



ASSOCIATED UNIVERSITIES, INC.
ORGANIZATION AND EMPLOYEE
HANDBOOK



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Disclaimer:

Employment at AUI is on a voluntary, at-will basis, unless otherwise stated in a written individual employment agreement signed by the President of AUI. The employee has the right to end their employment relationship for any reason with or without cause or notice at any time, regardless of anything which may appear in this handbook or any other AUI publication, policy, statement, or practice. AUI also has the right to end the employment relationship within the same parameters.

This Handbook does not constitute a guarantee that an individual's employment will continue for any specified period or end only under certain conditions. Nothing in the Handbook constitutes an express or implied contract of employment or warranty of any benefits. No one has authority to bind AUI to any agreement contrary to the foregoing except the AUI President and such agreement must be in writing.

This Handbook is intended to offer a high-level summary of employment policies, employee benefits, employee responsibilities, and employee rights. This employee handbook is applicable generally to employees of AUI located in the U.S. For more specific information, employees should refer to applicable state and local and worksite-specific policies and/or consult with their Human Resources (HR) representative. Additionally, employees located in places outside of the U.S. should consult their site representative for applicable policies based on local laws.

AUI reserves the right to make changes to the policies, procedures, and other statements made in this handbook. From time-to-time AUI may unilaterally, in its discretion, amend, supplement, modify, or eliminate one or more of the benefits, work rules, or policies described in this handbook, or any other employment benefits, work rules, or policies, without prior notice.



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Note: Associated Universities, Inc. (AUI) policies as summarized in this Handbook identify the broad organizational and operational principles under which AUI conducts its management and operations of its corporate functions and Research Centers (which include NRAO and GBO). Employees can find a full list of the AUI Policies, the AUI Charter and By-Laws, and the names of the current board of Trustees at www.aui.edu.

In allowing our Research Centers to develop their own written policies and procedures, AUI recognizes the necessity to maintain flexibility. Employees of these Research Centers are subject to the policies and procedures summarized in this AUI Employee Handbook as well as the policies developed by their specific Research Center. All Research Center-specific policies and procedures that supplement this Employee Handbook should be read in accordance with the provisions of this Handbook to the greatest extent possible.

This Handbook is intended as a summary document. Employees should refer to the AUI and Research Center Policies themselves for more details.



President's Welcome

Dear AUI Team-Member:

Welcome to AUI! We are excited to have you on the team as we do impactful work together. As the President of AUI, it is my priority to provide transparency about who we are as an organization and how teams and individuals are expected to work together toward reaching the goals in our Strategic Plan. This handbook is designed to provide you with a summary of information about our expectations, policies, and total rewards. In addition, this handbook will serve as an important guide in how we uphold a high standard of excellence and participate in and maintain a respectful, inclusive, and supportive workplace.

The policies summarized throughout this handbook are not exhaustive. Feel free to reach out with any questions, comments or suggestions as my door is always open, and I encourage you to help make this a great organization.

We look forward to your success at AUI!

A handwritten signature in black ink, appearing to read 'Adam Cohen', with a long horizontal flourish extending to the right.

Adam Cohen

AUI President



1 Organization

1.1 Purpose of the Handbook

This handbook summarizes basic employment policies, employee responsibilities and rights, and total reward programs, and is intended to be useful to all Associated Universities Inc (AUI) employees. AUI employees are subject to the AUI Policies, which are summarized in this Employee Handbook, as well as Research Center specific policies and state-specific requirements. Employees should refer to the Policy documents and consult their Human Resources (HR) representative if questions arise. In all cases, if the information in this Handbook is found to conflict with the AUI Policies, Research Center Policies, or state-specific requirements, the application of those documents will prevail.

AUI is committed to providing a quality workplace for employees. It is our goal to:

- Recognize each person as an individual and promote a diverse, equitable and inclusive workplace culture that appreciates all individuals across all identities.
- Have policies and systems that are fair and oriented toward the welfare of our employees.
- Regularly review the performance of all staff members, encourage employee self-evaluation, and provide continuous guidance to help employees progress in skill and in their careers.
- Provide a total rewards program that equitably compensates each employee and provides them with the benefits and resources to achieve a healthy, work life balance.
- Provide a work environment that promotes efficiency and productivity by maintaining good physical working conditions and fostering collegial relations among employees, volunteer leaders, and other members.
- Provide training, education, and staff development as an investment for the mutual benefit of the employees and AUI.
- Communicate regularly to the staff and encourage communication from them.
- Maintain a well-organized, well-managed, productive not-for-profit corporation that is chartered to make a beneficial contribution to society and humanity.

This handbook was developed to provide general guidelines about AUI policies and procedures for employees; however, it does not contain promises to any employee about how any situation will be handled. It is a guide to assist employees in becoming familiar with some of the benefits and obligations of employment, including our policy of at-will employment.

It is the intention of AUI to adhere to all local, state, and federal Laws. All employment policies found in this Handbook should be read in accordance with applicable law. In the event any employment policy is found to conflict with a local, state, or federal law, the applicable law will take precedence.

Questions regarding the interpretation of policies may be directed to Human Resources.

1.2 About AUI

AUI is an independent, not-for-profit corporation committed to serving the broad National Interest in meeting the purposes identified in our Charter (and summarized below). AUI draws heavily on the guidance, active participation and competence of dedicated and knowledgeable individuals that are elected to our Board of Trustees, that collaborate with us, and that serve on our staff. Our purposes are:



- To be organized and operated exclusively for charitable, educational and scientific purposes as a 501(c)(3);
- To acquire, plan, construct and operate laboratories and other facilities for research, development and education in the physical, biological and social sciences and to educate and train technical and research personnel and the general public in above fields;
- To constitute an agency through which universities and other research organizations will be enabled to cooperate with one another, with governments and with other organizations toward the support and use of laboratories and other research facilities and toward the development of scientific knowledge in above fields; and
- To accept and collect pledges, donations and contributions from universities, other organizations and individuals towards the construction, maintenance, and operation of the above and all services incident thereto.

AUI activities and facilities are funded by agencies of the Federal Government and other sponsors. We manage Federally funded Research and Development Centers (FFRDCs) for the use by the research community, including from academia, industry, and other research institutions. Scientists, engineers, technicians and supporting personnel at the FFRDCs have two broad areas of responsibility:

- The development, maintenance, and support of forefront user facilities; and
- The pursuit of research programs of the highest quality relevant to the broad missions of FFRDCs and the funding agencies.

We strive to manage all our activities and facilities as centers of excellence, with unique, leading-edge capabilities and the highest caliber staff, such as might be found at major research universities and other world-leading research institutions.

Our Principles

We believe that our people are our greatest asset; therefore, we have developed the following principles that drives our day-to-day interactions:

- We value our people, and we support them with proper expectations, appropriate equipment and facilities, and training
- We believe our people deserve to be engaged, challenged, and productive
- We design policies to actively foster a diverse and inclusive atmosphere of trust and respect, creativity, and collaboration that benefits science and technological research and positively impacts achievement of our goals
- We provide exemplary service to our user communities

We consider these AUI Guiding Principles in all of our missions:

- Driven by Scientific Impact – We enable R&D facilities that can achieve great outcomes
- Champions of Open Access – We strive to enable access broadly to the unique facilities, with a particular focus on underserved/underrepresented communities
- Experts at Managing Complexity – We manage R&D facilities that are complex due to their technological advances, project management, and integration of institutions and disciplines
- Ambassadors for Science – We champion the thrill of discovery and the value of R&D
- Catalysts for the Scientific & Technical Future – We help shape what comes next
- Diversity, Equity, and Inclusion – We pursue diversity, equity and inclusivity in our activities and in R&D and education



2 Commitment to a Workplace of Excellence

2.1 Diversity, Equity, and Inclusion Statement

At AUI, we are committed to a diverse, equitable and inclusive workplace culture that appreciates all individuals across all identities. Every individual has the right to work in an environment where everyone is treated with respect and dignity, where equal employment opportunities are promoted and where illegal discriminatory practices, including harassment and bullying are prohibited. We will not tolerate discrimination or harassment based upon any characteristic protected by applicable federal, state, or local law.

Our commitment to diversity, equity, and inclusion extends to all AUI activities and all relationships among AUI employees, collaborators, students, employment candidates, subcontractors, vendors, customers, guests, and members of the public, and we expect activities and relationships to be professional and free of bias, prejudice, and harassment. Employees are expected to report incidents that are inconsistent with this statement. Allegations of discrimination and harassment will be promptly investigated and appropriate action will be taken.

2.2 Equal Employment Opportunity

AUI provides equal employment opportunities to all employees and applicants without regard to race, color, religion, sex, age, disability, gender identity, gender expression, sexual orientation, marital status, national origin or any other characteristic protected by law.

AUI's policy applies to all terms and conditions of employment, including hiring, placement, promotion, demotion, involuntary separation of employment, layoffs, recall, transfer, leaves of absence, compensation, and training.

2.3 Mutual Trust and Respect

AUI is committed to establishing and maintaining a culture of respect and dignity within its workforce and will promptly address situations that compromise this culture. AUI's workplace policies are guided by the following principles:

- Maintaining employer/employee relationships based on mutual respect;
- Selecting and/or promoting the best qualified candidate(s) for open positions;
- Promoting diversity, equity, and inclusion through broad participation within the workforces of AUI and its Centers;
- Enabling employees to pursue their professional goals in the context of the goals of AUI and its Centers;
- Applying total rewards programs to employees fairly and consistently;
- Complying with all applicable laws and regulations; and
- Adhering to the terms of all contracts.

2.4 Integrity and Business Ethics

The successful operation and reputation of AUI depends on the principles of fairness and the ethical conduct of our employees. Our reputation for integrity and excellence requires careful compliance with the spirit and letter of all laws and regulations, as well as a personal commitment to the highest standards of conduct and integrity. AUI gives the greatest priority to demonstrating integrity and quality throughout the organization. The foundation for AUI's reputation depends on our stakeholders' and the public's trust. Employees have a duty to AUI, the public, and our stakeholders to act in a way that will always merit their continued trust and confidence.



AUI, its employees, students, collaborators, contractors, vendors, and others involved in our activities will comply with all applicable laws and regulations, company policies, and community and industry standards. Employees must conduct business in accordance with the letter, spirit and intent of all applicable laws and policies, and refrain from any illegal, dishonest, or unethical conduct. In general, the use of good judgment will provide proper guidance.

2.5 Anti-Discrimination, Anti-Harassment, Anti-Bullying, and Anti-Violence Policy

AUI will not tolerate any form of unlawful discrimination, harassing conduct, bullying or violent actions towards any employee, student, contractor, collaborator, vendor, visitor, or anybody with whom AUI conducts business – whether in person or virtual.

All employees must report incidents covered under this section immediately, so that we can investigate and address the situation appropriately. AUI is committed to enforcing its policy at all levels within AUI, and any employee who engages in prohibited discrimination, harassment, bullying or violence will be subject to discipline, up to and including termination.

Every employee should be aware that all managers and supervisors are absolutely prohibited from making any decision regarding job assignment or reassignment, performance evaluation, compensation, promotion or demotion, termination or commencement of employment, or any other decision involving any tangible employment action, based in whole or in part on any person's exposure to, submission to, acquiescence in, or complaint about any unlawful discrimination or harassment, or otherwise based upon any Protected Category.

Harassment

Harassment includes verbal, written, or physical conduct that denigrates or shows hostility or aversion to an employee based on the above listed Protected Categories and any other protected characteristic in accordance with applicable federal, state and local laws, when such conduct has the purpose or effect of unreasonably interfering with an employee's work performance, creating an intimidating, hostile, or offensive work environment, or otherwise adversely affects an individual's employment opportunities.

Harassment is prohibited in our physical offices, while performing AUI business remotely, at work-related functions, or outside of work if it affects the workplace. An aggregation of a series of incidents can constitute harassment, even if one of the incidents on its own, would not be harassing—but a single incident may constitute harassment under some circumstances. Harassment can occur between employees of the same or different levels of employment and between employees that are in the same or different Protected Categories.

AUI will not tolerate employees engaging in harassing activities in the workplace such as verbal abuse, including slurs, epithets, and stereotyping; offensive jokes and comments; threatening, intimidating or hostile acts; displaying or distributing offensive materials, writings, graffiti, or pictures; and other similar activities.

Sexual Harassment

Sexual harassment may take many forms, though it can include:

- unwelcome sexual advances;
- requests for sexual favors, and other verbal or physical conduct of a sexual nature when:
 - submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;



- submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting them; or
- such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Sexual harassment can occur between any two or more individuals. Sexual harassment need not be motivated by a sexual desire to be unlawful and to be prohibited by this policy. The following are examples of activities that may be construed as sexual harassment and are prohibited:

- physical conduct that is sexual in nature;
- sexually oriented gestures, noises, remarks, jokes or comments about a person's sexuality or sexual experience;
- repeated unwelcome requests for a romantic relationship;
- displaying images, pictures, posters, calendars, graffiti, objects, promotional materials, reading materials or other materials that are sexually suggestive, demeaning, or pornographic; and
- other similar activities.

Bullying

AUI defines bullying as repeated inappropriate behavior - direct or indirect; intentional or unintentional; verbal, physical or otherwise - conducted by one or more persons against another or others, at the place of work and/or in the course of employment. All employees will be treated with dignity and respect and AUI does not tolerate bullying behavior. Bullying does not include mere disagreements, expressions of differing viewpoints, personality conflicts, or general rudeness, although depending on the circumstances such behavior or interactions may constitute violations of other AUI policies. Bullying also does not include normal supervision or efforts to enforce compliance with AUI's rules of conduct and performance expectations, such as the imposition of disciplinary action or the assignment or direction of work activities by a supervisor.

AUI considers the following types of behavior examples of bullying:

- Verbal bullying: Slandering, ridiculing, or maligning a person or their family; persistent name calling that is hurtful, insulting or humiliating; using a person as the butt of jokes; abusive and offensive remarks.
- Physical bullying: Pushing, shoving, kicking, poking, tripping, assault, or threat of physical assault; damage to a person's work area or property.
- Gesture bullying: Nonverbal threatening gestures or glances that convey threatening messages.
- Exclusion: Socially or physically excluding or disregarding a person in work-related activities.

Workplace Violence

Workplace violence is any conduct that is severe, offensive, threatening or intimidating enough to make an individual reasonably fear for their personal safety or the safety of family, friends or property. The following restrictions and expectations apply:

- Firearms, weapons, and other dangerous or hazardous devices or substances are prohibited from the AUI workplace.
- Employees are expected to refrain from fighting, "horseplay," or other conduct that may be dangerous to others.



- Employees are expected to refrain from activities that may reasonably be viewed as threatening or stalking at the workplace or with AUI resources outside the workplace.
- AUI will treat threats coming from an abusive personal relationship as it does other forms of violence.
- Employees should report indirect or direct threats of violence, incidents of actual violence and suspicious individuals or activities as soon as safely possible to do so. Employees should not place themselves in peril, nor should they attempt to intercede during an incident.

2.6 Environment, Health, Safety and Security (EHS)

AUI is committed to establishing and maintaining a healthy, safe, and secure work environment for our employees, visitors and the public and to the protection of the environment. To achieve this goal the active cooperation of all employees is required.

Work Planning: AUI is committed to proper planning of work at our site such that risks to personnel safety, security or to the environment are known, understood, and managed appropriately to minimize the impacts.

Training: AUI is committed to ensuring that employees have access to the information and training necessary for 1) understanding the relevant EHS risks and 2) planning work appropriately including identifying applicable hazard control measures.

Employee Health: AUI expects each employee to protect their health. If an employee becomes aware of any circumstance that significantly affects their ability to perform the essential functions of their position, the employee should discuss the matter with their supervisor and/or HR. Under no circumstance should an employee permit a health matter to jeopardize the safety and health of themselves, other employees, consultants, vendors, or guests. AUI may require an employee to successfully pass a medical examination when required by law to perform a job or when it is necessary to be certain that an employee is able to perform work assignments in a safe and efficient manner to the extent permitted by and in accordance with applicable law.

Environmental Protection: AUI is committed to protecting the environment and conducts its operations in accordance with all Federal, state, and local environmental laws and regulations. Employees must observe all such laws and regulations as well as observe all Research Center policies and procedures designed to protect the environment.

Reporting of Hazards, Injuries, Near-misses and Adverse Situations: AUI expects all personnel to report to management immediately any accident, near-miss or situation that could jeopardize the health or safety of any person, or adversely impact the environment at our workplaces or due to our activities. AUI will report any recordable injuries or illnesses or any environmental releases promptly and in accordance with the applicable legal requirements.

For more information, please see AUI Environment, Safety, Health, and Security Policy - #5.1.5

2.6.1 Smoke-Free Workplace

AUI is committed to providing a healthy and smoke-free work environment. Consistent with local laws, our office, building, and all common areas are smoke-free. Smoking includes the use of tobacco products as well as the use of electronic cigarettes and related products.

AUI encourages employees who currently smoke to stop smoking and is supportive of smoking cessation programs. Employees and visitors who choose to smoke should do so before work, during their scheduled lunch break, or after work, and only in designated, outdoor areas.



2.6.2 Drug-Free Workplace

AUI is committed to maintaining a workplace that is free from the influence of illegal drugs and the abuse of legal drugs and alcohol.

The consumption of alcohol at any AUI facility or AUI-sponsored event is limited to exceptional circumstances and will be done only under strictly regulated conditions.

Alcohol and Substance Abuse

AUI considers that employees who use, sell, distribute or possess illegal drugs or abuse alcohol or controlled substances pose unacceptable risks to safe, efficient and dependable operations. Employees are also prohibited from the abusive use of any legally obtained substance (including alcohol, over the counter medicines, prescription drugs or other controlled substances) to the extent that the individual experiences physical, emotional or social complications that threaten any person's health, safety, well-being or performance in the workplace.

Illegal Drugs

The use of an illegal drug or controlled substance, the possession of the same, or being under the influence of the same on AUI premises may subject an employee to corrective action up to and including involuntary separation of employment. The sale, trade or delivery of drugs or controlled substances by an employee to another person on AUI premises may referred to law enforcement authorities.

Duty to Report

Employees must notify the HR representative of any criminal drug statute conviction for a violation occurring while on-the-job within five (5) days of the conviction. A conviction means a finding of guilt, including a plea of *nolo contendere* or imposition of a sentence, or both, by any judicial body with the responsibility to determine violations of the federal or state criminal drug statutes. If an employee fails to disclose any criminal drug statute conviction, such employee may be immediately terminated.

2.7 Reporting Workplace Concerns

If anybody working for or with AUI has a workplace concern, if a situation arises where it is difficult to determine the proper course of action, or if someone believes they are being instructed or pressured to act improperly, the person should report the matter so it may be properly evaluated and addressed. AUI is committed to providing its employees and other stakeholders with a confidential mechanism to report workplace concerns without fear of retaliation of any kind. All employees can discuss issues with their immediate supervisor, and other stakeholders can discuss the matter with their primary point of contact. If the person wishes, they have the option to report issues to HR, to AUI or Research Center Senior Management, or via the EthicsPoint hotline, which allows for anonymous reporting if desired.

2.7.1 Reporting Discrimination, Harassment and Bullying

All AUI employees, and particularly supervisors, have a responsibility for keeping our work environment free of discrimination, harassment, and bullying. Any employee who becomes aware of an incident of discrimination, harassment, or bullying, whether by witnessing the incident or being told of it, must report it immediately to HR, their supervisor, the President & CEO, a management representative with whom they feel comfortable, or anonymously through the EthicsPoint hotline system.

2.7.2 Investigating Issues

All reports of issues will be promptly investigated and will be kept confidential to the extent possible. There will be no retaliation against an employee because of reporting or participating in an investigation



or proceeding under this policy. As appropriate, feedback will be provided to the person raising the issue on the findings of the investigation.

2.7.3 Corrective Actions

AUI strives to continually improve our workplace and ensure that all employees and stakeholders can pursue their work safely and securely. If issues are reported and found to be inconsistent with our expectations, AUI will make every effort to address or correct the issue. If the issue relates to infrastructure, AUI will mitigate the risk immediately with administrative controls and will correct it as funding allows. If the issue relates to one or more individuals' actions, AUI will employ its performance evaluation process and/or its disciplinary process as appropriate.

2.7.4 Discipline

AUI has a discipline policy and based on the results of the investigations and the nature of the issue, corrective or disciplinary actions may be taken, up to and including dismissal.

For unlawful discrimination, harassment or bullying, any employee who is determined, after an investigation, to have engaged in such behavior or otherwise in violation of our policies shall be subject to corrective action, up to and including dismissal.

2.8 Accommodations

AUI is committed to complying with all applicable provisions of federal and local laws concerning accommodations. Employees and applicants for employment may request a reasonable accommodation for disabilities; for sincerely held religious beliefs or practices; or for pregnancy, childbirth or related medical conditions, or breastfeeding needs. Furthermore, it is AUI's policy not to discriminate against such qualified individuals regarding application procedures, hiring, advancement, involuntary separation of employment, compensation, training, or other terms, conditions, and privileges of employment.

Employees have a right to request an accommodation and should do so by submitting a written request for the accommodation to the HR representative. Requests for accommodation should include the type of conflict that exists based on their job functions and the employee's suggested accommodation. If appropriate, AUI may require that employees provide a certification from their health care provider regarding the medical advisability of a reasonable accommodation in accordance with applicable law.

AUI will reasonably accommodate such qualified individuals so that they can perform the essential functions of a job unless doing so causes a direct threat to these individuals or others in the workplace and the threat cannot be eliminated by reasonable accommodation and/or if the accommodation creates an undue hardship to AUI. Employees should contact the HR representative with any questions or requests for accommodation. An employee or job applicant who believes that they have been discriminated against based on a disability, their sincerely held religious belief, or pregnancy should notify the HR representative or report it in accordance with Section 2.7.1.



3 Conducting Business at AUI

3.1 Conflict of Interest

AUI recognizes that its employees, as well as their immediate families, may have diverse private, business, or professional interests that place them in a position where there is, or might appear to be, a conflict between their private interests and the interests of AUI. Therefore, AUI requires employees to disclose actual or potential financial, research, or organizational conflicts of interest prior to their participation in any AUI activity and on an annual basis. AUI is also committed to taking appropriate action to ensure that conflict of interest situations are promptly identified and mitigating actions are implemented to ensure all decision are made free of any real or apparent conflicts of interest.

With regard to potential financial conflicts of interests, AUI employees who have significant financial interests that would reasonably appear to directly and significantly affect their work with AUI or a Research Center must disclose the nature of these interests, not the monetary value, at the time of their employment with AUI. Employees must also disclose the significant financial interests of their spouses or dependent children when that interest would reasonably appear to affect their work directly or significantly.

The term “significant financial interest” means anything of monetary value, including but not limited to: (i) salary or other payments for services (i.e., consulting fees and honoraria); (ii) equity interests (i.e., stocks, stock options, or other ownership interests); and (iii) intellectual property rights (i.e., patents, copyrights, and royalties for such rights). The term does not include:

- Salary, royalties, or other remuneration from AUI;
- Income from seminars, teaching engagements, or lectures sponsored by public or non-profit entities;
- Income from service on advisory committees or review panels for public or non-profit entities;
- Equity interests that, when aggregated for the employee and the employee’s spouse and dependent child(ren), meets both of the following tests: (i) does not exceed \$10,000 in value as determined through references to public prices or other reasonable measure of fair market value and (ii) does not represent more than a 5% direct ownership interest in any single entity; or
- Salary, royalties, or other payments that, when aggregated for the employee and the employee’s spouse and dependent child(ren), are not expected to exceed \$10,000 during any 12-month period.

Employees are not required to disclose other financial interests. These disclosures should be updated annually, or as new reportable financial interests are obtained.

Employees with questions as to what constitutes an actual or potential conflict of interest or how to report a conflict of interest should refer to AUI’s Conflict of Interest Policy, which is hereby incorporated by reference. [\(See AUI Conflict of Interest Policy - Policy #: 5.1.3.1\)](#) Employees are also encouraged to speak with the Human Resource Representative concerning any current or future activities they plan to pursue that they believe may pose an actual or potential conflict of interest.

3.2 Non-Disclosure (Confidentiality)

Our customers and collaborators entrust AUI with important information. The nature of this relationship requires the maintenance of confidentiality. During your employment with AUI, you may be exposed to confidential information about AUI, our stakeholders, and our vendors. You must not, directly, or



indirectly, disseminate, make available or disclose any confidential information or proprietary data of AUI, unless and only to the extent such release or disclosure is required for a business purpose, or has been approved by the AUI President. Your employment with AUI assumes an obligation to maintain confidentiality, even after you leave our employ.

Confidential information or proprietary data refers to information and data prepared, compiled, or acquired by or for individuals during or in connection with an individual's employment with AUI (including, without limitation, information belonging to or provided in confidence by any individual, supplier, trading partner or other person or entity to which the individual had access by reason of an individual's employment with AUI) which is not generally known by and available to the public or which could be harmful to our mission if disclosed to persons outside of AUI. Such confidential information or proprietary data may exist in any form, tangible or intangible, or media (including any information technology-related or electronic media) and includes, but is not limited to, the following information of or relating to AUI, our stakeholders, or our vendors:

- Business, financial, and strategic information.
- Organizational and operational information.
- Employee personal or other stakeholder confidential information
- Advertising, marketing, and sales information.
- Product and merchandising information.
- Information about existing or prospective customers or suppliers.
- Technical information.
- All processes, designs, discoveries, inventions, computer programs, trade secrets, concepts, writings, or improvements by an individual performing work for AUI, alone or jointly with others, which are produced either directly or indirectly because of employment with AUI is considered "work for hire," and therefore the property of AUI. AUI will seek appropriate patents, copyrights, trademarks, rights or interests. AUI retains the right to all such work product, including work that is not reduced to writing, patentable, or protectable by copyright.

All Confidential Information is the property of AUI. Upon your termination of employment with AUI or upon request, you must return to your supervisor all property, including but not limited to computer hardware, papers, notes, books, work product, or other documents in any format belonging to AUI or relating to its business and operations or containing Confidential Information.

Nothing in this policy shall be deemed to interfere with, restrain, or prevent employee disclosure rights protected by law, including an employee's right to engage in employee communications regarding wages, hours, or other terms and conditions of employment.

3.3 Use of AUI Technology, Property, Facilities, Equipment and Services

Employees shall use AUI technology, property, facilities, equipment, and services only for official and authorized purposes, and not for personal use or expenses. These restrictions apply whether the items are owned, loaned, or provided to AUI in some other manner. The use of AUI-managed technology, property, facilities, equipment, or services by any person for non-AUI business purposes, for personal financial gain, or for activities otherwise in violation of AUI policy is strictly prohibited.

While the primary purpose in using technology, property, facilities, equipment, and services is for use in conducting AUI-business, we recognize that incidental personal use may occur. For technology (e.g., phones and internet access), we expect employees to keep the incidental use to that which is reasonable and limited, and which does not impact productivity. In instances where personal expenses



are inadvertently, or unavoidably, charged to an AUI account (e.g., by an employee on an AUI business trip) the employee shall reimburse AUI promptly.

3.3.1 Technology Use

Use of technology, such as mobile phones, laptops, and connections to our networks, is central to the day-to-day operation of AUI. To provide services and support its mission, AUI must ensure the availability, integrity, confidentiality and security of its information systems and data. Employees, vendors, and other people who use AUI's systems have a crucial role in the safe and secure operation of the network and computing resources provided for running the organization. AUI's policies apply to employee conduct involving its technology. Inappropriate or illegal use or communications may be subject to disciplinary action up to and including termination of employment.

General Notice of Privacy

All AUI-supplied technology and any information created from, transmitted by, received from, or stored in AUI-supplied technology, including any passwords used to access such technology, is the property of AUI, not the employee. AUI routinely monitors use of company-supplied technology and reserves the right to intercept electronic or telephonic communications in the ordinary course of business and monitor or download computer files, information, or software in accordance with applicable law.

Restriction on Employee Access

No employee may access another employee's computer, computer files, or electronic mail messages without prior authorization from either the employee or an appropriate AUI official. This rule will be strictly enforced and an employee who accesses another employer's computer or stored computer files without authorization is subject to corrective and/or disciplinary action.

Copyright, Patents and Licensing Agreements

AUI adheres to vendor software license agreements and copyright holders' notices. All software, including shareware (if possible), must be licensed. The IT department must approve additions to the AUI's list of standards, supported software to ensure that proper controls for licensing are in place. Employees shall always comply with the terms of all copyright and patent laws and all public and commercial licensing agreements (including software agreements).

Employees shall not utilize rights accorded to AUI by such copyrights, patents, and licensing agreements for their personal use.

Computer Use

Under no circumstances should employees install or change unapproved hardware or software without review and authorization from the AUI Chief Information Officer or the Research Center Information Technology (IT) department. AUI may perform periodic compliance scans and assessments to identify unauthorized systems.

Any suspected virus infection must be directly reported to the IT department immediately. All software and media obtained from external sources must be scanned by a virus scanner prior to use. Anyone using AUI resources must not intentionally write, generate, compile, copy, propagate, execute, or attempt to introduce any computer code designed to self-replicate, damage, or otherwise hinder the performance of any computer's memory, file system, or software. All AUI computer resources are required to have a current anti-virus application always operating. Employees are trained annually on cybersecurity requirements and expectations.



Email, Internet, & Phone System Use

Employees must be courteous to other users of the email system and always conduct themselves in a professional manner. Emails are sometimes misdirected or forwarded and may be viewed by persons other than intended recipients. Moreover, email records and computer files may be subject to discovery in litigation. Employees should therefore draft email communications with no less care, judgment, and responsibility than they would use for external letters or internal memoranda written on AUI letterhead. Generally, if a message would be inappropriate to distribute on company letterhead, it should not be sent by email. Employees should also carefully review distribution lists and message content they create before distributing messages.

When using AUI's email, internet, and phone systems the following guidelines apply:

- Employees may not engage in any activity that violates any federal, state, or local law or regulation or that violates any AUI or Research Center policy.
- Employees may not send, copy, download, upload, leave on an employee's voicemail, or receive any materials such as messages, jokes, or cartoons that are pornographic, obscene, defamatory, hateful, reckless, maliciously false, offensive, or derogatory with respect to any person's protected characteristics or which is intended to harass, annoy, threaten, or intimidate any employee or any other person or which violates any other AUI or Research Center policy.
- Employees may not distribute copyrighted material unless licensed to do so by the copyright holder.
- Employees may not engage in any activity that could subject AUI, management, or employees to civil or criminal liability.
- Employees may not engage in gambling of any form.
- Employees may not conduct external job searches, unless specifically authorized by AUI management.
- Employees may not distribute "chain emails."
- Employees should routinely delete outdated or otherwise unnecessary emails and computer files. These deletions will help keep the system running smoothly and effectively, as well as minimize maintenance costs. Employees should refer to the document retention guidelines when determining how long emails should be kept. Employees should not delete other files from AUI's computer facilities, including program files.
- Employees may not perform acts that waste or unfairly monopolize computing resources in a way that unreasonably and adversely affects other employees. These acts include, but are not limited to, sending mass mailings or chain letters, spending excessive amounts of time on the internet, playing computer games, or otherwise creating unnecessary network traffic.

Employees who have given notice that they are leaving AUI are not permitted to delete any AUI data without first obtaining approval from their supervisors.

Use of Care and Equipment

All employees are expected to demonstrate proper care when using technology. Employees should notify IT immediately if AUI technology is lost, broken, or damaged.

Employees are responsible for backing up important files and information stored on their electronic device at reasonable intervals to safeguard against data loss and interruption of the business due to the loss or failure of either the hardware or software. See IT if you are uncertain about how to best safeguard and backup your AUI files.



AUI does not prohibit, and has no intention of prohibiting, employees from engaging in protected activities under the National Labor Relations Act (“NLRA”).

3.4 Brand Messaging: Social Media & the News Media

Social Media

AUI recognizes blogs, networking sites, and other social media (collectively referred to as “social media”, defined below) as possible tools to support AUI’s operational goals. In pursuit of communication and messaging strategies, AUI develops and maintains official AUI social media platforms. These platforms are official AUI communication vehicles and are leveraged in concert with other tools to advance awareness and increase engagement in AUI’s programs and priorities in support of its mission. To protect the high level of quality, integrity, and branding of its content and ensure that AUI continues to communicate with all stakeholders in the most effective way possible, AUI has implemented this policy to help define how AUI will use social media platforms to conduct AUI business in support of its mission.

AUI defines social media as: Online, electronic, or Internet media, tools, communities, and spaces for social interaction, sharing user generated content, or public or semi-public communication. Social media typically uses web-based technologies to turn communication into interactive dialogues. Social media can take many different forms, including internet forums, blogs and microblogs, online profiles, wikis, podcasts, pictures and video, email, text, instant messaging, music- sharing, and chat, to name just a few. Examples of social media include but are not limited to the following: LinkedIn, Facebook, Instagram, Wikipedia, YouTube, Twitter, Pinterest, and blogs.

Employees may be given identities and login credentials or be asked to create identities and login credentials for various social media platforms to conduct business on behalf of AUI. Employees will only be authorized to use, create, and/or maintain these identities if organizational communications are a part of their job description. Authorized employees should ensure that all identities and login credentials are provided to and approved by the supervisor in charge of the specific social media platform. Unless directed to use a generic identity, all employees should use their own names and titles.

Content communicated in AUI social media platforms should address only official AUI business. All content posted on behalf of AUI should be vetted by a supervisor and receive prior appropriate approvals. Any content that is not directly related to AUI business is considered inappropriate and should not be communicated using these identities.

Employees who are required as a part of their employment to use social media agree that all content created or posted remains the sole property of AUI. Any content that is posted must not infringe on the copyrights or trademark rights of any third parties. If in doubt, employees should contact the owner of the content to obtain permission to use a portion or all the content in question or check with a supervisor. If an employee is developing content, in most cases, it is more appropriate and safer to post a link to the original content owner. Employees should not copy and paste content unless express permission has been secured from the content owner, AUI is the owner of the content, or AUI has a license to publish the content.

Personal Social Media Usage

AUI recognizes that many employees engage in social media activity and from time to time may want to share some of the exciting work that AUI does, and we encourage you to share the posts made by AUI or the research centers within your network. However, we want to ensure that employees are protecting confidential business information as well as safeguarding the sensitive and personal information of others. Should you make the decision to post on social media, please be sure to express that the



personal views expressed are not on behalf of AUI, unless authorized to do so. If you identify yourself anywhere on a web site, blog, or text as an employee of AUI, we request you put the following notice in a reasonably prominent place on your site: “The views expressed on this web site/blog are mine alone and do not necessarily reflect the views of my employer.” If you conduct media activity in your personal capacity that could reasonably associate you with AUI or impact its reputation, AUI would appreciate courtesy awareness.

For purposes of this policy, social media activity includes all types of postings on the internet, including, but not limited to, postings on social networking sites, such as Facebook, LinkedIn, and Tumblr; blogs and other on-line journals and diaries; bulletin boards and chat rooms; microblogging, such as Twitter; and postings of video or audio on media-sharing sites, such as YouTube or Flickr. Social media activity also includes permitting, or failing to remove, posts by others whenever the employee can control the content of posts, such as on a personal page or blog.

Be mindful that the principles and guidelines found in AUI’s other policies in this Handbook apply to your activities online, including, but not limited to AUI’s policy against discrimination and harassment, and protecting confidential company information. You are solely responsible for what you post online. Before creating content, consider some of the risks and rewards involved. Also keep in mind that any of your conduct that adversely affects your job performance, the performance of fellow employees, or otherwise adversely affects AUI’s legitimate business interests may result in disciplinary action, up to and including termination.

AUI does not prohibit, and has no intention of prohibiting, employees from engaging in protected activities under the National Labor Relations Act (“NLRA”). Accordingly, this policy does not prohibit employees from lawfully complaining about management, co-workers, policies, or the Company, particularly regarding wages, hours and working conditions. Nothing in this social media policy is designed to interfere with, restrain, or prevent employee communications regarding wages, hours, or other terms and conditions of employment. Employees have the right to engage in or refrain from such activities.

Interacting with the News Media

From time to time, employees may receive requests from news media outlets on topics that relate to AUI, its programs or mission, or its activities as a nonprofit organization. These could be newspapers, radio programs, trade publications, blogs, or any other form of media. Employees may also be asked to comment or write articles, op-eds, etc. All possible media queries or proposed activities should be forwarded immediately to the AUI Director of Communications or your research center’s communications department for vetting before further interaction with the outlet. Early discussion with, and final approval by the AUI Director of Communications or your research center’s communications department is required prior to any media interaction (including backgrounding, comments on- or off-the-record, etc.). Authorized employee spokespeople will be the AUI Director of Communications, or an employee identified by AUI President for a specific interview.

Use of AUI's Name, Logo, and Letterhead

To prevent misunderstandings, personal correspondence, or correspondence on behalf of another institution shall never be written on AUI or Research Center stationery. Furthermore, the use of official job titles, or of AUI or Research Center logos, or the representation of one’s personal views as the official views of AUI or its Research Centers is prohibited unless authorized by AUI.



3.5 Records Management

AUI maintains records of its operations to conform to accepted business practices, to satisfy contractual obligations, and to meet legal requirements.

3.6 Publication Policy

3.6.1 General

Employees are free to engage in independent writing for their own benefit or profit provided that such writing (i) does not interfere with the performance of their regular duties with AUI, (ii) does not include or involve any of AUI's equipment, supplies, facilities, resources, confidential information, inventions, or other proprietary materials or processes, and (iii) is performed entirely on the staff member's own time, outside of the scope of their employment with AUI. Employees may enter into arrangements with publishers for such activities, including arrangements for the payment of fees or royalties.

Note — a member of the scientific staff on Professional Advancement Leave is not considered to be working for AUI and, consequently, is free to make any arrangements for independent writing consistent with the purpose of the leave and the requirements of the preceding paragraph regarding independent writing generally. Any fee or royalty received may be retained with no obligation to the sponsoring agency or to AUI. It is assumed that Professional Advancement Leave entails working away from the Research Center and that no part of the writing is done while engaged in regular duties with AUI either before or after taking such Leave.

3.6.2 Technical Papers Resulting from AUI Programs

The publication of the results of research conducted under its management is an essential part of the work of AUI, and an author of an AUI technical paper must not accept any remuneration in addition to the AUI salary for writing the paper. To assist an author with AUI papers, the Research Center provides all services connected with the preparation of the manuscript, (i.e., typing, graphic arts, library research, computing, etc.) as well as payment for page charges or any other costs associated with the publication in scientific journals or AUI reports. Publications of research results supported in part or in whole by AUI Research Centers must contain an acknowledgment of AUI's sponsorship as well as any contractually required acknowledgment.

Sponsoring Agency Requests—The preparation of reviews, articles, monographs, etc., requested by AUI's funding sponsors, is also considered part of an employee's regular duties; therefore, the author shall receive no extra compensation. Exceptions to this policy may be authorized by a Research Center Director only with the prior approval of the sponsoring agency and when the employee performs all work in addition to regular duties or is on leave without pay. The Research Center provides all services and bears any expense connected with the preparation of the manuscript.

Review Articles, Sections of Handbooks, Etc.

Preparation of non-AUI technical articles or reviews for commercial scientific or technical journals for which the author is paid a fee is governed as follows:

- i. There is no restriction on work of this kind if it involves only a negligible portion of the employee's time (i.e., if total effort during any one year amounts to less than one week working time), and does not include or involve any of AUI's equipment, supplies, facilities, resources, confidential information, inventions, or other proprietary materials or processes.



- ii. If the preparation of this type of publication requires that during any one year period, the author must reduce the time needed to perform regular duties by more than a week, the assignment of a portion of the fee in return for the provisions of services shall be made as described below under “Books.”

Books

When an employee proposes to write a book or any part of a book (such as an article for a handbook or encyclopedia, etc.), and such writing might interfere with the performance of the employee’s regular duties, the employee may proceed under the following conditions:

- i. The Research Center Director (or designee) must approve the project as appropriate to the work of the facility with regard to subject and time spent.
- ii. The employee must agree to assign, on an annual basis, to the institution that portion of the royalties or fees as defined by the formula $R = 2T$, where R is the fraction of the fee or the total royalties earned by the book per year, and T is the ratio, as estimated by the author, of that portion of the author’s time spent on writing, which conflicts with regular duties, to the total time the author spends in writing the book.
- iii. The employee must observe any guidelines issued by the funding sponsor when negotiating with the publisher of the contract for the payment of royalties or fees, the copyright ownership, and the author’s discounts.
- iv. In consideration of the assignment of a share of the royalties or fee as provided above, the Research Center shall, with the exception of editorial work normally provided by the publisher, furnish all services such as graphic arts, secretarial help, library services, computer time, etc., required to prepare the manuscript for publication.

3.7 Patents

As a condition of employment, each employee will be required to execute a patent agreement that reflects the provisions of AUI contractual agreements with its funding agencies, as well as, with the current AUI Patent Policy. The refusal of any employee to execute a patent agreement shall not reduce the employee’s responsibility under this Policy or the AUI Patent Policy. The provisions of AUI’s Patent Policy apply to all inventions which were conceived or first actually reduced to practice in the course of research at any AUI managed facility or funded activity, or which otherwise (i) relates to matters within the scope of the employee’s duties or field of responsibility with AUI, (ii) is based on the employee’s knowledge of the confidential information or the actual or anticipated research and development of AUI, and/or (iii) was developed in whole or in part by the use of time, materials, facilities, equipment, information, or other resources of AUI. ([See IP Licensing Policy + Form](#))

3.8 Travel Policy

AUI will pay for all reasonable travel and relocation expenses incurred by the Corporation’s Trustees, employees, and guests when travel has been authorized in advance by proper management authority. Such procedures will incorporate any special terms and conditions required by the organization funding the travel. (*See AUI Travel Policy 3.2.2*).

The use of privately-owned, leased, rented, or borrowed aircraft by an employee, Officer or Trustee for company travel is prohibited.



Policies pertaining to travel expenses incurred by AUI Trustees, Officers and other Corporate Office employees, guests and consultants shall be periodically reviewed by the Operations and Administration Committee.

Generally, key employees should avoid traveling together on the same aircraft.

4 Working For AUI

4.1 General Employment Practices

4.1.1 At-Will Nature of Employment

Employment with AUI is “at-will”. This means that you or AUI may end the employment relationship at any time and for any reason with or without notice. The “at will” relationship may be changed only in a written contract signed by the President & CEO.

This Handbook does not create any contractual obligation on the part of AUI or in any way indicate that termination will occur only for “cause.” Statements of specific grounds for termination discussed in the Handbook or in any other AUI documents are examples only, not all-inclusive lists, and are not intended to restrict the right of AUI to end the employment relationship at any time for any lawful reason.

4.1.2 Categories of Engagement

Each position at AUI is categorized in terms of engagement with AUI as either Regular or Temporary, and as either Full-Time or Part-time. The categories of engagement determine eligibility for benefits, equipment, and overtime pay. You may inquire as to your category of employment at any time, although you will generally be informed when you are hired and at any time there is a change in your employment status. For Temporary Employees, employment beyond any initially stated period does not in any way imply a change in employment category.

4.1.3 Employment Classification

Each employee is also designated as either non-exempt/overtime eligible or exempt/non-overtime eligible. Nonexempt employees are entitled to overtime pay under the specific provisions of federal and state laws. Exempt employees are excluded from specific provisions of federal and state wage and hour laws. You will be informed of your exempt or non-exempt employment status when you are hired. If you change jobs during your employment because of promotion or transfer, AUI will inform you of any change in your exemption status.

4.1.4 Eligibility to Work in the United States

AUI employs individuals who are authorized to work in the United States and in compliance with the Immigration Reform and Control Act of 1986. Each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility within the employee’s first three days of employment. Former employees who are rehired must also complete the form if they have not completed an I-9 with AUI within the past three years, or if their previous I-9 is no longer retained or valid. In the rare event that the new employee is traveling or is working remotely during the first three days of employment, the employer section can be completed by a notary public or assigned agent, in accordance with federal regulations.



4.1.5 Background Checks

AUI reserves the right to verify an individual's prior employment history, personal references, and educational background and otherwise conduct background checks in compliance with the federal Fair Credit Reporting Act (FCRA) and applicable federal, state, and local law. For more information on AUI's policy and procedures related to background checks see *Background Check Policy and Procedure #5.1.3.1*. [See Background Check Policy and Procedure #: 5.1.3.1](#)

4.1.6 Access to Employee Files

Employee files are the property of AUI, and access to the information they contain is restricted. Generally, only management of AUI with a legitimate reason to review information in a file can do so.

Employees and former employees who wish to review their personnel file should contact the HR representative, and access may be granted consistent with federal regulations. With reasonable advance notice and in accordance with state laws, employees may review their own files in AUI's offices and in the presence of an individual appointed by AUI to maintain the files. However, AUI reserves the right to withhold certain information or to prevent review of certain information in an employee's files if the information was given in confidence, with an expectation of non-disclosure, refers to other employees, contains medical information, or is otherwise deemed unsuitable for review or inspection to the extent permissible under applicable law.

The data in your employee file should be kept up-to-date as it impacts pay, deductions, benefits, and other matters. The HR information system allows employees to change some information directly. If you are changing your address to a different state, confirm with HR that AUI is authorized to operate in that state. If you have a change in any personal information that cannot be updated in the HR information system (e.g., your legal name or to add a dependent), provide the change to HR. Coverage or benefits that you and your family may receive under AUI's benefits package could be negatively affected if the information in your file is incorrect.

4.2 Working Hours

All employees should coordinate with their supervisor for specific working hours, which vary based on the location, job function, and department. An employee's schedule, including the timing of any breaks, may be adjusted at the discretion of AUI management.

4.2.1 Attendance & Punctuality

Staff are expected to report to work in accordance with set office hours. We do understand that everyone needs to be late from time to time. If you find that you're going to be late for work, you must notify your supervisor as soon as possible in accordance with the supervisor's communication preferences. If you need to leave early, obtain approval in advance from your supervisor know before you head out of the office. Doing these things will help your supervisor to know when to expect you at work and how your work might still get done, as needed, while you are out. However, no tardiness or absence is automatically considered to be "excused." Chronic, habitual, or excessive absenteeism or lateness, as judged by AUI in its discretion, may result in disciplinary action, up to and including termination. Requests to use vacation should be requested with as much advance notice as possible AND is subject to approval based on the organization's needs. If an absence is due to illness and is continuous for more than three days, the employee should notify HR to help determine if FML notice needs to be issued. Expectations on timekeeping are covered in Section 5.2.2.



4.2.2 Meal and Rest Breaks

AUI offers employees meal and rest breaks in compliance with applicable law. Employees with questions regarding the meal and rest breaks applicable to their employment should consult any state or worksite-specific policies and/or their HR Representative.

An uninterrupted meal break lasting 30 minutes or more will be unpaid for nonexempt employees. Nonexempt employees may not work through their meal break without prior authorization from a supervisor. Employees may not take a shorter meal break or skip a meal break to leave early without expressed permission from their supervisor.

4.2.3 Office Closures

In the event of severe inclement weather or other non-weather-related emergencies, AUI may determine that it is necessary to close the office for the safety of all employees. AUI will follow the federal government operating status to determine such office closures. If you are unsure if the office has closed, you are responsible for checking in with your supervisor to determine the status of an office closure and if you are to work from home. It is important that your supervisor has a personal telephone number and/or alternate email to be able to contact you for these situations.

AUI understands that AUI's workflow is likely to experience delays because of these office closures. To the degree practical in unanticipated office closures, you are asked to do your best to ensure that key projects continue to move forward and/or communicate with your colleagues or vendors about pressing or time-sensitive matters. Within the bounds of your role and available capacity, AUI asks you to do your best to maintain AUI's professional obligations and interactions. Employees whose job is normally on site may be asked to work remotely on a day when the office is officially closed. Employees who are otherwise scheduled to work from home on the day of an office closure are expected to work a full day.

Employees should use their judgment and consider their safety in making efforts to get to work. Employees unable to get to the office should let their supervisor know immediately.

4.3 Telecommuting & Remote Work Policy

Telecommuting and remote work agreements are voluntary alternative work arrangements offered to promote greater flexibility and work/life balance. Such agreements are not an entitlement, nor a benefit, and in no way changes the terms and conditions of employment. All alternative work arrangements must be approved by the employee's supervisor/manager or designee, Human Resources, and computing, as well as by the Chief Financial Officer (CFO) if the arrangement is for remote work. Telecommuting and remote work arrangements may be changed or terminated at any time with a two-week notice, when feasible, to the employee. For more information on requesting a telecommuting and remote work arrangement and the obligations of employees working under such an arrangement ([See Telecommuting and Remote Work Policy: # 5.1.3.2](#))

4.4 Employee Performance

AUI has established guidelines pertaining to employee conduct, performance, and responsibilities so that all employees can conduct themselves according to certain rules of good behavior and conduct. The purpose of these rules is not to restrict the rights of anyone, but rather to help all employees work together harmoniously according to the standards AUI has established to achieve our mission. Reasonable rules concerning the personal conduct of employees are necessary if AUI is to function safely and effectively. Employees will be kept informed of changes by their supervisors.



4.4.1 Performance Evaluations

Written performance appraisals for each employee shall typically be conducted at least annually. Performance reviews may be conducted more or less frequently, at any time, however, depending on AUI's judgment as to its business needs. The results of performance reviews may be considered with regard to compensation adjustments, promotions, and, with respect to scientific staff, for decisions regarding scientific appointments.

4.4.2 Unsatisfactory Performance or Misconduct

Generally, unexcused absence, tardiness, unprofessional conduct, insubordination, misrepresentation of facts, falsification of records, breach of confidentiality, misuse or theft of company property, violation of AUI policies, failure to meet the requirements of the job, or any other type of irresponsible, inappropriate, or unacceptable behavior may result in discipline up to and including involuntary separation of employment.

AUI, in its sole discretion, will determine the nature of the employee conduct that warrants discipline as well as the discipline to be imposed. Discipline may take one of the following forms: verbal counseling and reprimands, written reprimands, probation, involuntary transfers or demotions, and suspensions. AUI, however, has no obligation to use any one or more of these forms of discipline prior to discharging an employee. Any or all of these steps can be omitted as AUI deems appropriate, in its discretion. By implementing this policy, AUI is not relinquishing or limiting its right to discharge an employee for any or no reason at all, at any time, with or without notice.

4.4.3 Scientific Misconduct

As a Corporation, AUI is dedicated to the development of scientific knowledge, the training of students and the construction and operation of large facilities for broadly based scientific communities; because of this commitment AUI insists on the highest level of ethical conduct in all scientific and scholarly activities carried out by its staff.

Incidents of willful and knowing dishonesty are inconsistent with the goals and missions of the Corporation and will not be tolerated.

4.5 Personal Relationships in the Workplace

AUI is committed to fostering a professional work environment where all employees are treated fairly and impartially by their managers. An environment in which employees maintain clear boundaries between personal and business relationships is most effective for conducting business.

Your personal life outside of working hours at AUI and off AUI premises is generally regarded as private if it doesn't create problems within the workplace. Generally, we do not wish to intrude on the private lives of our employees; however, we've adopted this policy to avoid any conflicts of interest, misunderstandings, or the appearance of favoritism. While AUI does not prohibit friendships or romantic relationships between employees, we want to set forth clear guidelines as to how relationships should be conducted in the workplace.

Intimate personal relationships between supervisors and subordinates may result in workplace problems, such as a lack of objectivity in supervising and evaluating employees, the perception of favoritism by other employees (whether justified or not), and the potential for sexual harassment claims if a relationship ends. Therefore, supervisors are prohibited from dating, engaging in amorous relationships with, or participating in sexual relations with employees who report to them, either directly or indirectly. In addition, spouses and immediate family members are prohibited from reporting



directly to one another but working within the same organization or having other reporting relationships is generally acceptable.

Employees in a direct or indirect supervisory relationship who begin dating or having amorous relationships with one another, or who become married or related to one another during their employment, may request a transfer to comply with this policy. While AUI will attempt to accommodate such requests, it reserves the sole right to deny such requests based on its business needs. In other cases where a conflict of interest or the potential for a conflict of interest arises because of the relationship between employees, even if there is no line of supervisory authority or reporting involved, AUI will decide the appropriate action to take under the circumstances, which may include separating the employees by reassignment or transfer, or the termination of one or more employees in the sole discretion of AUI.

For purposes of this policy, “immediate family” includes significant others (such as unmarried couples who live together), spouse, parent, child, step-parent and step-child relationships, in-law relationships, grandparents, aunts, uncles and cousins (including analogous relationships with the parents and children of an employee’s significant other). This policy covers all family-like relationships, regardless of blood or legal relationship.

4.6 Acceptance or Conveyance of Gifts, Gratuities, and Favors

AUI employees shall not give or accept gifts, gratuities, or special favors of any substantive value to or from any party with whom AUI conducts or is considering establishing a business relationship. When gifts, gratuities, or special favors of nominal value (consistent with federal regulations) are conveyed or received by employees, such exchanges shall be governed by the following guidelines:

- Ordinary business courtesies, such as payment for a modest lunch or dinner in connection with a business meeting are permitted provided that employees make reasonable efforts to keep such courtesies on a reciprocal basis to demonstrate that no special favor is sought or granted.
- Retention of advertising novelties is permitted, provided the item has no appreciable value and is widely distributed to others having the same sort of business relationship with the donor.
- Offers by present or potential suppliers or contractors to provide expense paid trips, whether for business or pleasure, must be declined. Authorized expenses for business trips to a supplier or subcontractor facility or other destination are to be paid by AUI in accordance with established business travel policy.
- When an employee has a close personal or familial relationship with a person representing a supplier or subcontractor, the employee must identify the situation to their supervisor and disqualify themselves from participating in the decision-making process involving that supplier or subcontractor.
- AUI employees must comply with all regulations concerning the offering of gifts, favors, gratuities, and entertainment to government employees. Accordingly, AUI employees who have business relationships with government personnel are expected to be familiar with pertinent regulations. While it is recognized that such regulations may allow government employees some discretion in accepting such items of nominal value, it is imperative that AUI employees do not place government personnel in situations that could be mistakenly interpreted as contravening these regulations.



4.7 Political Activity

As an employee of AUI, personal views and political philosophies shall not be expressed when acting in an AUI official capacity. When engaging in political activity on their own time, employees should avoid any appearance that they are speaking or acting for or on behalf of AUI.

4.8 Attire at Work

AUI has a “Dress for Your Day” personal attire philosophy. It is AUI’s goal to provide a comfortable and professional working environment. Employees may choose attire based on their business interactions for that day and personal comfort needs. Employees are expected to present a “put together,” neat, and clean appearance either in-person or virtually. Clothing should not be disheveled, revealing, or otherwise inappropriate.

There will be occasions when more business casual or business formal attire will be appropriate, either individually or office wide. These occasions may include hosting or meeting a customer; representing AUI outside the office; or when Board Members or other important visitors are present in the office. On these occasions, please assume that you should dress in business formal attire.

AUI asks employees to use their best judgment in following this policy. If you are unsure if a specific outfit or article of clothing is acceptable, please ask your supervisor or Human Resources. Management reserves the right to determine appropriateness. Employees who do not meet the attire guidelines may be asked to change. Employees who are unable to comply with this policy because of religious observances must advise the HR representative of such concerns. AUI administers its dress code policy in accordance with its policies prohibiting any and all unlawful discrimination and harassment.

5 AUI Total Rewards Program

5.1 Total Rewards Program Overview

The AUI Total Rewards program for employees comprises the monetary and non-monetary return provided in exchange for their time, talents, efforts, and results. The Total Rewards program is periodically reviewed for ensure best practices are followed and the program maintains competitiveness against peer organizations. The program includes a mix of offerings strategically designed to attract and retain dedicated, highly qualified, competent, and motivated employees to support the mission and vision of AUI.

5.2 Compensation

5.2.1 Pay Schedule

All employees are paid on a regular basis, currently bi-weekly. Each paycheck will include earnings for all work performed through the end of the current payroll period.

If a regularly scheduled payday falls on a day off, such as a weekend or holiday, employees will receive pay on the last day of work before the regularly scheduled payday.

Employees will have pay directly deposited into their bank accounts and must provide advance written authorization to AUI. Employees will receive an itemized statement of wages when AUI makes direct deposits.



5.2.2 Timekeeping

It is the policy of AUI that each employee is responsible for timekeeping compliance. Time must be reported accurately, including to the appropriate business activity, in the electronic time keeping system (ETK) to ensure salaries and wages charged reflect the work performed.

It is our policy to comply with all requirements of the Fair Labor Standards Act (FLSA) and applicable state law.

Nonexempt Employees. Employees who are classified as nonexempt are paid on an hourly basis and must accurately record the time they work each day.

When employees receive their paychecks, they should verify immediately that their working time was recorded accurately and that they were paid correctly for all hours worked.

Nonexempt employees must report all time worked and not work any time that is not authorized by their supervisors. This means nonexempt employees must not start work early, finish work late, work during a meal break, or perform any other extra or overtime work unless directed to do so. Consistent with our timekeeping policies and practices, all employees must certify their recorded time for their supervisor/ manager review and approval.

It is a violation of AUI's policy for anyone to instruct or encourage another employee to work "off the clock," to incorrectly report hours worked, or to alter another employee's time records. If any employee is directed or encouraged to incorrectly report hours worked, or to alter another employee's time records, the employee should report the incident immediately to a supervisor. Misrepresentation of the amount of actual time worked may be grounds for disciplinary action, up to and including termination.

Exempt Employees. Exempt employees are paid on a salary basis. Employees who are classified as exempt must record all absences from work for reasons such as leaves of absence, sick leave, or vacation, for certification of time reported.

If an exempt employee believes that an improper deduction has been made to their salary, the employee should immediately report this information to Human Resources, or the payroll department. Reports of improper deductions will be promptly investigated. If it is determined that an improper deduction has occurred, the employee will be promptly reimbursed for any improper deduction made.

5.2.3 Overtime Pay

When operating requirements or other needs cannot be met during regular working hours, nonexempt employees may be scheduled to work overtime hours. When possible, advance notification of these mandatory assignments will be provided. All overtime work must receive the supervisor's prior authorization. Working overtime without prior authorization will subject an employee to discipline, up to and including termination.

Overtime compensation is paid to all nonexempt employees in accordance with federal and state wage and hour requirements. Overtime pay is based on actual hours worked. Time off on sick leave, vacation leave, or any leave of absence will not be considered hours worked for purposes of performing overtime calculations.

Exempt employees do not receive compensation based on the hours worked and are therefore ineligible for overtime pay. Inquiries regarding overtime should be directed to your supervisor.

5.2.4 Pay Deductions

AUI is required by law to make certain deductions from an employee's paycheck each pay period. Among these deductions are federal and other applicable income taxes and social security. These



deductions will be itemized on the check stub together with any additional voluntary deductions authorized by the employee. The number of deductions is dependent upon, among other things, the number of dependents/exemptions claimed by the employee on their W-4 form. If an employee's marital status changes or the number of exemptions previously claimed increases or decreases, the employee must submit a new W-4 form for AUI to make appropriate deductions from the employee's paycheck. AUI will not make any unauthorized deductions from employee paychecks.

AUI offers programs and benefits beyond those required by law. Eligible employees may voluntarily authorize deductions from their paychecks to cover the costs of participation in these programs.

Employees who have questions concerning any deductions made from their paycheck or how they were calculated should contact the Payroll Department.

5.2.5 Errors in Pay

Every effort is made to avoid errors in your paycheck. If you believe an error has been made, inform the Payroll Department immediately. They will take the necessary steps to research the problem and to assure that any necessary correction is made properly and promptly.

5.3 Employee Benefit Programs

AUI offers a core set of benefits to all eligible employees, including medical, dental, life insurance, retirement plans (defined contribution), and paid time off among others. Employees should check the AUI Benefit Summaries provided to all employees annually as part of the open enrollment for the full listing of benefits. Research Centers may offer other and/or additional benefits programs to meet special requirements. Please refer to the AUI Benefit Summaries for detailed benefit information regarding the benefits. Employees should reference the summary plan descriptions for details regarding each of the insurance plans. In the event there is a question or conflict in language or interpretation between plan documents or contracts in relation to the provisions of this Handbook, the actual contracts and other plan documents will control. Employees may reach out to their HR Representative to request additional copies of the summary plan descriptions.

In accordance with applicable law, AUI reserves the right to modify, alter or terminate all employee benefit plans at any time, with or without prior notice.

5.4 Tuition Assistance Program

Eligible employees may be reimbursed for successfully completing formal courses that are pertinent to their careers or degrees that are pertinent to their work, or for successfully completing vocational training courses. Prior approval is required to participate in the program. When required by tax regulations, payments will be reported to the appropriate taxing authorities.

5.5 Award Programs & Service Awards

(See the Total Rewards [Policy](#))

5.6 AUI Scholarship Program

Under the AUI Scholarship Program college scholarships are awarded each year to children of eligible AUI employees who plan to attend an accredited college, university, or trade school. To be eligible, candidates must be accepted for admission at an accredited institution of higher education for a course of study from two to four years that culminates in a degree (or an equivalent certification as determined by AUI) and have a minimum 2.5 GPA.



The scholarship stipends are made directly to the school to defray normal college expenses such as tuition, room and board, and other required fees.

Scholarships will normally continue for up to four years if prescribed scholastic standards are maintained. If baccalaureate requirements are completed in less than four years, or if the student enters graduate school before receipt of the baccalaureate degree, the remaining term of the original four year scholarship may be applied against comparable expenses of a graduate degree program. Similarly, a scholarship recipient who has originally undertaken a two year program leading to an associate degree may request that the scholarship be continued for an additional two years for attainment of a baccalaureate degree.

5.7 Relocation Policy

Relocation costs may be reimbursed to a new or an existing full-time employee, when at AUI's request, the employee relocates their permanent residence to assist AUI in achieving important work objectives. Such expenses shall be authorized only when the new job location is significantly more distant from the employee's existing residence, as determined by AUI in its sole discretion. Additionally, authorization for reimbursement shall be:

- made in writing and in the case of a Corporate Office employee, signed by the President, or, in the case of a Research Center employee, signed by the Research Center Director or their designee;
- cited as a specific dollar amount beyond which the employee shall not be reimbursed;
- limited to specific categories of relocation expenses that will be identified in writing;
- reported as relocation expenses to the appropriate taxing authorities if required by law; and
- subject to the approval of the funding agency when required by the terms of a contractual agreement.

5.8 Time Away from Work (Paid Time Off, PTO)

5.8.1 Leave Programs

AUI provides a wide range of leave programs that permit eligible employees with opportunities to take paid and unpaid time off from their jobs to accommodate professional and personal needs. In the sections below, this handbook summarizes a few of the more frequently used leave programs offered by AUI.

In addition to the policies outlined in this handbook, AUI administers policies in accordance with state law. Research Centers have also developed policies and procedures addressing different types leave. For instance, employees may be eligible for some or all of the types of leave summarized here, and should consult standalone policies specific to their employment or their HR Representative for more information.

5.8.2 Vacation

Regular employees, upon approval, may take vacation time. Eligible full-time employees earn vacation time as follows:

- Exempt: 7.39 hours accrued on a per pay period basis
- Nonexempt: 3.70 hours per pay period during their first year of employment; 7.39 hours accrued per pay period, thereafter



Eligible part-time employees may accrue vacation time on a prorated basis and is based on their official work schedule.

Full-time employees may carry over up to a maximum of 192 hours from one calendar year to another based on the payroll calendar. Accrued, unused vacation leave in excess of 192 hours will be forfeited. Terminating employees will be compensated for no more than 192 hours or, in the case of eligible part-time employees, the pro rata equivalent of 192 hours.

5.8.3 Sick Leave

Sick Leave is granted to eligible employees by AUI to provide continuity of income during absences occasioned by illness, injury, or other reasons under applicable law. Accrued Sick Leave is payable as of the first day of illness or injury.

Sick leave benefits are determined by an employee's status and work schedule and detailed in worksite and/or state-specific policies regarding the accrual and permissible uses of sick leave. Employees receive no payment for accrued but unused sick leave upon separation for any reason. When taking sick leave, an employee must notify their immediate supervisor within a reasonable time before the start of the employee's scheduled time to work to the extent possible.

- An employee may be required by the supervisor under specific conditions to submit a physician's statement to support an absence when taking sick leave, with the exception of FML protected leave, in accordance with applicable law.

Abuse of sick leave by an employee will not be tolerated. Examples of sick leave abuse/misuse include, but are not limited to, failing to: follow the sick leave policy; follow verbal or written instruction from the supervisor or management; provide proper advance notice of an absence when possible; report/record an absence properly; or submit a medical certification upon request.

Abuse or misuse of sick leave shall constitute grounds for dismissal or other appropriate disciplinary action. Please note that state specific provisions may differentiate accrual amounts depending on employee location.

Employees with questions regarding sick leave benefits should consult the worksite and/or state-specific applicable to their work location and may contact their HR Representative.

5.8.4 Time Off to Vote

AUI encourages all employees to fulfill their civic responsibilities and to vote in official public elections. Most employees' schedules provide sufficient time to vote either before or after working hours. AUI will provide time off to vote in accordance with applicable law. Employees should consult the worksite and/or state-specific applicable to their work location and may contact their HR Representative for specific details.



5.8.5 Holidays

The AUI offices will generally be closed on the following holidays:

- New Year's Day
- Martin Luther King, Jr. Day
- President's Day
- Spring Holiday
- Memorial Day
- Juneteenth
- Independence Day
- Labor Day
- Veterans Day
- Thanksgiving Day
- Day after Thanksgiving
- Christmas Eve
- Christmas Day

Full-time and leave eligible part-time employees are paid for all officially recognized holidays. Currently, these are the observed holidays of AUI, subject to annual management review and revision. A holiday occurring on Saturday is observed on the preceding Friday. A holiday occurring on Sunday is observed on the following Monday.

5.8.6 Jury Duty

AUI provides time off for jury duty and witness appearances in accordance with applicable law. On any day or half-day employees are not required to serve, immediate return to work is expected.

5.8.7 AUI Uniformed Services Leave Policy

This policy applies to all current full-time and part-time employees and applicants who are members of, have applied for membership in, or are obligated to serve in, the "uniformed services", including the Army, Navy, Air Force, Marines, Coast Guard, Public Health Service Commissioned Corps, the reserve components of those services, the National Guard and any other group of individuals designated by the President in time of war or national emergency (collectively, the "uniformed services").

The Uniformed Services Employment and Reemployment Rights Act of 1994 is a federal law intended to ensure that persons who serve or have served in the Armed Forces, Reserves, National Guard or other "uniformed services": (1) are not disadvantaged in their civilian careers because of their service; (2) are promptly reemployed in their civilian jobs upon return from duty; and (3) are not discriminated against in employment based on past, present or future military service.

AUI follows the guidelines established by the Uniformed Services Employment and Reemployment Rights Act (USERRA) regarding military leave. ([See AUI Uniformed Services Leave Policy 5.1.2.1](#))

5.8.8 Family and Medical Leave (FMLA)

This policy supports the legal requirements for family and medical leave under the Family Medical Leave Act. "The FMLA entitles eligible employees of covered employers to take unpaid, job-protected leave for



specified family and medical reasons with continuation of group health insurance coverage under the same terms and conditions as if the employee had not taken leave.”

The full description of eligibility, requirements and employee rights can be found in the AUI Family and Medical Leave Policy (<https://info.nrao.edu/hr/policy/>)

Federal FMLA

AUI will grant family and medical leave to eligible employees in accordance with the applicable laws.

State family and medical leave laws are addressed separately in the corresponding state supplements to this Handbook. If leave qualifies for both Federal FMLA under this policy and state family and medical leave or other similar leave, the leave shall count against an employee’s entitlement and run concurrently under both federal and state law.

Employee Eligibility

To be eligible for FMLA leave benefits, employees must: (1) have worked for AUI for a total of at least 12 months; (2) have worked at least 1,250 hours over the previous 12 months as of the start of the leave; and (3) have worked at a location where at least 50 employees are employed by AUI within 75 miles, as of the date the leave is requested. Eligibility requirements may differ for employees who have been on a protected military leave of absence. If employees are unsure whether they qualify for FMLA leave, they should contact the HR Representative.

6 Leaving AUI

6.1 Retirement

AUI has no mandatory retirement age. However, the AUI retirement programs, together with statutory programs, are structured to provide career employees with an adequate array of retirement benefits. The decision to retire is an extremely important event that should begin with advance financial planning well before actual retirement. Additionally, because of the impact upon AUI programs, employees are encouraged to discuss the timing of their retirements with management to minimize the impact of their departures upon ongoing operations.

For scientific staff, AUI may approve a Gradual Retirement option to reduce the impact of an employee’s planned retirement on the research and the Research Center. Under this option, AUI would have the flexibility to recruit new staff and manage the transition, which in research may take a year or more.

In accordance with applicable law, AUI reserves the right to modify, alter or terminate any or all of its retirement programs at any time, with or without prior notice.

6.2 Separation of Employment

Employment with AUI is at-will and accordingly, may be ended voluntarily or involuntarily by the employee or AUI at any time for any reason with or without notice, unless the employment relationship is otherwise governed by a written employment agreement between AUI and the employee.

However, if an employee intends to resign, an employee is requested to provide as much notice as possible to their supervisor to facilitate a clear transition. It is suggested that, at a minimum, exempt employees provide at least one month’s advance notice and that nonexempt employees provide at least



two weeks' notice. AUI will generally schedule an exit meeting close to the last day. In the exit meeting, clarity will be provided about employee benefits, benefit conversion privileges, and the return of AUI-owned property. During this meeting, exiting employees may also voice suggestions, complaints, feedback, and any additional questions you may have.

6.3 Separation Process

When an employee separates from service, the employee must return all AUI-related information and property that the employee has in their possession, including without limitation, documents, files, passwords and electronic signatures, records, manuals, books, laptop computer, supplies, equipment, keys, ID cards, motor vehicle ID cards (NAS-007), corporate credit cards, and mobile devices. The employee must not modify, alter, or destroy any AUI-related information or property prior to its return. The modification, alteration, or destruction of any property owned by AUI may result in AUI taking legal action against the employee.

6.4 Status of Benefits Upon Employment Termination

Upon termination of employment, final wages will be paid in accordance with applicable state and local laws. Employees should consult the worksite and/or state-specific applicable to their work location and may contact their HR Representative regarding payment of accrued, unused vacation leave upon separation.

6.5 Employee Reference Check Policy

With respect to current and former AUI employees, it shall be the policy of AUI to respond to requests for references by providing only the date of hire, the date of termination, and the dates worked, regardless of the cause of termination. AUI will provide neither positive nor negative references, on or off the record, for any current or former employee.



7 Acknowledgment of Receipt and Review

By signing below, I acknowledge that I have received a copy of the AUI Employee Handbook and that I have read it, understand it, and agree to comply with it. I understand that AUI has the maximum discretion permitted by law to interpret, administer, change, modify, or delete the rules, regulations, procedures, and benefits contained in the handbook at any time with or without notice. No statement or representation by a supervisor, manager, or any other employee, whether oral or written, can supplement or modify this handbook. Changes can only be made if approved in writing by the President & CEO of AUI. I also understand that any delay or failure by AUI to enforce any rule, regulation, or procedure contained in the handbook does not constitute a waiver on behalf of AUI or affect the right of AUI to enforce such rule, regulation, or procedure in the future, and AUI expressly reserves the right to act without a procedure or policy previously in place.

I understand that neither this handbook nor any other communication by a management representative or other, whether oral or written, is intended in any way to create a contract of employment. I further understand that, unless I have a written employment agreement signed by an authorized Company representative, I am employed "at-will" (to the extent permitted by law) and this handbook does not modify my "at-will" employment status. The "at will" relationship may be changed only in a written contract signed by the President & CEO.

If I am covered by a written employment agreement (signed by an authorized Company representative) or a collective-bargaining agreement that conflicts with the terms of this handbook, I understand that the terms of the employment agreement or collective-bargaining agreement will control.

This handbook represents only a general summary of the policies, procedures and benefits applicable to AUI employees. Employees are expected to read and review any other policies and procedures issued by Research Centers and/or applicable to their specific work locations. Employees with questions regarding policies applicable to their employment should consult with their HR Representative.

This handbook is not intended to preclude or dissuade employees from engaging in legally protected activities under the National Labor Relations Act (NLRA).

This handbook supersedes any previous handbook or policy statements, whether written or oral, issued by AUI.

If I have any questions about the content or interpretation of this handbook, I will contact Human Resources.

Signature

Date