meeting with the proposed Applicant and/or additional information and provide input to the VPR or designee.
- e. The VPR or designee shall notify the President of the University's endorsement or lack thereof within twenty (20) calendar days of the President's delivery of the Application to the VPR or designee unless additional time is agreed upon by the President and the VPR or designee.
- f. The Authority shall review the Application at the first meeting subsequent to thirty (30) days after the President delivers the Application to the VPR or designee and the City Manager of the City of Boca Raton, unless additional time has been agreed upon for University review pursuant to subsection 4e above.
- g. The decision of the Authority relative to the Application shall be final.

5. Validity and Renewal:

- a. If the Authority approves an Application, the approval shall be valid for the duration of the term of the proposed lease, which shall be disclosed to the Authority by the relevant Owner. If, during the term of the proposed lease, the Tenant's Use of the space or building changes substantially from the Application approved by the Authority without prior consent and approval of the Authority, its approval shall be null and void.
- b. The Tenant must seek approval before renewing its lease with the Owner. If the Use is substantially similar to the Use previously approved, the Authority shall not unreasonably withhold its approval.

6. Amendment:

This policy may not be amended without the physical presence and affirmative vote of the president of Florida Atlantic University, or his/her designee to the Authority.

Adopted this 11th day of October 2023

EXHIBIT "A"



Research Park at Florida Atlantic University® Application

The mission of the Research Park at FAU is to promote scientific research and development in affiliation with Florida Atlantic University, to foster economic development and broaden the economic base of Broward and Palm Beach counties.

The Research Park at FAU seeks to accomplish this mission by facilitating collaborations between innovative companies and the faculty and students at Florida Atlantic University that can enable the creation of new knowledge, technologies, and products. In the process, internship and employment opportunities are created for the students at Florida Atlantic University, as well as the residents of Palm Beach and Broward counties.

In this way, the Research Park at FAU can help advance technology-based economic development through innovation, R&D, and workforce development. Therefore, companies seeking residency in the Research Park at FAU should demonstrate as many meaningful linkages with FAU as possible.

Company Name:		Primary Contact:	
Proposed Premises:		Current Address:	
Primary Business Description: <i>500-word limit</i>		Proposed Use for Research Park Premises: <i>Check all that apply</i>	HQ
			Satellite
			Clinical site
			Manufacturing
			Distribution
			R&D
		Other (describe)	
No. Current Locations:		Company Principals:	
Website:		Date of Incorporation:	
Are you currently engaged in any research activities with FAU? If so, please describe, including the name of your collaborator and area of interest.			
Indicate which college or unit you propose to engage with: <ol style="list-style-type: none"> 1. College of Arts and Letters 2. College of Business 3. College of Social Work & Criminal Justice 4. College of Education 			

5. College of Engineering and Computer Science 6. Honors College 7. College of Medicine 8. College of Nursing 9. College of Science 10. FAU Athletics 11. Other unit (please list)	
Describe the kind of collaboration/interactions are you seeking, and are prepared to commit to*:	
How many paid internships will you commit to creating each year:	
<i>To be completed by FARDA staff:</i>	
<i>VPR endorsement:</i>	YES / NO
<i>Other endorsements, if any:</i>	

*These interactions may be in, but are not limited to, the following areas of:

1. Workforce Development

- Annual undergraduate student internships (specific number, if possible)
- Annual graduate student internships (specific number, if possible)
- Co-hiring or co-sponsoring graduate students' salaries and/or work
- Corporate post-doctoral training programs
- Co-hiring employees / employees working as adjunct faculty

2. Joint research activities (specify areas of interest)

- SBIR subcontracts
- STTR grants
- Joint sponsored research via grant or contract work
- Clinical trials
- Clinical research
- Work for hire projects
- Joint submission of academic manuscripts for publication
- Membership in an Industry/University Cooperative Research Center, such as the Center for Advanced Knowledge Enablement (CAKE)

3. Technology

- Access to [FAU core facilities](#), technology or unique research infrastructure which can be accessed on a collaborative or charge basis
- Use of company equipment and facilities for student practicum or faculty research

Florida Statute 159.27(2) defines a research and development park as:

... a center of research and development activity related to the research and development activities of one or more affiliated institutions of higher education, including scientifically oriented production or educational programs of postsecondary educational institutions, consisting of research and development facilities; scientifically oriented production or assembly facilities; research institutes; prototype, scientific, and product testing laboratories; related business and government installations; or similar related facilities, together with land, including all necessary appurtenances, rights, and franchises directly relating thereto, with related buildings, facilities, and personal properties, but only to the extent that such facilities are engaged in research and development, are necessary to encourage or complement the purposes of a research and development park, or are in support of any facilities or improvements located or constructed at such a center or activities or operations conducted at such a center for purposes authorized by this subsection. For purposes of this subsection, the administering or taking of professional or occupational licensing examinations shall not constitute testing, nor shall any room, building, or facility in which such examinations are administered or taken constitute a testing laboratory.