



LEON COUNTY  
**R&D**  
AUTHORITY

---

*FOSTERING ECONOMIC  
DEVELOPMENT AND  
WORLD-CLASS RESEARCH*

**2017-2018**  
Board of Governors  
MANUAL



## BOARD OF GOVERNORS MANUAL

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## ABOUT THE LEON COUNTY RESEARCH & DEVELOPMENT AUTHORITY

- The Leon County Research and Development Authority is a **Florida Dependent Special District** established under Florida Statute 159.703.
- The Authority must comply with the **Florida Special District Handbook**.
- The Authority does not collect or pay taxes, and does not use any tax dollars.
- The Authority can issue bonds for construction; the only current bond is on the Centennial Building at Innovation Park.
- The Authority manages 208 acres, **Innovation Park**, leased from the Board of Trustees of the Internal Improvement Trust Fund from the State of Florida through 2074. The Authority cannot sell this land.
- The Authority owns two private parcels of land:
  - 12.1 acres adjacent to Innovation Park
  - 18 acres parcel near Eisenhower and Orange on the site of an old borrow pit
- All activities must comply with Florida's extensive **Sunshine Laws**. All Board and Committee meetings are open to the public and must be publically noticed. A meeting is a gathering of any two or more board or committee members.

### **Mission Statement as set by Florida Statute**

The mission of the Leon County Research and Development Authority is to work in affiliation with **Tallahassee Community College**, **Florida A&M University** and **Florida State University** to develop Innovation Park to:

- promote scientific research and development activities;
- foster economic development and broaden the economic base of Leon County.

### **Strategic Planning**

The Leon County Research and Development Authority adopted a 5-year **Strategic Plan** (2011 to 2016) with four overarching Strategic Goals:

1. Maintain and operate the Authority with the highest level of integrity, transparency, and accountability.
2. Be the premier organization that develops high-tech businesses in the community, provides resources and support for startup businesses, and facilitates networking with existing businesses, educational institutions, government and economic development organizations.
3. Create and promote Innovation Park as an environment where people desire to work, collaborate, research and relax.
4. Develop a strategic plan for the "highest and best use" of land owned or acquired by the Authority.



These goals are just the beginning. The intention is to transform the Authority into a valued community partner and key driver of a vibrant technology and innovation based economic development in Leon County. Innovation Park will become a world-class destination where academic R&D is transformed into innovative new business enterprises, and where innovative individuals and organizations can share their technical knowledge and promote economic development.

### **Innovation Park Campus**

Spread over 208 acres of scenic woods in Florida's panhandle, Innovation Park has offices for rent and building sites ready for development. Innovation Park is home to top-notch university and commercial research and development organizations. There are currently approximately 1,900 employees occupying 17 buildings.

### **Innovation Park – Land Development**

Land development is regulated by the Authority's Development Review Committee (DRC), the **Planned Unit Development Amendment** approved May 2013 (PUD), and protective **Covenants & Restrictions**. After the DRC approves a site plan, companies need to obtain the appropriate permits from the city, state and county.

### **Governance**

The Authority is run by an appointed nine-member **Board of Governors** as outlined in its **Bylaws**.

The Leon County Board of County Commissioners appoints seven members to 4-year terms with a term limit of two consecutive terms. Current Board of Governor Leon County members appointed for FY 2017-2018 are:

- Paul Dean, Danfoss Turbocor  
Term ends: 9/30/2018
- Kim Dixon, Merrill Lynch  
Term ends: 9/30/2020
- Kristin Dozier, Leon County Board of County Commissioners  
Term ends: 12/31/2018
- Anne Longman, Lewis Longman & Walker  
Term ends 9/30/2018
- David Ramsay, Retired, SunTrust Bank (Retired)  
Term ends: 9/30/2018
- April Salter, Salter>Mitchell  
Term ends: 9/30/2020
- Kim Williams, Marpan  
Term ends 9/30/2020

The presidents of each college/university serve as members or appoint a designee and an alternate designee. Current Board of Governor higher education members appointed for FY 2017-2018 are:

- Kimberly Moore, VP of Workforce Development, Tallahassee Community College
- Rick Frazier, *alternate designee*, Director Workforce Training & Business Services - Workforce Development, Tallahassee Community College



- Shawnta Friday-Stroud, Dean, School of Business and Industry, Florida A&M University
- Keith Bowers, *alternate designee*, Regional Director, FSBDC at Florida A&M University
- Eric Holmes, Assistant Vice-President for Research, Florida State University
- Ross Ellington, *alternate designee*, Associate VP for Research, Florida State University

The mayor of Tallahassee serves as a member or appoints a designee. The current Board of Governor City of Tallahassee member appointed for FY 2017-2018 is:

- Dustin Daniels, Mayor's Office, City of Tallahassee

Officers are elected annually at the September board meeting. Officers for FY 2017-2018 are:

- Dave Ramsay, Chair
- Kim Williams, Vice Chair
- April Salter, Treasurer
- Anne Longman, Immediate Past Chair

The Board has organized itself into a number of committees (Audit, Budget, Bylaws, Executive, Investment Advisory) that meet regularly. Some of the committees, like the Investment Advisory Committee and Jumpstart Committee, have a membership comprised of Board members and non-Board members.

The full committee list and assignments for FY 17/18 can be seen at page 30.



## BOARD OF GOVERNORS CONTACT INFORMATION

As of October 1, 2017

### EXECUTIVE COMMITTEE

**Mr. David Ramsay, Chair**

Retired, Chairman, President & CEO  
SunTrust Bank, Northwest Florida  
9048 Shoal Creek Dr  
Tallahassee, FL 32301  
(850) 893-6434  
davidramsay3@gmail.com  
*Appointed by Leon County Commission*  
*Term 10/01/16-09/30/18*

**Mr. Kim Williams, Vice Chair**

President  
Marpan Supply  
PO Box 2068  
Tallahassee, FL 32316  
kim@marpan.com  
(850) 545-6864  
*Appointed by Leon County Commission*  
*Term 10/01/16-09/30/20*

**Ms. Anne Longman, Immediate Past Chair**

Shareholder, Lewis, Longman & Walker  
315 S. Calhoun St, Suite 830  
Tallahassee, FL 32301  
(850) 222-5702  
alongman@llw-law.com  
*Appointed by Leon County Commission*  
*Term 10/1/14-9/30/18*

**Ms. April Salter, Treasurer**

Owner  
Salter>Mitchell  
117 S Gadsden St  
Tallahassee, FL 32301  
april.salter@saltermitchell.com  
(850) 681-3200  
*Appointed by Leon County Commission*  
*Term 10/01/16-09/30/20*

**Honorable Kristin Dozier, Member at Large**

Commissioner, Leon County Board of County  
Commissioners  
Leon County Courthouse  
301 South Monroe St  
Tallahassee, FL 32301  
(850) 606-5365  
dozierk@leoncountyfl.gov  
*Appointed by Leon County Commission*  
*Term 12/14/14-12/01/18 or until no longer*  
*Commissioner*



## GOVERNORS

### **Mr. Keith Bowers**

Regional Director, FSBDC at Florida A&M University  
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### **Mr. Dustin Daniels**

City of Tallahassee Mayor's Office  
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*Designee of the Mayor of the City of Tallahassee*

### **Mr. Paul Dean**

Vice President of Operations  
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Tallahassee, FL 32310  
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*Appointed by Leon County Commission  
Term 10/01/16-09/30/18*

### **Ms. Kimberly S. Dixon**

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Term 10/01/16-09/30/20*

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### **Dr. Shawnta Friday-Stroud**

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### **Dr. Eric H. Holmes**

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*Designee of the President of Florida State University*



**Ms. Kimberly Moore**

Vice President for Workforce Innovation at  
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*Designee of the President of Tallahassee  
Community College*



**LCRDA STAFF**

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**Executive Director**

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rmiller@inn-park.com

**Director, Entrepreneurial Excellence  
Program**

Larry Lynch  
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**Director of Programs & Communications**

Denise Bilbow  
dbilbow@inn-park.com

**Administrative Coordinator**

Peggy Bielby  
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**General Counsel**

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**Property Manager**

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## BYLAWS OF LEON COUNTY RESEARCH AND DEVELOPMENT AUTHORITY

Adopted March 18, 1981

Amended

March 18, 1981

May 14, 1981

August 18, 1993

October 15, 2002

February 1, 2011

May 10, 2011

January 10, 2013

December 4, 2014

August 4, 2016

August 3, 2017



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## **ARTICLE I - GOVERNANCE**

### **1.1 Definitions.**

- a.) “Authority” shall mean The Leon County Research and Development Authority.
- b.) “Board” shall mean the Board of the Authority.
- c.) “Commission” shall mean the Leon County Commission.
- d.) “Ex-Officio Member” means a person who is a member of the Board by virtue of the office or position they hold. An Ex-Officio Member shall have exactly the same rights as all other members including the right to vote on all matters, unless another applicable statute provides otherwise.
- e.) Whenever the phrase “Florida’s Government in the Sunshine Law” is used it shall refer to Section 286.011, Florida Statutes.
- f.) “Innovation Park” shall mean the Research and Development Park operated by the Authority on property owned by the Florida Board of Trustees of the Internal Improvement Trust Fund in Leon County, Florida and leased to the Leon County Research and Development Authority pursuant to Lease Agreement dated January 28, 1980.
- g.) The use of the masculine gender shall also include the feminine.
- h.) “Affiliated Institution of Higher Education” shall mean Florida State University, Florida Agricultural and Mechanical University, and Tallahassee Community College.



- i.) “Present” shall mean physically or electronically in attendance and legally entitled to vote.
- j.) “Electronic Means” for participating in meetings may include the use of such devices as a speaker telephone or any other communications media that allows the absent member to participate in discussions, and to be heard by other board members and the public during the meeting.

### 1.2 Identity and Principal Office.

- a.) **Identity.** These are the Bylaws of the Leon County Research and Development Authority, a public body corporate.
- b.) **Principal Office.** The principal office of the Authority shall be at 1736 West Paul Dirac Drive, Tallahassee, FL 32310, or at such other place as may be subsequently designated by the Board.

### 1.3 Background.

The Leon County Research and Development Authority was created as a public body corporate pursuant to the enactment of 78-402, Laws of Florida, which created the Florida Research and Development Commission and provided for the creation of five-member Research and Development Authorities. The Charter of the Authority was filed with the Secretary of State on October 24, 1978. On July 1, 1979, pursuant to the enactment of 79-101 Laws of Florida, Part V of Chapter 159, Florida Statutes, was created. This amendment expanded the powers of authorities to provide for financing of projects. Section 159.75, Florida Statutes, required any authority established prior to this enactment, to reconstitute itself under the amended statute in order to be able to exercise any power to issue bonds or other debt obligations pursuant to Sections



159.74(6) and (7), Florida Statutes. On December 16, 1980 Ordinance 80-68 was adopted by the Commission. Ordinance 80-68 confirmed the creation and existence of the Authority pursuant to Section 159.704(3), Florida Statutes.

#### **1.4 Purpose.**

The Authority was created to promote scientific research and development, in affiliation with, and related to the research and development activities of state-based, accredited institutions of higher education and to foster economic development and the broadening of the economic base of Leon County in conjunction with institutions of higher education.

#### **1.5 Membership.**

a.) **Members Appointed by the Commission.** The Board shall consist of at least five (5) members who are residents and electors of, or have their principal place of employment in, Leon County, appointed by the Commission pursuant to Section 159.703(3), Florida Statutes. Pursuant to Leon County Board of County Commissioners Resolution 16-19, the number of members appointed by the Commission is seven (7), six (6) of which shall be at-large members. The terms of the members appointed by the Commission shall be for four (4) years. One Board member shall be a member of the Commission who shall serve a term of four (4) years or until such time such appointee ceases to be a member of the Commission.

b.) **Ex-Officio Members.** The Board shall also include the Mayor of the City of Tallahassee or the Mayor's designee, the President of Florida State University, or the President's designee, the President of Florida Agricultural and Mechanical University, or the President's designee, and the President of Tallahassee Community



College, or the President's designee. Each of the members indicated in this paragraph shall serve in an Ex-Officio capacity as defined in Section 1.1(d) herein.

- c.) **Term of Membership.** An Ex-Officio member shall serve for so long as the member serves in his respective position. If the member serves as a designee of a member in Section 1.5(b), the member shall serve as long as he remains a designee, subject to the provisions of Section 1.8(a) herein.
- d.) **Change in Designee.** If the Commission or an Ex-Officio member changes his designee to the Board, notification of such change must be provided in writing to the Chairman and to the Executive Director within at least ten days of the change. The President of each Affiliated Institution of Higher Education may designate one alternate designee. Any such designation shall be provided in writing to the Chairman and to the Executive Director at least 24 hours prior to an alternate participating in a meeting.

## 1.6 Meetings

- a.) **Annual Meeting.** The first meeting of the Board in October shall be the Annual Meeting. At the Annual Meeting the Board shall, if not previously adopted, adopt the budget for the current fiscal year and the Chair shall make initial appointments of members to committees.
- b.) **Regular Meetings.** Regular meetings of the Board shall be held not less than quarterly. The Board may dispense with any regular meeting which the Chair in consultation with the Executive Director deems to be unnecessary.



- c.) **Special Meetings.** Special meetings require seventy-two (72) hours advance notice to the public. Special meetings of the Board may be convened in the following manner. Special meetings of the Board may be called at any time by the Chair. A special meeting shall also be called if the Executive Director receives a written request to convene a special meeting to discuss the same subject from three (3) members of the Board. In such event the Chair shall convene a special meeting consistent with the notice provisions of this paragraph.
- d.) **Notice.** All meetings of the Authority shall be publicly noticed in compliance with Florida's Government in the Sunshine Law to ensure full participation of the public. Notice of meetings shall be published in the Florida Administrative Weekly.

### 1.7 Quorum and Voting.

- a.) **Quorum.** A majority of the members of the Board shall constitute a quorum.
- b.) **Voting.** Each member of the Board shall have equal voting rights and privileges. The affirmative vote of a majority of the members Present shall be necessary for any action taken by the Board. Pursuant to Section 159.703(6), Florida Statutes, the President of each Affiliated Institution of Higher Education or that President's designee shall be Present and vote on any action taken by the Board involving the issuance of bonds or the transfer, development, lease or encumbrance of any lands owned by the Trustees of the Internal Improvement Trust Fund and leased to the Authority. In addition, the President of each Affiliated Institution of Higher Education or such President's designee shall be Present and vote in the affirmative



on any action taken by the Board involving the lease of any Innovation Park lands to a State agency.

- c.) **Voting by Proxy.** Voting by proxy or through any other means shall not be permitted except to the extent provided in Section 1.7(d) herein.
- d.) **Meetings Conducted Via Electronic Means.** Participation via Electronic Means by an absent member in discussion and voting in a meeting of the Board, or a Committee of the Board, shall be permitted only when such absence is due to extraordinary circumstances such as serious illness. Whether the absence of a member due to any other reason constitutes such an extraordinary circumstance shall be determined by majority vote of the Board in the case of meetings of the Board or Committees, or by majority vote of the Executive Committee in the case of meetings of any Committee where the Executive Committee can make such determination before the meeting of the Committee. Members requesting approval to participate via Electronic Means shall not participate in the vote to approve such participation. If more members are approved to participate via electronic means than can be accommodated by available Electronic Means, then members will be accommodated in the order the requests were received. For the purposes of determining quorum electronic participation is not included.



### 1.8 Removal and Vacancies.

- a.) **Removal.** Any member serving on the Board may be removed from office by the Commission for misfeasance, malfeasance or willful neglect of duty.
- b.) **Assignment of Membership.** An individual, once designated as a member of the Board, shall not designate anyone else to fulfill his duties as a member of the Board on a fulltime, temporary, or interim basis.
- c.) **Vacancies.** Except as to members who serve Ex-Officio, the Commission shall fill any vacancy for an unexpired term.

### 1.9 Attendance.

All members of the Board are expected to attend meetings of the Board as well as meetings of committees to which they have been appointed. At each Annual Meeting of the Board, the Executive Director shall present the attendance record of each member of the Board for the prior fiscal year. If a member of the Board fails to regularly attend Board and/or Committee meetings during the year, a recommendation may be made to remove him from the Board unless extenuating circumstances are demonstrated. If such recommendation is approved by the Board then a request in writing shall be forwarded to the Commission for consideration.

### 1.10 Conflicts of Interests.

Each member of the Board is a public officer who must abstain from voting when a conflict of interest exists pursuant to Chapter 112, Florida Statutes. It is the duty of each member to make known through verbal and written communication to the Board and the General Counsel when a conflict of interest exists and to refrain from voting and/or



participating in actions to be taken on the item for which they have a conflict of interest.

For the purpose of this subsection, the term participate means any attempt to influence the decision by oral or written communication. This provision shall not be construed to contravene Section 159.703(6), Florida Statutes.

## **ARTICLE II - OFFICERS**

### **1.11 Officers.**

The officers of the Authority shall consist of the Chair, Vice-Chair and Treasurer. The Board may elect additional officers as required or desired.

### **1.12 The Chair.**

- a.) The Chair shall preside at all Board meetings.
- b.) The Chair, Vice Chair or, if the Vice Chair is unavailable, the Chair's designee, shall represent the Authority in all official business.
- c.) The Chair shall maintain oversight of all Board committee activity, including the timely planning, implementation and completion of all Board-directed action. The Chair shall initially appoint members and chairpersons of all committees at the Annual Meeting, and may make or change appointments at any other time as the Chair deems necessary.
- d.) The Chair shall sign all instruments which require his signature.
- e.) The Chair, with the consent of the Board, may appoint other committees or task forces as may be deemed helpful to the Board. Such committees or task forces shall consist of members of the Board and may consist of members of the community



with expertise in particular areas and shall perform such functions and possess such powers as approved by the Board.

1.13 **Vice-Chair.**

The Vice-Chair shall perform the duties of the Chair when the Chair is absent or the position is vacated and have such other responsibilities as may be designated by the Chair.

1.14 **Treasurer.**

- a.) The Treasurer shall serve as the Chair of the Budget Committee.
- b.) The Treasurer shall review the financial records of the Authority, including all funds received and disbursed.
- c.) The Treasurer shall have the responsibility to ensure the Authority's financial accountability and compliance and shall perform such other duties as may be properly required of the Treasurer.
- d.) The Treasurer shall sign all instruments which require his signature.

1.15 **Election, Eligibility, Terms and Removal of Officers.**

- a.) **Election of Officers.** The election of the Officers of the Authority shall occur at the last meeting of the Board each fiscal year, with the term in office to begin October 1 of the next fiscal year. All Officers shall hold office strictly at the pleasure of the Board.
- b.) **Eligibility.** All members of the Board or their designees shall be eligible to be an officer of the Authority.
- c.) **Terms of Office.** The Chair and Vice-Chair shall serve no more than two consecutive terms in office unless additional consecutive terms are approved by the



affirmative vote of a majority of the Board Present at a meeting at which a quorum is present at any duly called regular or special meeting of the Board.

- d.) **Removal of Officers.** Any officer may be removed with or without cause at any time by the affirmative vote of a majority of the Board Present at a meeting at which a quorum is present at any duly called regular or special meeting of the Board.

### **ARTICLE III - COMMITTEES**

1.16 **Conduct of Committee Meeting.**

Each committee shall have at least three (3) members and shall meet at the call of its Chair. Meetings of any committee, including an advisory committee or task force, may be held at such time and place as such committee Chair may from time to time schedule, so long as they comply with the requirements of Florida's Government in the Sunshine Law. Each committee shall keep minutes and audio recordings of its meetings and report its activities to the Board at the Regular or Special Meeting as required.

1.17 **Standing Committees.**

There shall be five (5) standing Committees established by the Authority: Audit Committee, Budget Committee, Bylaws Committee, Executive Committee and Investment Advisory Committee. The Committees shall perform the duties listed below, and all other duties assigned by the Chair.

1.18 **Audit Committee.**

The Audit Committee shall consist of three (3) members of the Board. The Treasurer shall not serve on the committee but is encouraged to attend all meetings of the committee; the Treasurer's attendance shall not be required to conduct a meeting of the



committee. The committee shall engage an auditor to conduct the annual audit pursuant to Section 218.39, Florida Statutes, review the Audit Plan, and assist the Board in fulfilling its fiduciary responsibilities relating to accounting and reporting practices. The committee will receive the audit report and report both the findings and response of the Executive Director to the findings to the Board for approval and make recommendations to the Authority's system of internal controls as warranted. The committee shall also be responsible for ensuring that the annual Financial Audit Report and any response to the Report are filed with the Auditor General's Office and with the Clerk of Court.

1.19 **Budget Committee.**

The Budget Committee shall assist the Board in assuring the budgetary and financial practices of the Authority are sound and prudent. The Budget Committee shall develop the annual operating budget and present its recommendations to the Board at the first meeting of the Board in October, if not before. The Treasurer shall be the Chair of the Budget Committee.

1.20 **Bylaws Committee.**

The Bylaws Committee shall review and recommend changes as needed to the Bylaws of the Authority, bylaws of any committees, Charter of the Authority, and any other governing documents on an annual basis. The Bylaws Committee shall meet more frequently if needed. The duties of the Bylaws Committee may be fulfilled by the Executive Committee at the discretion of the Chair.



1.21

**Executive Committee.**

- a.) **Composition, Meetings and Powers.** The Executive Committee shall at a minimum include the Chair, Vice Chair, Treasurer, and the immediate past Chair if still a member of the Board. The Executive Committee shall meet at the call of the Chair. The Executive Committee shall have the general powers and duties of management of the Authority. The Executive Committee shall establish, review and recommend changes to the policies of the Authority as needed. The Executive Committee, or in emergency situations the Chair, shall exercise the powers and authority of the Board in between meetings of the Board.
- b.) **Ratification and Notification.** If the Executive Committee or Chair exercises the power of the Board, the committee or Chair shall seek ratification of its actions at the next meeting of the Board. The Executive Director or General Counsel shall notify the Board within 72 hours of any extraordinary actions taken by the Executive Committee or Chair. Extraordinary actions shall include, but are not limited to, termination of the Executive Director, termination or cancellation of contracts, and authorization of expenditures which require Board approval according to the Authority's purchasing policy.
- c.) **Delegation of Powers and Duties.** The Executive Committee, with approval of the Board, may delegate the general powers and duties of management of the Authority and/or Innovation Park to a fulltime employee, including the Executive Director as



defined in Article VIII, or to any person, firm, or corporation which assumes responsibility by contract.

1.22 **Investment Advisory Committee.**

The Investment Advisory Committee shall assist the Board with review and oversight of the Authority's investment policy, objectives, guidelines and investment performance; provide recommendations to the Board on major investment objectives, strategies and policies; and oversee the Authority's investment consultants and/or fund managers. Authority, composition, and responsibilities of the committee shall be detailed in the committee charter approved by the Board.

**ARTICLE IV - DELEGATION OF DUTIES**

1.23 **Delegation of Duties.**

No officer of the Authority or Chair of any committee shall delegate any of his duties to any other person or persons, except with the approval of the Board. The Executive Committee may, in case of the absence or inability of any officer to act, delegate the duty of such officer to any Board member whom the Executive Committee may select, and the Executive Committee shall report such selection to the Board within 72 hours.

**ARTICLE V - OATH OF OFFICE AND FINANCIAL DISCLOSURE**

1.24 **Oath of Office.**

Each member of the Board, before entering upon the member's duties shall take and subscribe the oath or affirmation as required by the Constitution of the State of Florida. The record of such oath or affirmation shall be filed with the Department of State and



with the Clerk of the Circuit Court. Each member shall provide a record of such oath or affirmation to the Executive Director before assuming the functions of a member.

1.25                                    **Statement of Financial Interest.**

Each member of the Board shall also file a statement of financial interest within thirty (30) days of the date of the appointment in accordance with Section 112.3145, Florida Statutes. Each member shall provide written confirmation to the Executive Director of the submission of the statement of financial interest within thirty (30) days of the date of his appointment.

**ARTICLE VI - RESOLUTIONS**

1.26                                    **Resolutions.**

Any action taken by the Board may be authorized by resolution at any regular or special meeting.

**ARTICLE VII - FINANCES AND FINANCIAL MANAGEMENT**

1.27                                    **Finances.**

The funds of the Authority shall be deposited in its name with such banks, trust companies, other financial institutions, or as otherwise authorized by law, as the Board may from time to time designate.

1.28                                    **Audit.**

An audit of the books and records of the Authority shall be conducted annually by a certified public accountant. When received, the audit report, together with all related documents, shall be reviewed by the Audit Committee and promptly presented to the Board for its consideration.



1.29 **Execution of Contracts.**

Unless otherwise delegated by policy approved by the Board, only the Chair or the Vice-Chair if the Chair so designates in specific cases, is authorized to enter into any contract or execute and deliver any instrument in the name of and on behalf of the Authority, and only then with the ratification of the Board. All documents executed by the Chair shall be provided promptly to the Executive Director, who serves as the Custodian of Records for the Authority, and to the Board members for their review.

1.30 **Checks.**

- a.) Checks drawn in amount greater than \$10,000 shall be co-signed by the Chair and Treasurer.
- b.) Checks drawn in amount not more than \$10,000 shall be signed by the Chair, Treasurer, or Executive Director.
- c.) The Vice Chair shall co-sign or sign checks in the absence of the Chair or Treasurer in accordance with the other requirements of this section.

**ARTICLE VIII - EXECUTIVE DIRECTOR**

1.31 **Duties and Responsibilities.**

Under the supervision of the Board, the Executive Director shall exercise the general powers and duties of management of the Authority and such other duties and responsibilities as assigned by the Board or the Executive Committee pursuant to the Executive Director's employment agreement, or policies of the Authority approved by the Board.



1.32 **Custodian of Records.**

The Executive Director shall serve as the Custodian of Records for the Authority and be responsible for maintaining all of the records of the Authority at its principal office. The Executive Director shall also be responsible for ensuring and maintaining documentation establishing that each member of the Board has taken the oath or affirmation and has filed a statement of financial interest as set forth in Article V herein.

1.33 **Responsibilities to the Board.**

The Executive Director shall report to the Board the actions of any Board member or Committee member which in the Executive Director's judgment is in conflict with any applicable state statute, city or county ordinance or Charter, bylaws or policies of the Authority. Such actions must first be reported to the Executive Committee, unless the issue involves the actions of the Executive Committee, or any of its members, in which case the issue shall be reported to the full Board. In the latter circumstance, the Executive Director shall request that three Board members ask for a Special meeting of the full Board consistent with the requirements of Section 1.6(c) herein.

**ARTICLE IX - PARLIAMENTARY AUTHORITY**

1.34 **Parliamentary Authority.**

*Roberts Rules of Order*, newly revised (“Robert’s Rules”), shall govern all proceedings of the Board where applicable. When Roberts Rules are in conflict with these Bylaws, the Authority’s Bylaws will control.



## **ARTICLE X- INDEMNIFICATION OF MEMBERS, OFFICERS, EMPLOYEES AND OTHERS**

### **1.35 Indemnification of Members, Officers, Employees and Others.**

The Authority shall indemnify, to the full extent provided by law, any person who is named a party to any proceeding due to his service as a member, officer and employee of the Authority, or who serves at the Authority's written request, against liability and expenses incurred in connection with such proceeding, so long as the person acted in good faith and in a manner he reasonably believed to be in the best interest of the Authority. The Authority shall develop an ongoing plan for risk management and indemnification of members, officers and employees of the Authority and those serving at the Authority's written request, taking into consideration Federal and State Laws. This paragraph shall not be construed to apply to any acts of a member, officer or employee of the Authority, or those serving at the Authority's written request, undertaken prior to the effective date of the adoption of this provision, it being the intent that such acts would be covered by the Bylaws in effect prior to the effective date of adoption of this provision.

## **ARTICLE XI - IMPLEMENTATION AND AMENDMENTS**

### **1.36 Implementation and Amendments**

a.) These Bylaws may be repealed, amended or altered or new Bylaws may be adopted by a majority vote at any meeting of the Board; however, any proposed amendments shall be distributed to the members at least five (5) working days before the Board meeting at which they are to be considered.



b.) The Board shall be bound by and conformed to all of these Bylaws, as they exist at the time of their joining the Board, or as they may thereafter be changed or amended.

c.) These Bylaws shall become effective immediately upon adoption by majority vote of the Board. The Board's interpretation of the Bylaws shall be considered the correct interpretation when reached by majority vote.

## **ARTICLE XII - FISCAL YEAR**

### **1.37 Fiscal Year.**

The fiscal year of the organization shall begin on October 1 and end on September 30.



## **COMMITTEES**



Committee	Type	Meeting	Mission	Members					
Board of Governors	Standing	1st Thursday of even numbered months	The mission of the Leon County Research and Development Authority is to work in affiliation with Florida State University, Florida A&M University, and Tallahassee Community College to: Promote scientific research and development activities & Foster economic development and broaden the economic						
			David Ramsay, Chair	Kim Williams, Vice Chair	April Salter, Treasurer	Anne Longman, Immediate Past Chair	Eric Holmes/Ross Ellington (FSU) <sup>3</sup>	Shawnta Friday-Stroud / Keith Bowers (FAMU) <sup>2</sup>	Kimberly Moore/Rick Frazier (TCC) <sup>4</sup>
			Paul Dean	Kim Dixon	Dustin Daniels (COT)	Kristin Dozier, (Leon County)			
Executive	Standing	Monthly as needed	The Executive Committee shall at a minimum include the Chair, Vice Chair, Treasurer and the Immediate Past Chair. The Executive Committee shall meet at the call of the Chair. If the Executive Committee exercises the power of the Authority, the committee shall seek ratification of its actions at the next						
				David Ramsay, Chair	Kim Williams, Vice Chair	April Salter, Treasurer	Anne Longman, Immediate Past Chair	Kristin Dozier, At-large	
Audit	Standing	November and January	The Audit Committee shall consist of at least three (3) members of the Board. The Treasurer shall not serve on the committee but shall attend all meetings of the committee. The committee shall engage an auditor to conduct the annual audit pursuant to Section 218.39, Florida Statutes, review the Audit Plan, and assist the Board in fulfilling its fiduciary responsibilities relating to accounting and reporting practices. The committee will receive the audit report and report both the findings and response of the Executive Director to the findings to the Board for approval and make recommendations to the Authority's system of internal controls as warranted. The committee shall also be responsible for ensuring that the annual Financial Audit Report and any response to						
				Dustin Daniels, Chair	Paul Dean	Kimberly Moore <sup>4</sup>	Shawnta Friday-Stroud <sup>2</sup>	Eric Holmes <sup>3</sup>	April Salter <sup>1</sup>
Budget	Standing	September	The Budget Committee shall assist the Board in assuring the budgetary and financial practices of the Authority are sound and prudent. The Budget Committee shall develop the annual operating budget and present its recommendations to the Board at the first meeting in October, if not before. The Treasurer shall be the Chair of the Budget Committee.						
				April Salter, Chair	Paul Dean	Kim Dixon	Dustin Daniels	Shawnta Friday-Stroud <sup>2</sup>	
Bylaws	Standing	as needed	The Bylaws Committee shall review and recommend changes as needed to the Bylaws of the Authority, bylaws of any committees, Charter of the Authority and any other governing documents on an annual basis. The Bylaws Committee shall meet more frequently if needed.						
				Bylaws issues will be addressed by the Executive Committee. A Bylaws Committee will be formed should an extensive review of the Bylaws be necessary.					
Investment Advisory	Standing	November	The Board has established the Investment Advisory Committee and charged it with the responsibility of reviewing and recommending changes to the Policy no less than annually. The Committee meets annually unless interim issues require more frequent meetings. Meetings are noticed and open to the public; and, the minutes of each meeting are recorded. The Committee, appointed by the Chair of the Authority's Board, consists of at least one Board member and qualified citizens with financial or investment expertise who are independent of employment and business relationships with the Authority. The Chair of the Committee will be appointed by the Chair of the Authority and must be a member of the Authority's Board of Governors.						
				Kim Williams, Chair	Kim Dixon	William Giudice	James Francis	David Reid	Jordan Steffans <sup>5</sup>
Development Review	Covenants & Restrictions	2nd Tuesday of Month	Review and recommend tenant requests related to the Park's buildings and land referring to the official Covenants and Restrictions Policy, i.e. signage, building expansions, fences, etc.						
				Ron Miller, Chair	Greg Harden	Kimberly Strobel-Ball	Patrick Hoy	Cheryl McCall	
Jump Start	Ad hoc	as needed	The purpose of the Jumps Start Committee is to create a business incubator and related programs in Innovation Park. It is an ad-hoc committee of the Board.						
				Kristin Dozier, Chair	Eric Holmes	Dustin Daniels	Kim Williams	Anne Longman	
					Lawrence Tinker	Barbara Wescott	Reis Alsberry	Dom Eanniello	Wendy Plant

<sup>1</sup> The Treasurer shall not serve on the committee but should attend all meetings of the committee.

<sup>2</sup> Keith Bowers serves as alternate for Shawnta Friday-Stroud

<sup>3</sup> Ross Ellington serves as alternate for Eric Holmes

<sup>4</sup> Rick Frazier serves as alternate for Kimberly Moore

<sup>5</sup> Non-voting advisor



## MEETING PROTOCOL

The following information is a guideline for conducting regular Board of Governors and committee meetings, open to the public, for the Leon County Research and Development Authority.

**Notice of Public Meetings:** The Authority follows the notice of meetings requirements listed under the Florida Handbook on Special Districts, the Government-in-the-Sunshine Law, Sections 159.703(6), 189.417, and 286.0105, Florida Statutes. Additionally, all regular Board of Governors and committee meetings are advertised at least seven days prior to the meeting date in the local Tallahassee Democrat newspaper and on the Authority's website. These notices include the time, location, and purpose of the meeting.

**Quorum:** The Authority follows Robert's Rules of Order, wherein it is designated that a quorum for any public meeting at which official action will be taken is a majority of the full membership of the Authority.

**Official Action of the Authority:** For the record, all issues presented to the Authority for official action must be documented by an official action: Following is the step-by-step procedure:

1. A Board member makes a motion.
2. Another member must second the motion.
3. The Chair opens the motion to discussion.
4. The Chair puts the motion to a vote (generally, the Chairman should ask for an affirmative and negative vote but on minor or noncontroversial motions, may ask for a negative vote).
5. The Chair announces the result of the vote.

**Obtaining and Assigning the Floor:** To provide for an orderly interaction between the Board of Governors, staff, and members of the public during meetings, there are basic procedures under Robert's Rules of Order for item 3, Obtaining and Assigning the Floor. Following is the step-by-step procedure:

1. Before any Board member, staff, or member of the public may make a motion or speak, he or she must obtain the floor, that is, be formally recognized by the Chairman. Once recognized by the Chairman, that individual has the exclusive right to be heard at that time. The Chairman recognizes the person by their full name.
2. Only the Chairman may assign the floor. Other Board members, staff or members of the public shall not assign the floor.
3. Anyone not recognized by the Chairman but who wishes to speak while another person has the floor, is out of order.

**Committee Meetings:** The primary purpose of committee meetings is to review and recommend, if applicable, policy issues related to the Authority to the Board of Governors for their consideration, direction and/or approval.

The Authority's Committees are: Audit, Budget, Bylaws, Development Review, Investment Advisory, Jump Start, and Strategic Planning Committees. Each committee must include at least one member of the Board of Governors.



**Regular Board Meetings:** In order to assure meaningful and orderly public comment at the Board meetings, all public comment, if any, may be taken immediately after the presentation of an agenda item, or at the beginning of the meeting, and at the discretion of the Chairman.

**Minutes:** The minutes of a meeting are a synopsis of a meeting and are not meant to be a transcription of all that was said at a meeting. Minutes are prepared by the Authority staff, which shall perform the duty impartially under the direction of the Executive Director. The Sunshine Law requires that minutes of a meeting of the Authority be promptly recorded and posted to the Authority's website in a timely manner, within 72 hours of the meeting. A hard copy of the Authority's meeting minutes and audio recordings will be filed in a public area and open to public inspection. The adoption of the minutes, including any corrections, must be presented at the next scheduled meeting of that committee or regular Board of Governors meeting, if a quorum is present. It is the responsibility of the Authority staff to ensure that the minutes accurately reflect the meeting's activities, including motions to action items, and that they are an unbiased account of the meeting.



## **BUDGET**



10/6/2017  
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Leon County R&D Authority  
Approved FINAL Budget: Fiscal Year 2017-18  
Budget by Building

	Budget FY 2017-18							Total FINAL Budget	Proposed Budget vs. Current Year Forecast	FY 2016-17			Proposed Budget vs. Current Year Budget
	Tenants In Common	Knight	Collins	Fuqua Shared	Morgan	Johnson	Phipps			Current Year Forecast	Current Year Budget	Current Year Forecast vs. Current Year Budget	
<b>INCOME</b>													
<b>OPERATING INCOME</b>													
Rent	\$ 5,830	\$ 11,220	\$ 31,972	\$ -	\$ 134,400	\$ 449,400	\$ 128,640	\$ 761,461	155,708	605,754	\$ 549,063	56,691	\$ 212,399
Common Area Maintenance	61,904	-	-	-	-	-	-	61,904	1,568	60,336	60,741	(405)	1,163
Other Rents	-	972	-	-	-	-	-	972	358	614	612	2	360
EEP Program Income	-	24,900	-	-	-	-	-	24,900	19,700	5,200	44,000	(38,800)	(19,100)
Other Program Income	-	7,500	-	-	-	-	-	7,500	750	6,750	6,500	250	1,000
Other Income	-	-	-	-	-	-	-	-	(2,107)	2,107	-	2,107	-
<b>TOTAL OPERATING INCOME</b>	<b>67,734</b>	<b>44,592</b>	<b>31,972</b>	<b>-</b>	<b>134,400</b>	<b>449,400</b>	<b>128,640</b>	<b>856,737</b>	<b>175,977</b>	<b>680,761</b>	<b>660,916</b>	<b>19,845</b>	<b>195,821</b>
<b>NON-OPERATING INCOME</b>													
Interest	47,336	-	-	-	-	-	-	47,336	(1,650)	48,986	39,600	9,386	7,736
Operating Expense Reimbursement	-	-	-	5,818	-	-	-	5,818	2,628	3,190	3,789	(599)	2,030
<b>TOTAL NON-OPERATING INCOME</b>	<b>47,336</b>	<b>-</b>	<b>-</b>	<b>5,818</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>53,154</b>	<b>978</b>	<b>52,176</b>	<b>43,389</b>	<b>8,787</b>	<b>9,766</b>
<b>TOTAL INCOME</b>	<b>115,070</b>	<b>44,592</b>	<b>31,972</b>	<b>5,818</b>	<b>134,400</b>	<b>449,400</b>	<b>128,640</b>	<b>909,892</b>	<b>176,955</b>	<b>732,937</b>	<b>704,305</b>	<b>28,632</b>	<b>205,587</b>
<b>EXPENSES</b>													
<b>OPERATING EXPENSES</b>													
Total Authority Employee Expense	-	371,789	-	-	-	-	-	371,789	111,007	260,782	259,201	1,581	112,588
Total Utilities	1,252	3,552	25,006	6,151	29,937	38,026	-	103,923	18,610	85,313	88,151	(2,838)	15,772
Total Maintenance & Repairs	6,559	3,395	6,426	7,725	9,675	10,765	3,880	48,425	14,417	34,008	36,395	(2,387)	12,030
Total Cleaning & Improvements	-	480	-	-	1,200	2,450	620	4,750	(7,121)	11,871	8,900	2,971	(4,150)
Total Services	9,715	11,805	18,971	2,748	21,517	44,341	3,547	112,644	12,077	100,567	102,335	(1,768)	10,309
Property Administrative													
Audit	-	16,500	-	-	-	-	-	16,500	(2,050)	18,550	18,550	-	(2,050)
Phone Service	-	1,320	768	-	-	-	-	2,088	(571)	2,659	2,232	427	(144)
Internet Charge	-	2,475	-	-	-	-	-	2,475	411	2,064	2,392	(328)	83
Copies	-	600	-	-	-	-	-	600	17	583	600	(17)	-
Fees/Licenses/Permits	-	828	-	-	-	-	-	828	488	340	828	(488)	-
Office Supplies	-	1,410	-	-	-	-	-	1,410	522	888	1,290	(402)	120
Office Equipment Maintenance	-	600	-	-	-	-	-	600	381	219	600	(381)	-
Postage/Delivery	-	60	-	-	-	-	-	60	16	44	60	(16)	-
Professional Fees	-	30,000	-	-	-	-	-	30,000	(1,087)	31,087	30,000	1,087	-
Printing	-	1,200	-	-	-	-	-	1,200	(28)	1,228	1,200	28	-
EEP Program Expenses	-	8,666	-	-	-	-	-	8,666	(30,896)	39,562	44,000	(4,438)	(35,334)
Other Program Expenses	-	10,325	-	-	-	-	-	10,325	1,619	8,706	7,000	1,706	3,325
Subscriptions/Dues	-	2,910	-	-	-	-	-	2,910	4	2,906	3,615	(709)	(705)
Travel/Conferences	-	8,000	-	-	-	-	-	8,000	1,553	6,447	7,000	(553)	1,000
Marketing/PR	-	8,968	-	-	-	-	-	8,968	3,180	5,788	5,368	420	3,600
General Authority Expense	-	1,200	-	-	-	-	-	1,200	583	617	1,200	(583)	-
Other Administrative Expense	-	2,952	-	-	-	-	-	2,952	1,209	1,743	2,752	(1,009)	200
Research Grants	-	25,000	-	-	-	-	-	25,000	3,902	21,098	25,000	(3,902)	-
Total Property Administrative	-	123,014	768	-	-	-	-	123,782	(20,747)	144,529	153,687	(9,158)	(29,905)
Total Other Expenses (Talcor)	-	10,743	18,739	-	24,480	21,362	11,034	86,357	2,515	83,842	83,842	-	2,515
Total Insurance & Taxes	1,306	11,436	12,000	-	13,585	16,429	1,788	56,544	581	55,963	55,964	(1)	580
<b>TOTAL OPERATING EXPENSES</b>	<b>18,832</b>	<b>536,214</b>	<b>81,910</b>	<b>16,624</b>	<b>100,393</b>	<b>133,373</b>	<b>20,869</b>	<b>908,214</b>	<b>131,339</b>	<b>776,875</b>	<b>788,475</b>	<b>(11,599)</b>	<b>119,739</b>
<b>NET OPERATING INCOME</b>	<b>96,238</b>	<b>(491,622)</b>	<b>(49,938)</b>	<b>(10,806)</b>	<b>34,006</b>	<b>316,027</b>	<b>107,771</b>	<b>1,678</b>	<b>45,617</b>	<b>(43,939)</b>	<b>(84,170)</b>	<b>40,231</b>	<b>85,848</b>
Less: Capital Expenditures	(150,000)	(1,000)	(1,800,000)	(55,550)	(61,000)	-	-	(2,067,550)	(2,041,477)	(26,073)	(175,000)	148,927	(1,892,550)
<b>CASH FLOW AFTER CAPITAL TRANSACTIONS</b>	<b>\$ (53,762)</b>	<b>\$ (492,622)</b>	<b>\$ (1,849,938)</b>	<b>\$ (66,356)</b>	<b>\$ (26,994)</b>	<b>\$ 316,027</b>	<b>\$ 107,771</b>	<b>\$ (2,065,872)</b>	<b>\$ (1,995,860)</b>	<b>\$ (70,012)</b>	<b>\$ (259,170)</b>	<b>\$ 189,158</b>	<b>\$ (1,806,702)</b>



## **POLICIES AND PROCEDURES**



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# Leon County Research and Development Authority

## Policy No. 10-01

Title: **Pre-Employment Drug Testing**

Date Adopted: July 20, 2010

Effective Date: July 20, 2010

- 
1. It shall be the policy of the Leon County Research and Development Authority (LCRDA) that a new policy, Policy No 10-1, “Pre-Employment Drug Testing”, is hereby adopted, to wit:
  2. **PURPOSE** - As a part of the LCRDA’s commitment to safeguard the health of its employees, to provide a safe place for its employees to work, and to promote a drug-free community, the LCRDA has established this policy on pre-employment drug testing.
  3. **APPLICABILITY** - All job applicants not presently employed by the LCRDA shall be subject to pre-employment drug testing.
  4. **DRUG TESTING CATEGORIES** - The LCRDA requires that drug tests shall be conducted before job applicants are hired, or after an offer to hire but before the effective date of employment with the LCRDA. All offers of employment with the LCRDA shall be subject to a negative drug test result.
  5. **INTERPRETATION OF THE LABORATORY RESULTS** - All drug test results are reviewed and interpreted by a physician (Medical Review Officer (MRO)) before they are reported to the employer. If the laboratory reports a positive result to the MRO, the MRO



contacts the job applicant (in person or by telephone) and conducts an interview to determine if there is an alternative medical explanation for the drugs found in the job applicant's urine specimen. For all the drugs except PCP, some limited, legitimate medical use may explain the positive test results. If the job applicant provides appropriate documentation and the MRO determines that it is legitimate medical use of the prohibited drug, the drug test result is reported as negative to the LCRDA.

6. **CONFIDENTIAL RECORDS** - Job applicants' drug testing results and records are maintained, subject to the provisions of Chapter 119 of the Florida Statutes, by the LCRDA, the drug testing laboratory, and the medical review officer. They cannot be released to others without the written consent of the job applicant. Exceptions to these confidentiality provisions are limited to a decision maker in arbitration, litigation, or administrative proceedings arising from a positive alcohol or drug test.
  
7. **REFUSAL TO COOPERATE WITH DRUG TEST** - A job applicant's tampering with the drug test or failing to submit to the required pre-employment drug test shall be considered as a request for withdrawal from consideration for the position for which she/he applied. As a job applicant, you have refused to take a drug test if you:
  - a. Fail to appear for any test within a reasonable time, as determined by the employer, after being directed to do so by the employer, and in no instance shall exceed four (4) hours
  - b. Fail to remain at the testing site until the testing process is complete;
  - c. Fail to provide a urine specimen for any drug test required by this policy;
  - d. In the case of a directly observed or monitored collection in a drug test, fail to permit the required medical evaluation, that there was no adequate medical explanation for the failure; or
  - e. Fail or decline to take a second test the employer or collector has directed you take.



# Leon County Research and Development Authority

## Policy No. 10-02

Title: **Background Investigations**

Date Adopted: July 20, 2010

Effective Date: July 20, 2010

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1. **PURPOSE** - It shall be the policy of the Leon County Research and Development Authority (LCRDA) that a new policy, Policy No 10-2, “Background Investigations”, is hereby adopted, to wit:

2. **POLICY** - Offers of employment and job promotion shall be conditioned upon obtaining a signed authorization for the procurement of a consumer report for employment purposes and a satisfactory background investigation. Authorization to obtain such report shall be obtained through the Authorization to Obtain a Consumer Report and Release of Information for Employment Purposes form. Both the authorization and the report are to be filed in the employee’s personnel file if hired or in a recruitment file for applicants not employed; both will be maintained by the LCRDA administrative office in accordance with record retention schedules. Candidates for employment by job promotion, including those previously employed by the LCRDA, shall be evaluated for employment based on, among other things, a background investigation that includes, at a minimum, the information described below.

3. **PROCEDURE** –

a. Employment Purposes - As used in this policy, the phrase Aemployment purposes@



shall include but is not limited to hiring, promoting, reassigning, and retaining an employee.

b. Notice of Investigation - Applicants shall be provided with notice of the LCRDA's policy and practice of conducting background investigations during the application process and will be required to complete a Notice of Intent to Obtain a Consumer Report form. Applicants must sign the form in order for the application to be valid for consideration.

c. Contingent Job Offer

i. New Hires and Promotions - A qualified individual deemed to be the best candidate for a position may be extended an offer of employment (in compliance with policies and procedures for recruitment, selection, and appointment) contingent upon, at a minimum, the completion of a signed authorization for the procurement of a consumer report for employment purposes and a background report that is within acceptable parameters.

ii. Rehires - If eligible for rehire, a background investigation report will be obtained as stated under Section 3(a) New Hires and Promotions.

d. Background Investigation - The LCRDA administrative office shall initiate a background investigation after a contingent job offer has been made. **All** applicants for whom a contingent job offer has been made shall have a background investigation report completed. The background investigation shall include but is not limited to the following:

i. Social Security Number Verification;



- ii. Address Verification – prior seven years;
  - iii. Criminal Background Check – Florida Department of Law Enforcement and jurisdictions relevant to applicant’s addresses for the prior seven years;
  - iv. National Sex Offender Check; and
  - v. National Wants & Warrants - FBI/U.S. Marshall’s Office.
- e. Analysis of Background Investigation - The LCRDA administrative office shall determine if a discrepancy arises between the applicant=s disclosed credentials and the verified information or if the applicant is disqualified for the position based upon the results of the background investigation.
- i. Protocol and Criteria for Evaluating Background Investigations –
    - 1. The LCRDA administrative office will review all background investigation reports received.
    - 2. The following factors shall be considered on a case by case basis in determining each candidate’s eligibility for employment with the LCRDA:
      - a. The accuracy of the candidate’s application. Any discrepancy in the information provided by the candidate and the report provided is grounds for immediate withdrawal of the offer of employment.
      - b. Specific nature of the offense(s), for which they were found guilty or plead no contest, and its applicability to the job for which the candidate is being considered.



- c. How long ago the offense occurred.
3. Candidates whose background investigation report leads to an adverse decision will be contacted and informed of the results of the report. The individual will be provided the toll free telephone number of the agency that conducted the background check and given the opportunity to review and respond to the findings. Per requirements set forth in the Fair Credit Reporting Act (FCRA), this information will be communicated through the Notice of Adverse Action form.
4. Section 3(e)(i), Protocol and Criteria for Evaluating Background Investigations, listed above, is not exclusive or exhaustive. Good judgment and honest exercise of discretion will be used when evaluating information obtained through a background investigation report and the LCRDA's administrative office will consult with the LCRDA's legal counsel.
  - a. Unless the position under consideration is the Executive Director position, the LCRDA's Executive Director, with the written concurrence of the LCRDA's legal counsel, will make the final decision as to whether the candidate's prior civil/criminal history make them ineligible for hire into a particular position(s). Information regarding the final decision will be provided to the Board of Governors.
  - b. If the position under consideration is the Executive Director position, the Chairman of the LCRDA Board, with the written



concurrence of the LCRDA's legal counsel, will make the final decision as to whether the candidate's prior civil/criminal history make them ineligible for hire into a particular position(s). Information regarding the final decision will be provided to the Board of Governors.

5. Candidates who challenge the accuracy of the content of the report will be informed that it is their responsibility to correct the information and that the LCRDA will not hold the position open under those conditions. Candidates will be encouraged to apply for any position they feel they qualify for in the future.
  
6. Use of information obtained from a background investigation report shall be utilized in context with the job for which the applicant has applied. Any information learned from a background investigation report should be considered with all other information known about an applicant, and a case-by-case determination should be made as to the applicant's suitability for employment. The LCRDA's administrative office may seek clarification from the applicant regarding the information obtained. Information obtained from a background investigation report should remain confidential to the extent allowed by law and not be shared with anyone except where reasonably necessary.



# Leon County Research and Development Authority

## Policy No. 11-01

Title: **Personnel Policy**

Date Adopted: February 9, 2011

Effective Date: February 9, 2011

Date Revised: April 7, 2016; September 4, 2014

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1) **PURPOSE** - It shall be the policy of the Leon County Research and Development Authority (the Authority) that a new policy, Policy No 11-1, “Personnel Policy,” is hereby adopted, to wit:

2) **SCOPE**

- a) THESE POLICIES ARE NOT INTENDED TO CREATE AN EMPLOYMENT CONTRACT WITH THE PERSONS TO WHOM THEY MAY BE APPLICABLE.
- b) Policy No. 11-1, “Personnel Policy” shall apply to all employees of the Authority, except it shall not apply to persons employed by the Authority on a contractual basis entered into between the Authority and the employee.

3) **DEFINITIONS**

- a) The “Board” shall mean the Board of Governors of the Authority. Except as lawfully and properly delegated to its officers, the powers of the Authority are exercised through, and the business affairs of the Authority are managed under the direction of the Board.
- b) “Employee” shall mean an employee of the Authority who is not employed by the Authority under an Employment Agreement with the Authority, including Full-Time Employees, Part-Time Employees and Employees in a Temporary Position.



- c) “Executive Director” shall mean the Authority Employee whose job title is Executive Director; or if the Executive Director position is vacant, “Executive Director” shall mean the person designated by the Board as the acting executive director.
- d) “Exempt Employees” shall mean those Employees in administrative, executive, and professional positions as defined under the Fair Labor Standards Act, who are not subject to the overtime compensation provisions of the Act.
- e) “Full-Time Employees” shall mean Employees with regularly scheduled and budgeted Working Hours of no less than forty (40) hours per week.
- f) “Marital Status” shall mean an individual’s status of being married, separated, or unmarried including being single, divorced, or widowed.
- g) “Non-exempt Employees” shall mean those Employees in positions subject to the overtime compensation provisions of the Fair Labor Standards Act.
- h) “Overtime” shall mean the hours worked in excess of forty (40) hours during the established workweek. These hours must be at the direction of the Executive Director and must not include leave with pay.
- i) “Part-Time Employees” shall mean Employees with regularly scheduled Working Hours of less than forty (40) hours per week.
- j) “Policy” shall mean the Authority Personnel Policy, as may be amended from time to time.
- k) “Temporary Position” shall mean a position of specific duration not to exceed two (2) years. Temporary Positions may be full or part time.
- l) “Work Area” shall mean areas where Employee’s work for the Authority is performed.
- m) “Working Hours” shall mean an Employee's normally scheduled hours of work.

#### 4) **EMPLOYEE CONDUCT**

- a) **EQUAL EMPLOYMENT OPPORTUNITY** - It has been the policy of the Authority to



subscribe to the principle of Equal Employment Opportunity. These Policy provisions reaffirm the Authority's commitment to ensure that:

- All recruitment, hiring, training and promotion of persons employed by the Authority in all positions is accomplished without regard to race, color, religion, sex, national origin, age, handicap, or marital status; and
- Employment decisions are made consistent with the principle of Equal Employment Opportunity.

The Authority shall comply with all federal, state, and other applicable laws prohibiting discrimination in employment based on race, color, religion, sex, national origin, age, handicap, or marital status.

All Board members and Employees are responsible for supporting these Policy provisions and for the furtherance of the principle of Equal Employment Opportunity in all personnel matters. The principle of Equal Employment Opportunity is applied to all other personnel activities including compensation, benefits, transfers, reassignments, promotions, demotions, layoffs, separations and disciplinary actions.

An Employee who believes he or she has been subjected to workplace harassment must promptly bring that problem to the attention of the Authority. Complaints should immediately be reported to the Executive Director. If the complaint involves the Executive Director the Employee should report the matter to the General Counsel. If a complaint involves a member of the Board of Governors the Employee should report the matter to the Executive Director and the General Counsel.



At that time, the Executive Director or General Counsel will refer the matter to a private law firm outside the jurisdiction of Leon County, to investigate the claim. Once the complaint has been referred to the outside law firm to investigate, the party who made the complaint shall be notified. Each complaint will be immediately and thoroughly investigated in a professional manner.

Actions taken to investigate and resolve harassment complaints shall be conducted confidentially to the extent practicable, appropriate and legal in order to protect the privacy of persons involved. The person who is accused of engaging in harassing behavior will be notified and given an opportunity to respond verbally and/or in writing. The investigation may include interviews with parties involved in the incident, and if necessary, with individuals who may have observed the incident or conduct or who have relevant knowledge.

The Employee will be notified of a decision or the status of the investigation in a timely manner. There will be no discrimination or retaliation against any individual who files a complaint in good faith, even if the investigation produces insufficient evidence to support the complaint, and even if the charges cannot be proven. There will be no discrimination or retaliation against any other individual who participates in the investigation of a harassment complaint.

If the investigation substantiates the complaint, appropriate corrective and/or disciplinary action will be swiftly pursued. Disciplinary action, which may include discharge, will also be taken against individuals who make false or frivolous accusations, such as those made maliciously or recklessly.

b) NOTICE OF ARREST OR CHARGE AGAINST EMPLOYEE – The Employee shall immediately notify the Executive Director and the Board, in writing, of any arrest or charge against the Employee, other than a minor traffic infraction.



c) **POLITICAL ACTIVITIES** - Every Employee will have the right to express his or her views as a citizen, to cast his or her vote as he or she chooses, to hold membership in and to support a political party, or maintain political neutrality. Employees may also attend political meetings and take an active part in political campaigns during off duty hours. However, every Employee is prohibited from:

- i) Using his/her official authority or influence, as an Employee, for the purpose of interfering with or affecting the result of an election or nomination for office.
- ii) Directly or indirectly coercing, attempting to coerce, commanding, or advising an Employee to pay, lend, or contribute anything of value to a party, committee, organization, agency, or person for political purposes.
- iii) Participating in political activities during Work Hours.

d) **NEPOTISM**

- i) Notwithstanding the protection under this Policy for an Employee's marital status, the following Policy provisions shall apply regarding the employment of relatives of employees of the Authority. For purposes of this Section of the Policy, "relative" means an individual who is related to an Employee as father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother, or half-sister.
- ii) There shall be the following restrictions on the employment of any Employee's relatives with the Authority:
  - (1) A relative of any Employee with supervisory responsibility shall not be eligible for employment in or advancement to any position which reports directly to the supervisory Employee.
  - (2) An Employee shall not be eligible for advancement to any position with direct supervisory responsibility over a position in which a relative is employed.



e) OUTSIDE EMPLOYMENT

i) Employees shall not engage in any employment activity or enterprise which has been or may be determined to be inconsistent, incompatible, or in conflict with the duties, functions, or responsibilities of their Authority employment.

ii) Employees who desire to accept outside employment in addition to their employment with the Authority shall provide advance written notice to the Executive Director regarding the nature and extent of such anticipated outside employment. The Executive Director shall determine whether such anticipated employment conflicts with the duties and responsibilities of the Employee's Authority employment. If the Executive Director determines there is a conflict with the duties and responsibilities of the Employee and the outside employment sought, the Executive Director shall submit that determination to the Employee in writing within two (2) weeks of Employees submittal of written notice.

f) SMOKING - Employee shall, at no time, have lighted tobacco products within an Authority facility.

g) USE OF MAIL AND THE INTERNET

i) This Section of the Policy is designed to protect the Authority, its Employees and its resources from the risks associated with use of E-Mail and Internet. E-Mail and Internet access are to be used to facilitate Authority business and only highly-limited, reasonable personal use is permitted.

ii) These Policy provisions do not forbid all personal use of E-Mail. Acceptable uses of E-Mail can be compared to those involving the telephone: the communication must be brief, must not interfere with work, must not subject the Authority to any additional costs, and must be consistent with the requirements set forth by this Policy. Employees are permitted to briefly visit other non-sensitive Internet sites during non-work time, such as during their lunch break.



iii) The Authority's E-Mail or Internet access systems may NEVER be used in any of the following ways:

- (1) To harass, intimidate, or threaten another person.
- (2) To access or distribute obscene, abusive, libelous, or defamatory material.
- (3) To impersonate another user or mislead a recipient about your identity.
- (4) To access another person's E-Mail, if not specifically authorized to do so.
- (5) To bypass the systems' security mechanisms.
- (6) To distribute chain letters.
- (7) To participate in political or religious debate.
- (8) For any purpose which is illegal, against Authority policy, or contrary to the Authority's best interests.
- (9) To pursue an Employee's business interests which are unrelated to the Authority.

h) **CONFLICT OF INTEREST** - This Section of the Policy, with regard to conflict of interest, shall be construed in accordance with the regulations specified in Sections 112.311 (Legislative intent and declaration of policy) and 112.313 (Standards of conduct for public officers, employees of agencies, and local government attorneys), Florida Statutes. The intent of the law is to prohibit any public official or employee from having interests, from engaging in business activities, and from incurring any obligation "which is in substantial conflict with the proper discharge of his or her duties in the public interest." The law prohibits the following:

- i) The solicitation or acceptance by any Employee of any gift, loan, favor, reward, or service that would cause a reasonably prudent person to be influenced in the discharge of official duties, or that is based upon any understanding that the action and/or judgment of the official or Employee "would be influenced thereby."
- ii) An Employee from transacting business on behalf of the Authority with any agency



in which either the Employee or a member of the Employee's immediate family has a "material interest."

- iii) An Employee from accepting compensation to influence any action in his/her official capacity with the Authority.
  - iv) An Employee from using his/her position to secure a special privilege, benefit, or exemption for him/her or others.
  - v) An Employee from holding any employment or contractual relationship with any business entity or any agency which is subject to the regulation of, or is doing business with, the Authority.
  - vi) An Employee from disclosing or using information not available to the general public for his/her personal gain or for the gain of any other person or business entity.
  - vii) This section shall not be interpreted to prevent an Employee from engaging in a bona fide business transaction for goods and services from a firm doing business with the Employee when no special privilege or benefit is granted or sought by the Employee because of his or her status as an Authority Employee.
- i) **SUBSTANCE ABUSE -**
- i) Use, sale, dispensing or possession of illegal drugs or narcotics is prohibited on Authority premises.
  - ii) Unless approved in advance by the Board as part of a Board-sanctioned event, the use, sale, dispensing or possession of alcoholic beverages is prohibited on Authority premises.
  - iii) Appropriate disciplinary action will be taken against Employees who are in possession of or under the influence of alcohol or illegal drugs while on Authority premises.
- j) **DRESS CODE –**



- i) In order to balance the Authority's image with the Employee's freedom to make his or her own wardrobe choices, casual business wear will be acceptable in the office environment during regular business hours.
- ii) The general parameters for casual business wear include using good judgment about what to wear during work days. Casual Business wear means comfortably fitting, clean, neat clothing, in good condition, that communicates a professional attitude. Dress standards apply to both women's and men's attire. The following items are inappropriate for office wear: apparel typically worn to the beach or for work in the yard or gym; clothing that is excessively revealing (transparent, or that overly exposes areas of the body such as the midriff or chest); bedroom slippers or flip flops; garments meant to be worn as underwear; T-shirts; or, attire with graphics or text endorsing gang membership, obscenity, illegal activities, violence, drugs, alcohol or tobacco.
- iii) Exceptions:
  - (1) In an effort to have a work-friendly environment, Employees shall observe a Summer Dress Code, effective Monday through Friday, from Memorial Day to Labor Day. During the warm weather season, Employees shall have the opportunity to come to work in a more casual and relaxed atmosphere. An Employee's schedule may dictate a more traditional attire, such as attendance at Board or other business related meetings.
  - (2) Other than a Summer Dress Code, Employees may observe a Dress Down Day each week, which will be designated by the Executive Director. The Executive Director may approve certain Dress Code exceptions on Dress Down Day.
- iv) Enforcement:
  - (1) The Executive Director shall interpret Dress Code Policy in light of the appropriateness to the work environment.



(2) The Executive Director shall be responsible for ensuring that Employees dress in accordance with this Policy.

(3) For the first violation, inappropriately dressed Employees shall be given a verbal warning and be sent home. For the second violation, inappropriately dressed Employees shall be given a written reprimand and be sent home. Any Employee sent home shall use annual leave to dress properly and return to work. Future violations shall result in progressive disciplinary actions.

## 5) **RECRUITMENT AND SELECTION**

a) Job opportunities with the Authority are communicated through job postings on the Authority's website, paid advertisements, and any other means deemed necessary by the Executive Director.

b) Job openings with the Authority should be posted for at least five workdays.

c) The recruitment process for job openings shall require applicants to complete an Authority Employment Application.

d) For a job applicant to be considered for employment, the applicant's Authority Employment Application shall:

i) Be submitted or postmarked on or before the deadline date.

ii) Be filed on the prescribed form.

iii) Be substantially complete.

iv) Reflect that the applicant possesses the required knowledge, skills, ability and experience.

v) Not in any way be falsified.

vi) Not reflect that the employment of the applicant would violate the Nepotism provisions of this Policy.

vii) Reflect that the applicant meets other valid and lawful employment requirements for



the position which is vacant.

- e) After the advertising period, the Executive Director shall evaluate the applications that have been received to determine which job applicants met the criteria for further consideration, as described above.
- f) The Executive Director shall:
  - i) Prepare questions for the applicants' job interviews.
  - ii) Identify the applicants for interview, from the pool of applicants who met the criteria for consideration.
  - iii) Conduct interviews with applicants; the Executive Director may request assistance from Authority Board members and/or outside parties in conducting interviews and evaluating applicants at the Executive Director's sole discretion.
  - iv) Identify his/her top candidate(s), subsequent to the completion of interviews, and conduct and document no less than three (3) telephone employment reference checks for such candidate(s).
  - v) Upon completion of satisfactory reference checks of no less than the Executive Director's top candidate, the Executive Director shall obtain background checks, consistent with Board policy.
  - vi) Upon completion of a satisfactory background check, the Executive Director shall seek the Board Chair's concurrence to hire the recommended candidate, contingent upon the candidate's successful completion of pre-employment drug testing, consistent with Board policy.
  - vii) Upon obtaining the Board Chair's concurrence, the Executive Director shall provide written notice of intent to hire to the candidate, contingent upon the candidate's successful completion of pre-employment drug testing, consistent with Board policy.

**6) PROBATIONARY PERIOD AND INITIAL EVALUATION PERIOD**



- a) This Section shall not apply to Temporary Positions of less than six (6) months in duration.
- b) Full-Time and Part-Time Employees, with the exception of those Employees who are in a Temporary Position of less than six (6) months in duration, shall serve a probationary period. The probationary period should be considered the "working test" portion of the evaluation process. It shall be utilized to closely observe the Employee's work, determine suitability for continued employment and for ensuring the most effective adjustment of an Employee to the position.
- c) The probationary period shall be six (6) months in duration, unless extended.
- d) The Executive Director may, prior to the expiration of the probationary period of a particular Employee, extend the duration of a probationary period. No extension shall be allowed which would make the probationary period longer than eight (8) months.
- e) No less than two (2) weeks before the expiration of an Employee's probationary period, the Executive Director shall prepare a written performance evaluation that reflects the Employee's work performance during the evaluation period, and discuss such evaluation with the Employee.

**7) ANNUAL PERFORMANCE APPRAISAL**

- a) No later than one (1) month after an Employee's annual employment anniversary, the Executive Director shall prepare an annual written performance evaluation and discuss the evaluation with the Employee. Such annual performance evaluations shall reflect the Employee's work performance during the annual evaluation period.
- b) If an annual written Employee evaluation identifies areas for improvement, the Employee shall make efforts to address such areas and the Executive Director may, at their sole discretion, provide a subsequent written evaluation of the Employee's improvement or lack thereof no sooner than one (1) month after the Employee's receipt of the annual written Employee evaluation.



## 8) **COMPENSATION**

- a) The Employee's compensation will be defined by the Board and may be subject to increase during the term of the Employee's employment at the sole discretion of the Board.
- b) Employees shall be paid in accordance with the normal payroll schedule of the Authority and such pay shall be subject to normal payroll deductions.
- c) Overtime –
  - i) The established work week is forty (40) hours within a seven (7) day period, Saturday through Friday. Overtime is calculated at one and one-half (1-1/2) times an hour on hours worked over the established workweek. All Overtime work must have prior written authorization by the Executive Director; and not securing this authorization may result in disciplinary action.
  - ii) Workers' Compensation Leave and Administrative Leave are "paid leave," not "hours worked"; and such leave will not be counted toward overtime.
  - iii) Compensation for Overtime shall be administered by the following guidelines:
    - (1) Employees in exempt positions, as defined by the Fair Labor Standards Act, shall not be eligible for overtime compensation. However, if Overtime is worked by an Exempt Employee, compensatory leave credits equal to the overtime hours worked shall be granted ("Compensatory Leave"). The maximum accumulation of Compensatory Leave is eighty (80) hours. Additional accumulation can only be extended with the prior approval of the Board.
    - (2) Employees in non-exempt positions, according to Fair Labor Standards Act, who are authorized in advance by the Executive Director to work Overtime, shall be granted Compensatory Leave at the rate of one and one-half (1-1/2) hours for each Overtime hour worked or cash payment for Overtime worked at the rate of one and one-half (1-1/2) times that Employee's regular hourly rate of pay, at the



discretion of the Executive Director.

iv) Compensatory Leave or cash compensation for overtime may only be granted when actual hours of work exceed forty (40) hours during the workweek. Holidays, however, shall be considered as hours worked for purposes of this section.

v) If Overtime is authorized using Compensatory Leave only, Employees must be notified before the Overtime is worked.

vi) Every effort should be made to schedule such the use of Compensatory Leave at the earliest possible date, with the Executive Director's prior approval.

d) Time and Attendance Records - Employees are required to keep an accurate, daily accounting of all hours worked and leave used on the appropriate Authority form.

## 9) **BENEFITS**

a) This Section shall not apply to Employees in Temporary Positions.

b) Health Insurance.

i) The Authority offers a health insurance plan to the Employee, and to the Employee's family members and other persons who are eligible to participate in such health insurance plan ("Health Insurance").

ii) All Full-Time Employees are eligible to participate in Health Insurance.

(1) For all Full-Time Employees hired prior to October 1, 2014, and to the extent the Full-Time Employee participates in the offered Health Insurance, the Authority shall pay ninety percent (90%) of the cost of the Health Insurance premium; and Employee shall pay the remaining ten percent (10%) cost of the Health Insurance premium and all out of pocket costs including but not limited to co-payments and deductibles.

(2) For all Full-Time Employees hired on or after October 1, 2014, and to the extend the Full-Time Employee participates in the offered Health Insurance, the



Authority's share and the Employee's share of the cost of the Health Insurance premium shall be determined from the following table based on the coverage selected :

10) Coverage	11) Authority %	12) Employee %
13) Single	14) 85.0%	15) 15.0%
16) Employee +1	17) 82.5%	18) 17.5%
19) Family	20) 77.5%	21) 22.5%

(1) In addition to Employee's share of the cost of the Health Insurance premium Employee shall pay all out of pocket costs including but not limited to co-payments and deductibles.

ii) Part-Time Employees, whose scheduled Work Hours are not less than thirty (30) hours per week, are eligible to participate in Health Insurance ("Health Insurance Eligible Part-Time Employee").

(1) To the extent the Health Insurance Eligible Part-Time Employee participates in the offered Health Insurance, the Authority shall pay eight-five percent (85%) of the cost of the Health Insurance premium for single coverage and all out of pocket costs including but not limited to co-payments and deductibles.

(2) If the Health Insurance Eligible Part-Time Employee seeks to provide Health Insurance for additional eligible persons, such as two person or family coverage, the Health Insurance Eligible Part-Time Employee shall pay the health insurance premium cost in excess of eighty-five (85%) of the Health Insurance premium for single coverage and all out of pocket costs including but not limited to co-payments and deductibles.



iii) Employees must enroll in Health Insurance within the first 30 days of Authority employment or wait until the annual open enrollment period.

b) Annual and Sick Days.

i) Accrual Rates.

(1) Annual Leave – Full-Time Employees shall accrue annual leave at the following monthly rates,

(a) Eight (8) hours per calendar month effective upon employment.

(b) Ten (10) hours per calendar month after completion of five (5) years of Authority employment.

(c) Twelve (12) hours per calendar month after completion of ten (10) years of Authority employment.

(d) Thirteen (13) hours per calendar month after completion of fifteen (15) years of Authority employment.

(e) Fourteen (14) hours per calendar month after completion of twenty (20) years of Authority employment.

(f) Sixteen (16) hours per calendar month after completion of twenty-five (25) years of Authority employment.

(2) Sick Leave - Employee shall accrue eight (8) hours of sick leave per calendar month effective upon employment..

(3) Accrual rates for annual leave and sick leave shall be prorated for:

(a) Employment periods of less than one calendar month, and

(b) Part-Time Employees, in proportion to their regularly scheduled and Working Hours (i.e., a Part-Time Employee regularly scheduled and budgeted to work twenty (20) hours per week would accrue 50% of the Full-Time Employee's annual leave and sick leave).



- ii) Annual leave and sick leave shall be accrued on the last day of each calendar month during which the Employee is employed by the Authority.
- iii) The Employee's accrued annual leave balance shall be reduced, as necessary, to two hundred forty hours as of September 30 of each fiscal year. At no time shall the Employee be compensated for any accrued annual leave balance in excess of two hundred forty (240) hours. There is no limitation on the amount of sick leave hours that may be accrued.
- iv) Reimbursement at Termination. Upon termination, the Employee will be reimbursed as follows for accrued annual leave, sick leave, and Compensatory Leave balances ("Leave Payout"):
  - (1) If the Employee provides to the Executive Director no less than two weeks advance written notice of resignation, or if the Authority terminates the Employee:
    - (a) For the balance of the Employee's accrued annual leave, Employee shall be reimbursed at the rate of one (1) hour of pay for every hour of Employee's accrued annual leave balance not to exceed two hundred forty (240) hours; and
    - (b) For the balance of the Employee's accrued sick leave, Employee shall be reimbursed at the rate of twenty-five percent (25%) of one (1) hour of pay for every hour of Employee's accrued sick leave balance at the time of termination.
  - (2) If the Employee terminates the Employee's employment with the Authority without providing the Executive Director two weeks advance written notice of resignation, the Employee shall only be paid for Compensatory Leave balance, at the rate of one (1) hour of pay for every hour of Employee's accrued Compensatory Leave balance, and Employee shall not be paid and shall not be owed any compensation for any remaining Leave Payout.



- v) Taking Leave. The expectations of the Authority are that the Employee shall schedule the taking of annual leave and Compensatory Leave in consideration of the needs of the Authority. Employee shall provide reasonable notice to the Executive Director in advance of annual leave and Compensatory Leave being taken for more than two consecutive business days and as soon as reasonably possible for sick leave being taken; however such notice for sick leave shall be provided no later than one hour after the start of the normal business day.
- c) Florida Retirement System. The Authority participates in the Florida Retirement System. The Authority shall pay all required employer contributions, as a percentage of the Employees' compensation and Leave Payout that is eligible under the Florida Retirement System for Employee's membership in the Florida Retirement System as a Regular Class member.
- d) Holidays. The Employee shall annually be entitled to the following nine days off from work with pay ("Holiday Leave"):
  - i) The same days as the State of Florida's Employees observe which are the following holidays: (a) New Year's Day, (b) Birthday of Martin Luther King, Jr., (c) Memorial Day, (d) Independence Day, (e) Labor Day, (f) Veteran's Day, (g) Thanksgiving Day, (h) the day after Thanksgiving and (i) Christmas; and
  - ii) Either the business day before or the business day after the observed Christmas holiday; the selection of which of these two days shall require the Executive Director's approval.
- e) Bereavement. The Employee shall be granted three (3) days of leave with pay upon the death the Employee's spouse, or the grandparents, parents, brothers, sisters, children, and grandchildren of both the Employee and the Employee's spouse ("Bereavement Leave"). Notification of the need for Bereavement Leave must be made as soon as possible to the Executive Director and, if the Executive Director is unavailable, the Employee shall provide notification of the need for Bereavement Leave to the Board's Chair.



f) Administrative Leave. If the Employee is summoned by the Court as a member of a jury panel or jury pool, or is subpoenaed as a witness not involving personal litigation, the Employee shall be granted Administrative Leave with pay for the time the Employee is serving in such capacity. Notification of the need for Administrative Leave must be made as soon as possible to the Executive Director and, if the Executive Director is unavailable, the Employee shall provide notification of need for Administrative Leave to the Board's Chair. The Board may, at its sole discretion, place the Employee on Administrative Leave, with or without pay, for reasons other than those stated above, if it is determined by the Board to be in the Authority's best interest.

**10. TERMINATION** - The Employee's employment with the Authority may be terminated at any time by the Authority or by the Employee pursuant to the following provisions:

- a. Death. In the event of the Employee's death, the Employee's employment shall terminate automatically, effective as of the date of death, and the Authority shall pay to Employee's estate the amounts which would otherwise be paid to the Employee up to and including the date of death.
- b. By the Employee. The Employee may terminate the Employee's employment with the Authority, for any reason and at any time upon two (2) weeks prior written notice to the Authority. If the Employee terminates their employment with the Authority, the Employee shall not be paid any compensation or be provided any benefits after Employee's last day of active employment with the Authority, other than benefits and compensation already accrued.
- c. By the Authority. Termination of the Employee by the Authority shall only occur upon recommendation of the Executive Director and with the concurrence of the Board's Chair, or upon a motion passing upon the affirmative vote of a majority of the Board at any duly noticed regular or special meeting at which a quorum is present. The Employee's employment may be terminated in the sole judgment and discretion of the Authority. Such termination shall be effective with no less than



fourteen (14) calendar days' advance written notice to the Employee or, in lieu of such notice, such termination may be effective immediately and Employee shall receive payment for eighty (80) hours of the Employee's regular rate of pay.

- d. Effect of Termination. Upon termination of Authority employment, Employee shall be entitled to receive owed compensation and benefits payable through the effective date of termination and any payments due regarding payment in lieu of notice of termination. The Authority shall be entitled to deduct from any such payment any amounts owed by the Employee to the Authority. Following payment of such amounts, the Authority shall have no further obligation to the Employee.

## **11. DISCIPLINE**

- a. The Executive Director has the authority to give an oral or written warning to an Employee and effectively recommend to the Board's Chair other disciplinary action. In cases of fighting, threat or use of weapon on the job, the possession of illegal substance, intoxicant or abuse of Authority property, the Executive Director has the authority to suspend the Employee immediately. The authority to administer all other disciplinary action requires the Executive Director to obtain the Board Chair's concurrence in advance of taking such action.
- b. Disciplinary action should be administered in a progressive manner. Types of disciplinary actions follow:
  - i. Oral Warning - This is the least severe disciplinary action. It should serve as an "alert mechanism" to establish more satisfactory performance or behavior. A written account including the date and nature of the oral warning shall be made for reference. An Employee shall be advised when an oral warning is being made. The Oral Warning will be witnessed by either the General Counsel or the Board Chair.

- 1. The Executive Director is authorized to give a verbal warning to an



Employee in order to establish or reestablish satisfactory performance or behavior.

2. An effective oral warning includes a clear description of the correct performance or behavior which is desired and notice to the Employee that the conversation is to be considered an oral warning. The Executive Director shall document such oral warning in an informal written record (incident file). Such documentation should include the date of the oral warning and, if possible, a brief summary of the conversation to include major points, requests, suggestions, directions, etc. given to the Employee by the Executive Director and any remedial action agreed upon by the Employee.
- ii. Written Warning - This is a disciplinary action whereby the Employee is notified in writing of unsatisfactory conduct or performance.
1. The Executive Director has the authority to issue a written warning.
  2. A good written warning should include a clear description of the correct behavior which is expected, reference to the fact that the written notice constitutes a written warning and a statement that continued unsatisfactory performance or conduct will result in more severe disciplinary action.
  3. Following discussion with the Employee, the original written warning, signed by the Executive Director and the Employee, will be filed in the Employee's personnel record and a copy is to be provided to the Employee.
- iii. Suspension - An Employee may be suspended with or without pay for disciplinary reasons for a length of a time that the Authority considers



appropriate. This action may only be taken by the Executive Director with the concurrence of the Board's Chair. If a workplace situation necessitates the immediate removal of an Employee from the Work Area, the Executive Director may immediately suspend the Employee with notification to the Board and direct the Employee to report back to the Executive Director at a specific date and time, within two (2) working days, concerning further disposition of the matter.

- iv. Termination – An Employee's Termination from Authority employment is the most severe form of discipline. Terminations may be necessary for reasons such as unacceptable personal conduct, unsatisfactory work performance, or failure to observe Authority rules and regulations. This action may only be taken by the Executive Director after obtaining the concurrence of the Board's Chair or upon a motion passing upon the affirmative vote of a majority of the Board at any duly noticed regular or special meeting at which a quorum is present.
- c. The severity of any disciplinary action should be related to the gravity of the offense, and the Employee's work and discipline record and the Employee's length of Authority service.
- d. Guidelines for Disciplinary Action for First Offenses - Listed below are guidelines for disciplinary action involving first offenses. The list is not intended to be exhaustive nor are the suggested actions for any offense required. The circumstances of each case shall govern the disciplinary action.
  - i. Misconduct Normally Resulting in an Oral Warning:
    - 1. Absenteeism;
    - 2. Tardiness;
    - 3. Failure to perform assigned duties properly or in a timely manner;



4. Failure to notify Executive Director of absences;
  5. Failure to follow documented office practices, procedures and protocol.
- ii. Misconduct Normally Resulting in a Written Warning for First Offense
1. Absence without authorized leave;
  2. Offensive conduct or abusive language;
  3. Improper use of Authority equipment;
  4. Leaving assigned Work Area without permission, when responsibility mandates a presence;
  5. Abuse of sick leave.
- iii. Misconduct Normally Resulting in Suspension for First Offense
1. Insubordination; (i.e. including but not limited to intentional failure or refusal to carry out a directive from the Executive Director).
  2. Sleeping on the job;
  3. Fighting on the job;
  4. Inappropriate conduct resulting in a violation of Authority policy.
- iv. Misconduct Normally Resulting in Termination for First Offense
1. Conviction of a felony;
  2. Abuse or theft of Authority property;
  3. Willfully making false statements about Authority Employees or members of the Board;
  4. Falsification of records such as, but not limited to, time and attendance, employment history, travel vouchers;



5. Illegal acceptance of gratuities;
  6. Possession or use of intoxicants or controlled substances on the job;
  7. Violence leading to the injury of another or destruction of Authority property;
  8. Abandonment of job (three successive work days missed without notification to Executive Director);
  9. Threat or use of weapon on the job.
- e. Authority Standards - It is the policy of the Authority that what a person does on his or her own time is exclusive of employment with the Authority. However, such policy is not absolute. If an Employee's outside conduct impairs the reputation of the Authority; causes the Employee to be unable to perform work or appear at work; or leads to refusal or reluctance on the part of others to work with the Employee, barring protection under law; then the Executive Director and the Board are justified in taking disciplinary action. When an Employee is on Authority property, he or she is subject to the Authority's work standards. An Employee officially representing the Authority at a location other than his or her normal place of work is accountable for compliance with the Authority's policies, procedures, and standards

**12. GRIEVANCE** - This process is intended to provide a method for Employee complaints to be heard and acted upon by the appropriate authority in an appropriate time frame and fair manner.

- a. A grievance can be filed for work-related dissatisfaction. Grievances cannot be filed due to administrative policy, disciplinary oral or written warnings or performance evaluations (unless it is alleged that the evaluation was based on factor(s) other than performance).



- b. Most job related dissatisfaction or problems can be handled by the Executive Director, and the first step in resolving work related problems or dissatisfaction is always to attempt to resolve them with the Executive Director. If unsuccessful, and the Employee seeks to address the Board's Chair, the Employee will notify the Executive Director of the Employee's intent to continue the grievance process to the Board's Chair.
  - i. The Employee will provide the Board's Chair a written description of the Employee's grievance.
  - ii. The Board's Chair will address the Employee's grievance as the Board's Chair deems appropriate.
- c. If the Employee seeks to continue the grievance process beyond the Board's Chair, the Employee will notify the Executive Director of the Employee's intent to continue the grievance process.



# Leon County Research and Development Authority

## Policy No. 11-02

Title: **Harassment Policy**

Date Adopted: March 1, 2011

Effective Date: March 1, 2011

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### 1. PURPOSE

- a. The purpose of Policy No. 11-2, “Harassment Policy”, is to provide a work environment free of harassment which encourages mutual respect, cooperation and understanding amongst members of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”) Board of Governors (hereinafter referred to as the “Board”) and employees of the Authority.
- b. The Authority will not tolerate Harassment whether it occurs in the workplace or outside the workplace.

### 2. SCOPE

- a. This policy applies to:
  - i. Members of the Board and Employees of the Authority.
  - ii. Claims of conduct defined as “Harassment”.
  - iii. Harassing conduct committed by vendors, clients and members of the public will not be tolerated. Harassing conduct by non-employees will be addressed through the Authority’s control over and business relationship with the alleged harasser.

### 3. DEFINITIONS



- a. For purposes of this policy, “Workplace Harassment” consists of unsolicited, offensive or retaliatory behavior based on race, color, religion, sex, sexual orientation, national origin, age, handicap, marital status, gender identity or expression, or an employee’s exercise of their constitutional or statutory rights. “Sexual Harassment” consists of unsolicited, offensive behavior involving sexual overtures or conduct, either verbal or physical. Neither Workplace Harassment nor Sexual Harassment refers to occasional comments of a socially acceptable nature to a reasonable person. The term “Harassment” is used in this policy to describe both Sexual Harassment and Workplace Harassment. Harassment refers to behavior that is not welcome, that is personally offensive, that lowers morale, and, interferes with the work environment.

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

Harassment may also take the form of employment actions such as termination, demotion, or other adverse employment decisions which effect an Employee’s working conditions, if such actions are taken on the basis of an employee’s race, color, religion, sex, sexual orientation, national origin, age, handicap, marital status, gender identity or expression, or an Employee’s exercise of their constitutional or statutory rights.



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

#### **4. PREVENTION**

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

#### **5. COMPLAINT PROCEDURE**

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



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

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

## **6. DISCIPLINE FOR VIOLATIONS OF THIS POLICY**



- a. In accordance with the procedures developed by the Authority, the Authority will take immediate and appropriate corrective action, against any individual who the Authority determines has violated this policy.
- b. If, during the performance of their duties on behalf of the Authority, any Employee is subjected to Harassment or retaliation by any person(s) not associated with the Authority, the Authority will take immediate and appropriate corrective action to protect the Employee from such Harassment or retaliation.



# Leon County Research and Development Authority

## Policy No. 11-03

Title: Purchasing Policy  
Date Adopted: May 10, 2011  
Date Revised: April 6, 2017  
Effective Date: April 6, 2017

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### 7. PURPOSE

The purpose of Policy No. 11-03, “Purchasing Policy” is to provide guidelines for the purchases of goods and/or services made by or on behalf of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”). Purchases not explicitly covered in these guidelines are to be approved in advance by the Board of Governors (hereinafter referred to as the “Board”).

### 8. SCOPE

This policy applies to:

- a. The Executive Director and other authorized employees of the Authority, as well as individuals or organizations contracted to do business and make purchases on behalf of the Authority; all of whom are defined as “agents”.
- b. The Board.

### 9. PURCHASING CATEGORIES

- a. **Construction of Facilities for Lease to the State**



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

**b. Procurement of Professional Audit Services**

The procurement of professional auditing service as required in Section 218.39, Florida Statutes, shall be procured in compliance with the requirements of Section 218.391, Florida Statutes.

**c. Emergency Purchases**

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

**d. Sole Sources**

In the event the Board makes a written determination that a particular good or service, or aggregate thereof, is only available from a single source, such item(s) may be purchased from such source without further compliance with section 3 herein.

**e. Board Contract Approval Only**

The following contracts, or acquisitions of goods or services, require contracts and acquisitions authorized and approved by the Board without further compliance with section 3 herein:

- i. Goods and services acquired through participation in a cooperative purchasing agreement with one or more public entities or pursuant to Chapters 255 and 287 Florida Statutes; or
- ii. Purchases pursuant to grant requirements;
- iii. A project where the contractor or builder has been selected by the Authority's tenant and use of such contractor or builder is a condition of the tenancy if:



- 1) The estimated costs of construction are reviewed by an architect, if appropriate, selected by the tenant or its agent and such architect certified in writing that such costs are competitive in the market place; and
  - 2) The tenant or contractor or builder is legally obligated for the complete and total repayment of any debt incurred by the Authority in connection with such a project.
- iv. Budgeted grants awarded by the Authority where grantee is determined by an independent panel of judges following a formal selection process;
  - v. Insurance procured in accordance with a Broker Agreement with the Authority;
  - vi. Changes, amendments or change orders to existing contracts that cumulatively do not exceed 25% of the original contracted value.

**f. All Other Purchases: Dollar Value Categories**

All other purchases shall be based on the dollar value of the purchase. The dollar value of a purchase will be based on the actual or estimated fixed cost of the goods or services for the full term of the agreement. The cost of renewal and option periods is not included in the total dollar value of the purchase if renewal and option periods are at the option of the Authority, or by mutual agreement of the parties. Purchases shall not be split into multiple smaller purchases for the purposes of meeting lower dollar value category purchase requirements. All purchase amounts must be provided for within the annual budget approved by the Board for the current or next fiscal year (where the purchase falls within the next fiscal year); if not, then approval of the Board must be granted prior to procurement.

**i. Not a fixed dollar amount**

Purchases of goods or services not based on a fixed dollar amount, such as commission based or fee for service based on a rate schedule shall be procured as follows:

- 1) General Counsel and Real Estate Broker Services, not based on a fixed dollar amount, shall be competitively procured in accordance with section 3.f.ii.(4) below regardless of the expected dollar value of the services.



- 2) All other goods and services procured, not based on a fixed dollar amount and where the amount cannot be reasonably estimated, shall be procured in accordance with the direction provided by the Board.

**ii. Fixed dollar amount**

**1) Purchases: \$2,500 or Less—Agent Discretion**

For the purchase of goods or services that cost \$2,500 or less, the agent shall, in his or her reasonable discretion, obtain the best quality goods or services at the lowest total cost. The Executive Director is authorized to execute all contracts required for purchases pursuant to this paragraph.

**2) Purchases: \$2,501 to \$10,000—Written Quotes, Executive Director Approval**

For the purchase of goods or services that cost more than \$2,500, up to and including \$10,000, the agent shall obtain written quotes, from at least three different vendors, for the cost of providing the relevant goods and services. The Executive Director shall, in his or her reasonable discretion, obtain the best quality goods or services at the lowest total cost. The Executive Director has the right, to reject all quotes submitted for a specific purchase pursuant to this paragraph. The Executive Director has the right to accept fewer than three quotes where, in his or her reasonable discretion, legitimate attempts have been made to receive additional quotes, additional vendors are not willing or able to provide a quote(s), and the quote(s) received are reasonable. The Executive Director is authorized to execute all contracts required for purchases pursuant to this paragraph.

**3) Purchases: \$10,001 to \$50,000—Informal Bids, Board Approval**

For the purchase of goods or services that cost more than \$10,000 and up to and including \$50,000, the agent shall endeavor to obtain informal bids, from at least three different vendors, for the cost of providing the relevant goods and services. Informal bids do not require a public notice of intent or formal request for proposal, although specifications for the goods or services to be provided shall be clearly defined, and provided to all solicited bidders. The agent shall solicit informal bids from the vendors



that, in the agent’s reasonable discretion, will provide the highest quality goods and services at the lowest cost. The Board shall authorize the purchase from the vendor that the Board, in its sound discretion, believes will provide the highest quality goods and services at the lowest cost. The Board has the right, in its sole discretion, to reject all informal bids submitted for a specific purchase pursuant to this paragraph. The Board has the right to accept fewer than three informal bids where, in its judgment, it is in the Authority’s best interest to do so. Only the Chair of the Board is authorized to execute contracts required for purchases pursuant to this paragraph.

**4) Purchases: More than \$50,000—Formal RFP Process, Board Approval**

The purchase of goods or services that cost more than \$50,000 shall require prior approval of the Board. Except as otherwise specified in section 3 herein, the Board shall obtain such purchases through competitive procurement. The agent shall draft the appropriate notice of intent to procure the goods or services, and draft the formal request for proposals which shall contain specifications of the specific goods or service to be purchased, as well as the selection process and criteria to be used for the procurement. The notice of intent and request for proposals shall be approved by the Board. The notice of intent shall then be published in a local newspaper of general circulation approved for legal publication at least once, and posted on the Authority’s website at least 20 days before proposals are due. The agent shall endeavor to obtain proposals from at least three different vendors. The Board shall award the contract to the vendor, which the Board, in its reasonable discretion, best meets the criteria contained in the procurement. The Board has the right, in its sole discretion, to reject all proposals submitted for a specific purchase pursuant to this paragraph. The Board has the right to accept fewer than three proposals where, in its judgment, it is in the Authority’s best interest to do so. Only the Chair of the Board is authorized to execute contracts required for purchases pursuant this paragraph.

**10. Preferences: Local Business, and Disadvantaged Businesses Enterprises**

The Authority shall develop policies and procedures for supporting local and disadvantage business enterprises in its procurement practices.

**11. Contracts**



a. **Contract Execution**

The Contracts for purchases of goods and services shall only be executed by the Chair of the Board, unless otherwise authorized herein. In accordance with the Authority Bylaws, the Vice Chair may execute contracts if the Chair so designates in specific cases. The Executive Director may authorize and execute the extension and/or renewal of any contact, provided the cost does not change, or the cost was changed in accordance with the existing contract provisions.

b. **Term, Extensions/Renewals**

Without prior approval of the Board, the contact term shall be for no more than one year. Contracts may provide for up to two additional one-year extensions. The contracts and performance of vendors retained by the Authority shall be re-procured at least every three years, unless otherwise directed by the Board.

c. **Equal Opportunity Provisions**

Each contract or agreement for the purchase of goods or services shall include the following Equal Opportunity provision: “During the performance of this Agreement, the (vendor) (contractor) (service provider) (other) agrees not to discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, or national origin.”

d. **Purchases without a contract**

This policy does not preclude the purchase of goods or services without a contract. Contracts are required for purchases where the goods or services will be provided over a future period of time greater than 60 days. One-time purchases of goods or services to be provided within a 60-day future period of time, or on a month-to-month basis, may not require a contract. The Executive Director shall exercise his or her reasonable discretion in the need for a contract for the purchase of goods or services.

**12. Standards of Conduct**

Agents, in the conduct of purchasing of goods and services on behalf of the Authority, shall comply with all applicable Section 112.313, Florida Statutes. No agent shall participate in the conduct of purchasing goods or services where the agent has a conflict of interest, or receives any personal benefit from the purchase of goods or services. The agent shall not



accept any gifts or any other form of inducement that would influence the decision of the agent in the conduct of the purchasing goods or services on behalf of the Authority.



# Leon County Research and Development Authority

## Policy No. 11-04

Title: **Records Retention**

Date Adopted: July 8, 2011

Effective Date: July 8, 2011

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### 1. PURPOSE

- a. The purpose of Policy No. 11-4, “Records Retention,” is to provide guidelines for record retention and destruction by the Leon County Research and Development Authority (hereinafter referred to as the “Authority”).

### 2. SCOPE

- a. This policy applies to public records, as defined by Chapter 119, Florida Statutes, created by the Authority including: documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software, or other material, regardless of the physical form, characteristics, or means of transmission, made or received pursuant to law or ordinance or in connection with the transaction of official business by the Authority. This policy is not intended to supplant or replace any obligation that might apply to any particular Board Member as a result of that Board Member’s status or role as a person that might otherwise be subject to the requirements of Chapter 119.

### 3. POLICIES

- a. The Executive Director of the Authority is the Records Management Liaison Officer as required by Section 257.36 Florida Statutes. The Records Management Liaison Officer responsibilities include the following:



- i. Serving as the Authority's contact with the Florida Department of State, Division of Library and Information Services
  - ii. Coordinating the special district's records inventory
  - iii. Maintaining retention/disposition forms
  - iv. Coordinating special district records management training
  - v. Developing records management procedures
  - vi. Participating in the Authority's development of electronic record keeping systems
  - vii. Working with the Florida Department of State, Division of Library and Information Services, to establish individual retention schedules for the Authority, if necessary.
- b. All Authority records shall be maintained, made available to the public, and disposed of in such a manner as to meet information needs, ensure effective and economical use of equipment and space, and comply with state statutes relating to public records. The Authority complies with applicable rules pertaining to records retention and destruction outlined in the current version of the Florida *General Records Schedule GSI-SL for State and Local Government Agencies*. To ensure that electronic messages that are sent or received by employees of the Authority or Members of the Board relating to the business of the Authority are properly retained, employees of the Authority and Members of the Board shall ensure that a copy of such e-mails are provided to the Executive Director ([lcrda@inn-park.com](mailto:lcrda@inn-park.com)) and the Office Manager ([lcrda@inn-park.com](mailto:lcrda@inn-park.com)), who will be responsible for ensuring that such materials are properly retained.
- c. As required by Rule 1B-24.003, Florida Administrative Code, the Authority will submit to the Florida Department of State, Division of Library and Information Services, a signed statement attesting to the Authority's compliance with records disposition laws, rules, and procedures by December 31 of each year.
- d. Public Access





Double-sided copy:	\$0.20 per page of not more than 8 ½ x 14 inches
All other copies:	Actual cost of duplication (material and supplies, not labor)
CD-ROM:	\$0.85 each
DVD:	\$1.15 each
Certified Copies	\$1.00 per page
Packaging and shipping charges:	Estimated costs may be changed to reflect actual cost incurred

iv. Requests for copies or lists of records maintained by the Authority which require the use of information technology resources (as defined in Chapter 282.0041(16), Florida Statutes), shall be charged based on the following criteria:

1. Information provided over the phone, intranet or internet and requiring no extensive clerical or supervisory time should incur no charge.
2. If the nature of the request is such that it requires extensive clerical or supervisory time to comply, an additional charge may be made based on the hourly rates(s) of the employee(s) involved.
3. Requests, which require extensive use of information technology resources, shall be charged the specific cost incurred to create or transfer the requested information. For the purposes hereof, "extensive" means the expenditure of greater than 0.50 hours of information technology resources.

v. Money received for use of information technology resources shall be collected, deposited and accounted for in the manner prescribed for the receipt of all revenue. If the actual costs incurred are less than such payment as estimated, the



overpayment will be refunded to the requestor. The requestor will be required to remit additional monies upon release of the documents to pay for any costs in excess of the estimate. In the event the requestor fails to remit additional monies to cover costs in excess of the deposit, the requested public records will not be released.

vi. Some public records may be exempt from public inspection by law. For records so exempt from public disclosure, the designated records custodian must state the legal basis for the exemption (e.g. Social Security numbers). If a file or group of files contains some information that is exempted from public inspection and some that is not, the custodian is required to produce the records for examination upon request. However, the portion(s) of the records that are exempt shall first be deleted or concealed and, for any exemption claimed (whether all disclosure is refused or portions are deleted), the custodian must state the statutory basis for the exemption and, if requested by the person seeking the record, the custodian shall state with particularity, in writing, the reasons for the custodian's conclusion that the record is exempt from disclosure. The Authority's General Counsel may be consulted in the event an exemption from disclosure is claimed by the custodian.

1. Exempt and confidential and exempt information, regardless of format, shall be labeled to the maximum extent possible.
2. Exempt and confidential and exempt information shall be destroyed in accordance with the applicable retention schedule, regardless of media type, and the requirements of this policy and procedure.



# Leon County Research and Development Authority

## Policy No. 11-05

Title: **Investment Policy**

Date Adopted: October 4, 2011

Revised: August 7, 2013  
December 4, 2014  
September 3, 2015

Effective Date: October 1, 2015

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### **Introduction**

The purpose of Policy No. 11-5, “Investment Policy,” is to set forth the framework within which The Leon County Research and Development Authority (“the Authority”) will manage investment assets belonging to the Authority.

The Authority’s Board of Governors (“the Board”) is responsible for setting guidelines for the investment of the Authority’s portfolio through the adoption of this Investment Policy. The Board has established the Investment Advisory Committee (“the Committee”) and charged it with the responsibility of reviewing and recommending changes to the Policy no less than annually. The Committee meets semi-annually unless interim issues require more frequent meetings. Meetings are noticed and open to the public; and, the minutes of each meeting are recorded. The Committee, appointed by the Chair of the Authority’s Board, consists of at least one Board member and qualified citizens with financial or investment expertise who are independent of employment and business relationships with the Authority. The Chair of the



Committee will be appointed by the Chair of the Authority and must be a member of the Authority's Board of Governors.

**I. Scope**

This policy shall apply to all funds held by the Authority in excess of those required to meet current expenses and shall be in compliance with Section 218.415, Florida Statutes.

**II. Objectives**

The objectives of the Authority Investment Policy, in order of priority, are to provide safety of capital (preservation of the real value), liquidity of funds, and competitive net returns. For funds held with the expectation of expenditure within 6 months, the principal investment objective shall be preservation of the real value (i.e. inflation-adjusted value) of capital. For funds held with the expectation of expenditure beyond 6 months, capital may be invested subject to moderate levels of interest rate risk, credit risk and liquidity risk, and minimal levels of other forms of risk, provided that the Authority has reasonably determined that the expected return premium associated with these risks is sufficiently high to warrant the investment. The optimization of investment returns shall be secondary to the requirements for safety and liquidity.

**III. Performance Measurement**

The State Board of Administration's Local Government Surplus Funds Trust Fund (Prime Fund) will be used as a benchmark for funds invested with the expectation of expenditure within 6 months. For funds invested with the expectation of expenditure beyond 6 months, the benchmark shall be an index comprised of US Treasuries or Government securities as set by



the Committee. The externally managed intergovernmental pools each specify a benchmark appropriate for the pool.

**IV. Prudence and Ethical Standards**

The primary standard for investment of the Authority’s assets shall be the Prudent Person Rule, which states that “Investments should be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion, and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived from the investment.”

Officers, employees, investment managers and advisor vendors of the Authority who are involved in the investment process shall refrain from personal business activity that could conflict with State Statutes, resolutions, proper management of the investment portfolio or which could impair their ability to make impartial investment decisions. Investment officials and employees, including members of the Committee, shall disclose any material financial interests in any investment firms, or financial institutions that conduct business with the Authority and shall refrain from undertaking personal investment transactions with the same individual with whom business is conducted on behalf of the Authority.

**V. Authority**

Responsibility for the investment program is vested with the Committee. The Executive Director shall assist the Committee by maintaining an Investment Procedures and Internal Controls Manual based on this Policy. The Authority may retain one or more professional organizations, as investment manager(s), to manage the portfolio under the guidance of these policies and the Authority’s Committee, and may also retain the services of investment



advisor(s). The Executive Director shall perform the duties and responsibilities of the investment manager in the event an investment manager is not retained by the Authority. No person may engage in an investment transaction except as stated in the Internal Controls Section of this Policy.

The investment manager(s) shall have substantial discretion in the management of the investments within the defined objective range. The investment manager(s) is expected to optimize the Authority's expectations. The investment manager(s) and investment advisor(s) serve at the will of the Authority's Board of Governors, subject to the specific terms of contracts between the parties. Yield or growth targets, if any, established by the Authority shall be implemented by, and used in the performance evaluation of, the manager(s).

The investment manager(s) and investment advisor(s) will provide the Committee with reports in sufficient detail as may be requested by the Committee in order for them to review the performance of the portfolio. The Committee will establish portfolio benchmarks in order to judge the performance of the internally managed portfolio with respect to the market and other portfolios of similar size and limitations. The Committee will provide the Board a report at the close of the fiscal year recapping the performance of the portfolio and any outside managers, and at such other times as the Board may request.

## **VI. Investment Manager(s)**

The duties and responsibilities of the investment manager(s) are to:

- Exercise discretion in the management of the assets under its control in accordance with the Investment Policy objectives and guidelines and also expressed in separate written agreements.
- Comply with all applicable state and federal laws, rules, regulations and fiduciary prudence, and due diligence requirements.



- Promptly inform the Committee in writing regarding all significant and/or material matters and changes pertaining to the investment of assets or the ownership, management or financial stability of the investment management firm.
- Recommend to the Committee changes, additions or deletions to the Investment Policy as deemed advisable.
- Promptly vote all proxies and related actions in a manner consistent with the long-term interests and objectives of the Authority, including the responsibility to vote proxies related to the investment manager’s proprietary investment funds held, unless voting responsibility has been reserved in writing to the Committee or its designee. The manager(s) has the right hereunder to solicit proxy voting recommendations from an independent qualified party, on matters that might involve potential conflicts of interest in the performance of the manager’s duties hereunder.
- Acknowledge in writing the receipt of this Policy and acceptance of its terms.

**VII. Investment Advisor(s)**

The Committee, with the Board’s consent, is authorized to hire an investment advisor on an as needed basis and the duties and responsibilities of the investment advisor(s) shall consist of the following, but are not limited to: participation in the selection, monitoring the performance of, and generally supervising any investment manager(s). The investment advisor shall also provide reports to the Committee, Executive Director, and Board of Governors.

**VIII. Authorized Investments**

Investments should be made subject to the cash flow needs of the Authority; and such cash flows are subject to revisions as market conditions and the Authority’s needs change. However, when the invested funds are needed in whole or in part for the purpose originally intended or for more optimal investments, authorized staff-- with the approval of the Committee, the Authority’s Executive Committee, or Board Chair -- may direct the sale of the investment at the



then-prevailing market price and place the proceeds into the proper account at the Authority's custodian.

The following are the guidelines for authorized investments and the limits on security types, issuers, and maturities that will be established by the Committee. The Committee shall have the option to further restrict investment percentages from time to time based on market conditions. The percentage allocations requirements for investment types and issuers are calculated based on the original cost of each investment. Investments not listed in this policy are prohibited.

The Authority shall invest in the following authorized instruments at the prevailing market prices or rates, subject to the limitations of Section 218.415 (16), Florida Statutes:

- A. The following intergovernmental investment pools authorized by Section 163.01 Florida Statutes:
  - 1. Local Government Surplus Trust Fund (Florida Prime)
  - 2. Treasury Special Purpose Investment Account (SPIA)
  - 3. Florida Local Government Investment Trust (FLGIT)
  - 4. Florida Municipal Investment Trust (FMIvT)
- B. Savings accounts in state-certified qualified public depositories as defined by Section 280.02, Florida Statutes.
- C. Certificates of deposit in state-certified qualified public depositories as defined by Section 280.02, Florida Statutes.
- D. Constant Net Asset Value Money Market Mutual Funds, which include U.S Government securities, repurchase Agreements, Commercial Paper and Bankers' Acceptances. Investments may be made in SEC qualified constant net asset value fixed income money market mutual funds rated AAAM or AAAg comprised of only those investment instruments as authorized in this section policy, provided that such funds do not allow derivatives.



- E. Repurchase Agreements comprised of only those investments as authorized in this policy and based on the requirements set forth in the Master Repurchase Agreement.
  - 1. All firms with whom the Authority enters into repurchase agreements will have in place and executed a Master Repurchase Agreement.
  - 2. All repurchase agreements with a term longer than one business day will have the collateral held by a third party custodian. The collateral held pursuant to a repurchase agreement shall have a maturity of less than five years and must have a mark-to-market value of 102 percent during the term of the repurchase agreement.
- F. Bankers' Acceptances which are inventory based and issued by a bank, which has at the time of purchase, an unsecured, uninsured and un-guaranteed obligation rating of at least "Prime-1" and "A" by Moody's and "A-1" and "A" by Standard & Poor's.
- G. Commercial Paper of any United States company, which is rated at the time of purchase, "Prime-1" by Moody's and "A-1" by Standard & Poor's (prime commercial paper).
- H. United States Government Securities including, but not limited to: Treasury and Cash Management Bills, State and Local Government Series (SLGS), Notes, Bonds Treasury Strips, and Treasury Inflation Protected Securities (TIPS).
- I. United States Federal Agencies - Investments may be made in bonds, debentures or notes issued or guaranteed by United States Government agencies, provided such obligations are backed by the full faith and credit of the United States Government.
- J. Federal Instrumentalities - Investments may be made in bonds, debentures or notes issued or guaranteed by the United States Government sponsored agencies (Federal Instrumentalities), which are non-full faith and credit agencies.
- K. Corporate Debt Securities - Investments may be made in notes, medium term notes, discount notes and variable-rate securities issued by any corporation, provided that such instrument is rated A or better by at least two Nationally Recognized Statistical



Rating Organizations (NRSRO) at time of purchase. All corporate transactions must be payable in U.S. dollars.

- L. Municipal Bonds - Investments may be made in notes or bonds issued by governmental entities or territorial boundaries of the United States, provided that such instrument is rated A or better by at least one NRSRO.

**IX. Maturity and Liquidity Requirements**

The investment portfolio is structured in such a manner as to provide sufficient liquidity to pay obligations as they come due. To that end, investments will be made to match investment maturities with known cash flow needs and anticipated cash-flow requirements. Investment of current operating funds shall have maturities of no longer than twenty-four (24) months.

Investments of non-operating funds (core funds) shall have a term appropriate to the need for the funds. The purchase of investments for core funds with maturities longer than three (3) years requires Committee approval before purchase.

**X. Risk and Diversification**

Assets shall be diversified to the extent practicable to control the risk of loss resulting from over concentration of assets in a specific maturity, issuer, instrument, dealer, or bank through which financial instruments are bought and sold. Diversification strategies within the established guidelines shall be reviewed and revised periodically, as deemed necessary by the Committee. The structure of the portfolio is designed to minimize credit risk.

The majority of the securities held will be those of the highest available credit quality ratings. These would include government pools, U. S Government (AAA) securities, and commercial paper, of only the highest applicable rating. Should an investment rating be downgraded to



below investment grade, the status of the funds in question will be reviewed by the Committee to determine the costs associated with risk and the benefits that may still be yielded.

For purposes of this Policy, the top nationally-recognized statistical rating organizations (NRSROs) for all credit-sensitive securities are Moody's Investor Services, Standard and Poor's, and Fitch Investor Services.

**XI. Authorized Investment Institutions and Dealers**

The investment manager(s) shall only purchase securities from financial institutions, which are qualified as public depositories by the Treasurer of the State of Florida or from institutions designated as "Primary Securities Dealers" by the Federal Reserve Bank of New York.

**XII. Internal Controls**

Included in any periodic financial review by an independent auditor will be an examination of the written system of internal controls and operational procedures established by the Executive Director and approved by the Board. The internal controls shall be designed to prevent losses of funds which might arise from fraud, employee error, and misrepresentation by third parties, or imprudent actions by employees of the Authority.

Such controls shall include, but not be limited to, the following:

- A. The function of authorizing or performing investment transactions will be separated from the function of recording the transaction.
- B. Confirmation. All telephone or other electronically initiated transactions will be supported by written communications and approved by a person other than the person initiating the transaction. Repetitive wires do not require a secondary approval; however, all non-repetitive wires shall have secondary approval.



- C. All securities purchased or sold will be transferred only under the "deliver versus payment" (DVP) method to insure that funds or securities are not released until all criteria relating to the specific transaction are met.
- D. The Executive Director will accept, on behalf of and in the name of the Authority, bank trust receipts or confirmations as evidence of actual delivery of the obligations or securities in return for investment of funds.
- E. Trust receipts or confirmations shall fully describe the various obligations or securities held. The receipt or confirmation shall state that the investment is held in the name of the Authority.
- F. The actual obligations or securities, whether in book-entry or physical form, on which trust receipts or confirmations are issued, may be held by a third-party custodial bank and/or institution or a designated correspondent bank which has a correspondent relationship to the Authority's third-party custodian.

**XIII.        Reporting**

The investment manager(s) and investment advisor(s) are responsible for preparing periodic reports for submission to the Committee and Board. These reports shall include securities in the portfolio by class or type, book value, income earned, and market value as of the report date as well as comparisons of their performance with agreed upon benchmarks. Such reports shall be available to the public.

**XIV.        Sale of Securities**

When invested funds are needed in whole or in part for the purposes originally intended, the investment manager(s) may sell such investments at the then-prevailing market price and place the proceeds into the proper account or fund of the Authority.

**XV.        Preemption**



Any provision of any special act, municipal charter, or other law which prohibits or restricts the Authority from complying with Section 218.415, Florida Statutes, or any rules under Section 218.415, Florida Statutes, is void to the extent of the conflict.

**XVI.        Audits**

Certified public accountants conducting audits of the Authority pursuant to Section 11.45, Florida Statutes, shall report as part of the audit, whether or not the Authority has complied with Section 218.415, Florida Statutes.

**XVII.       Adoption of Investment Policy**

This Investment Policy was adopted by the Leon County Research and Development Authority's Board of Governors on October 4, 2011, and revised August 7, 2013, December 4, 2014, and October 1, 2015.



# Leon County Research and Development Authority

## Policy No. 11-06

Title: **Leave Approval and Time Records Policy**

Date Adopted: August 2, 2011

Effective Date: August 2, 2011

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### 1. PURPOSE

The purpose of Policy No. 11-6, “Leave Approval and Time Records Policy,” is to provide guidelines for documenting leave, hours worked, and approval of leave by employees of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”).

### 2. SCOPE

The policy applies to employees of the Authority requiring the documentation of hours worked each day; annual and sick leave accrued and taken; observed paid federal holidays; other paid leave, such as funeral, administrative, and family medical leave; and a monthly balance of leave accrued /taken.

- a. Holidays and leave accrual rates for employees are established in Policy 11-1: Personnel Policy. Employees may accrue up to a maximum of 240 hours of annual leave which is adjusted on September 30 of each year.
- b. The Executive Director’s holidays and leave accrual rates are established by contract.



### 3. RESPONSIBILITIES

- a. *Employees* - Responsible for accurately preparing and submitting their time sheets to their supervisor for approval (signature). The employee is responsible for keeping their original annual timesheet up-to-date and accurate.
  
- b. *Supervisors* - Responsible for monthly verification and approval of time sheets. Supervisor approval certifies that leave reported by the employee is accurate and that all leave both earned and taken comply with the Authority's policies.
  - i. The Executive Director is supervised by the Chair of the Board of Governors.
  - ii. All other employees are supervised by the Executive Director.

### 4. GUIDELINES

- a. The time sheet is used to track time worked, and sick or annual leave taken or earned. The balance of leave hours are calculated monthly, verified and submitted by the employee to the employee's supervisor.

A copy of the approved timesheet is scanned and submitted to the payroll coordinator. Leave earned and taken is documented on the employee's monthly pay stub.

- b. **Actual Time Worked**

Employees are expected to work eight (8) hours each day. If an employee worked only six (6) hours, he/she must record two (2) hours of leave on the time sheet.



c. **Violations**

Falsification of time sheets and/or failure to adhere to this policy may subject an employee to disciplinary action, up to and including termination.



# Leon County Research and Development Authority

## Policy No. 11-07

Title: **Whistleblower Policy**

Date Adopted: August 2, 2011

Effective Date: August 2, 2011

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### 1. PURPOSE

The purpose of Policy No. 11-7, “Whistleblower Policy,” is to provide employees of the Leon County Research and Development Authority’s (hereinafter referred to as the “Authority”) an opportunity to voice their concerns related to impropriety experienced or observed in the work place in an open and transparent manner without cause for retribution.

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

No employee who in good faith reports a matter pursuant to this policy shall suffer harassment, retaliation or adverse employment consequence. An employee, officer or Board member who retaliates against someone who has reported a matter in good faith is subject to discipline up to and including termination of employment. This policy is intended to encourage and enable employees and others to raise serious concerns within the Authority prior to seeking resolution outside the Authority. When an individual discovers information, which they believe shows wrongdoing within the organization, then this information should



be disclosed internally without fear of reprisal, and there should be arrangements to enable this to be done independently of line management.

This policy is intended to assist individuals who believe they have discovered [wrongdoing](#). It is not designed to question financial or business decisions taken by the Authority nor should it be used to reconsider any matters, which have already been addressed under harassment, complaint, disciplinary or other procedures. Once the "whistleblowing" procedures are in place, it is reasonable to expect employees to use them rather than air their complaints outside the Authority.

## 2. SCOPE OF POLICY

This policy is designed to enable employees of the Authority to raise concerns internally and at a high level and to disclose information, which the individual believes, shows wrongdoing\_or impropriety. This policy is intended to cover concerns, which are in the public interest and may at least initially be investigated separately but might then lead to the invocation of other procedures e.g. disciplinary. These concerns could include:

- Financial malpractice, impropriety, or fraud
- Failure to comply with a legal obligation or Florida Statutes
- Dangers to health and safety or the environment
- Criminal activity
- Improper conduct or unethical behavior
- Attempts to conceal any of these

### a. Safeguards

This policy is designed to offer protection to those employees of the Authority who disclose such concerns provided the disclosure be made:



- In good faith
- In the reasonable belief of the individual making the disclosure that it tends to show wrongdoing or impropriety, and if they make the disclosure to an appropriate person (see below). It is important to note that no protection from internal disciplinary procedures is offered to those who choose not to use the procedure. In an extreme case, malicious or false allegations could give rise to legal action on the part of the persons complained about.

b. Confidentiality

The Authority will treat all such disclosures in a confidential and sensitive manner. The identity of the individual making the allegation may be kept confidential so long as it does not hinder or frustrate any investigation. However, the investigation process may reveal the source of the information and the individual making the disclosure may need to provide a statement as part of the evidence required.

c. Anonymous Allegations

This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously are much less credible, but they may be considered at the discretion of the Authority.

In exercising this discretion, the factors to be taken into account will include:

- The seriousness of the issues raised
- The credibility of the concern
- The likelihood of confirming the allegation from attributable sources



d. Untrue Allegations

If an individual makes an allegation in good faith that is not confirmed by subsequent investigation, no action will be taken against that individual. In making a disclosure the individual should exercise due care to ensure the accuracy of the information. If, however, an individual makes malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against that individual.

**3. PROCEDURES FOR MAKING A DISCLOSURE**

- a. On receipt of a complaint of wrongdoing or impropriety, the member of staff who receives and takes note of the complaint, must pass this information as soon as is reasonably possible, to the appropriate designated investigating officer as follows:
- i. Complaints of wrongdoing or impropriety will be investigated by the Executive Director, unless the complaint is against the Executive Director or is in any way related to the actions of the Executive Director. In such cases, the complaint should be passed to the Chair of the Board of Governors for referral.
  - ii. Complaints against the Chair shall be passed to the Authority's General Counsel who will nominate an appropriate investigating officer.
  - iii. The complainant has the right to bypass the line management structure and take their complaint directly to the Chair. The Chair has the right to refer the complaint back to management if he/she feels that the management without any conflict of interest can more appropriately investigate the complaint.



- b. Should none of the above routes be suitable or acceptable to the complainant, then the complainant may approach the Authority's General Counsel, Martin Fitzpatrick who has been designated and trained as an independent point of contact under this procedure. He can advise the complainant of the possible internal and external avenues of complaint open to them:

Martin Fitzpatrick, General Counsel

Broad and Cassel Attorneys at Law

215 South Monroe Street, Ste. 400

Tallahassee, FL 32301

Phone: 850-681-6810

Email: [mfitzpatrick@broadandcassel.com](mailto:mfitzpatrick@broadandcassel.com)

- c. If there is evidence of criminal activity then the investigating officer should inform the police immediately. The Authority will ensure that any internal investigation does not hinder a formal police investigation.

#### **4. TIMELINE**

Due to the varied nature of these sorts of complaints, which may involve internal investigators and/or the police, it is not possible to lay down precise timelines for such investigations. The investigating officer should ensure that the investigations are undertaken as quickly as possible without affecting the quality and depth of the investigations.

The investigating officer, should as soon as practically possible, send a written acknowledgement of the concern to the complainant and thereafter report back to them in writing the outcome of the investigation and on the action that is proposed. If the



investigation is a prolonged one, the investigating officer should keep the complainant informed, in writing, as to the progress of the investigation on at least a monthly basis, and as to when it is likely to be concluded.

All responses to the complainant should be in writing and sent to their home address.

## **5. INVESTIGATING PROCEDURE**

- a. The investigating officer should follow these steps:
  - i. Full details and clarifications of the complaint should be obtained.
  - ii. The investigating officer should inform the person against whom the complaint is made as soon as is practicable. The person will be informed of their right to be accompanied by representative at any future interview or hearing held under the provision of these procedures.
  - iii. The investigating officer should consult with the Authority's General Counsel, and consider the involvement of the Authority's auditors and/or the police if appropriate.
  - iv. The allegations should be fully investigated by the investigating officer with the assistance where appropriate, of other individuals.
  - v. A decision concerning the complaint and validity of the complaint will be made by the investigating officer. This decision will be detailed in a written report, provided to the Chair and General Counsel as appropriate, containing the findings of the investigations and reasons for the judgement.
  - vi. If the complaint is shown to be justified, then the Board will invoke disciplinary or other appropriate procedures.
  - vii. If appropriate, a copy of the outcomes will be passed to the Authority's auditor to enable a review of the procedures.



- b. If the complainant is not satisfied that their concern is being properly handled by the investigating officer, they have the right to raise it in confidence with the Chair or General Counsel.
  
- c. If the investigation finds the allegations unsubstantiated and all internal procedures have been exhausted, but the complainant is not satisfied with the outcome of the investigation, the Authority recognizes the lawful rights of employees and ex-employees to make disclosures to prescribed persons or, where justified, elsewhere.



# Leon County Research and Development Authority

## Policy No. 11-08

Title: **Disaster Preparedness and Recovery Plan**

Date Adopted: August 2, 2011

Effective Date: August 2, 2011

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### 1. PURPOSE

The purpose of Policy No. 11-8, “Disaster Preparedness and Recovery Plan,” is to provide a systematic guide with procedures for regular back up of the Leon County Research and Development Authority’s (hereinafter referred to as the “Authority”) data and periodic retrieval of that data as well as instructions on preparing for a natural disaster, i.e. hurricane or fire, and post event recovery. The Plan will provide the necessary steps to ensure the safety of the Authority’s employees at the Knight Administrative Centre, protect permanent records, and limit any damage to the facility.

### 2. SCOPE

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

### 3. GUIDELINES

- a) Securing Electronic Files: Weekly and in the event of a natural disaster



The Authority's electronic files are maintained on several computers owned by the Authority, as well as the Executive Director's personal computer. The Authority's financial records are maintained off-site by the Property Manager.

- i. The Office Manager's computers are equipped with the latest version of Carbonite software, which automatically backs up all files to a remote server daily. In addition to Carbonite, the Office Manager backs up all files to an external Data Recovery unit every Friday through the Norton Business Suite security software program. In the event of a natural disaster, the Office Manager's laptop computer and DataRecovery unit will be removed from the building to a secure, off-site location in a plastic waterproof bag.
- ii. The Executive Director uses a personal laptop for all Authority business. This laptop is with the Executive Director or at the Executive Director's home at all times. Files are backed up to an external hard drive weekly and stored off-site. In the event of a natural disaster, the Executive Director will remove this laptop to a secure, off-site location.
- iii. Almost all files related to conducting the business of the Authority are emailed between the Office Manager and Executive Director. These files are securely maintained off-site by Comcast's Business Servers.
- iv. The Property Manager backs up its data server nightly. The Authority's financial records are kept in the Yardi system, which is web-based and backups of the data are kept securely online in a remote location.

b) Securing Hard Copy Files

The files are organized and located in an area that can be easily removed in the event of an impending natural disaster. The Office Manager is responsible for removing the files, securing in plastic, waterproof boxes and transporting to a secure, off-site location (Attachment A, pgs. 7-8).



The Office Manager will coordinate with the Executive Director in performing final backups prior to shutting down of the network infrastructure, including a collection of documents pertinent to the storm, such as the Governor’s Executive Order, original archived documents, emergency contact information (Attachment A, pgs. 3-6), checklists, daily reports, links to other pertinent websites and any other appropriate information.

Attachment B includes the Property Manager’s Disaster Preparedness Plan.

c) Natural Disaster Preparedness

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

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

d) FSU Alert System

Florida State University developed “*FSU Alert*” as its official emergency notification and warning system in the event of an impending hurricane or severe storm. The system includes three outdoor warning sirens on the main campus and four sirens in the Innovation Park and other Tallahassee campus locations.



These public address speakers / sirens are designed to be heard **outdoors only**. They are not intended to be heard by persons within the buildings on campus.

In the event of an emergency, which urgently threatens the safety of persons outdoors, the University may sound the sirens. The **alert tones are very loud and distinct** and should be easily heard by anyone who is outdoors.

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

**Take shelter in the nearest building and seek further information.**

Examples of the warning alert sounds and voice instructions, which may be played:

- Weather Emergencies:
  - [Tornado Warning](#)
  - [Severe Thunderstorm Warning](#)
  - [Flash Flood Warning](#)
  - [Lightning Warning](#)
- Other Emergencies:
  - [Dangerous Situation](#)
  - [Hazardous Condition](#)

e) Definitions

- Hurricane Watch - Hurricane conditions are *possible* in the specified area of the *Hurricane Watch*, usually within 36 hours. During a *Hurricane Watch*, prepare to take immediate action to protect your family and property in case a *Hurricane Warning* is issued.



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

f) Other Data Protection Precautions

Prior to the actual removal of files, the Office Manager will test the equipment stored at the Centre to verify it is ready for deployment. The Office Manager and Executive Director will coordinate providing any necessary telecommunications equipment (wired and wireless routers), which may be deployed in the event of an outage.

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

g) Early Preparations

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



Staff should purchase any special-needs items (e.g. tape, lumber, nails, protective plastic sheeting or other items). (Attachment A, pgs. 9-10)

h) When the Watch Turns to Warning

If the Centre is within the area designated as a warning for possible storm impact, supervisors designated for specific preparations will mobilize. (Attachment A, pg. 10)

Disconnect instrumentation, computer equipment (not servers) and other costly vulnerable items in rooms or areas of the building with windows. Move the items to rooms or locations away from windows.

Disconnect non-transportable instrumentation and equipment in rooms with windows and cover with heavy sheet plastic; seal the plastic with tape.

i) Closing and Opening Offices or Work Sites: Knight Administrative Centre

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

When possible, the Executive Director should consult with the Chair of the Board of Governors prior to the closure. The decision to close the Centre because of a hurricane or other natural disaster should take into account the NOAA weather forecast; closure notices issued by other state agencies, county or city governments; and local evacuation notices. The Authority will close the Centre subject to a mandatory evacuation notice.

When closing the Centre, follow these steps:



- i. The Executive Director will notify the Office Manager of the decision to close or reopen the Centre. The Office Manager, in turn, is responsible for ensuring that employees assigned to the affected area receive notice of the closure or reopening. The Executive Director will immediately follow-up on this action with an email to the Board of Governors announcing the Centre closure or reopening.
- ii. The Office Manager will ensure that employees review and comply with the Disaster Checklist located on page 9 of Attachment A before leaving the office or work sites.

j) Evacuations

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

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

k) Coordination and Communication

The Authority's objective is to ensure that the public and staff receive accurate, up-to-date information regarding closings or openings of the Centre. The following should be considered:

- i. Ensure that employees have a general understanding that if a local county government is closing its offices, the Centre will probably be closing. Employees should check with the Office Manager to learn of the open or closed status of their office.



- ii. In addition to notifying those above, any staff member authorized to close or re-open offices or facilities will inform the Executive Director (or designee) via email or phone of such decisions. The Executive Director will maintain a list of emergency phone numbers and the Office Manager will promptly post the latest information on the Authority's website at [www.innovation-park.com](http://www.innovation-park.com). The Executive Director will use appropriate social media channels (e.g., Twitter, Facebook) to deliver news updates.
  
- iii. If there is a need to extend the closure of the facility for more than one day (24 hours), post-storm, the Executive Director should report any status changes regarding the Centre's facility by contacting the Chair of the Board, Office Manager, and update the website and social media channels accordingly. This update should occur no later than noon each day. Exceptions are possible if the phone or electric service is restored later in the day.

l) Before the Storm

Use the Disaster Plan (Attachment A), [www.innovation-park.com](http://www.innovation-park.com), social media channels (e.g., Twitter, Facebook) to communicate the status of the Authority's Administrative Centre office.

m) Before the Storm for Insurance Purposes

Take pictures of all property, equipment and contents of buildings. Place the pictures in a secure file folder marked, "Property."

Download all "critical" electronic files to a USB drive, store all permanent historical hard copies of documents in a plastic sealed package or plastic/sealed storage box and keep off-site.



n) Public Relations

During major storm events, the Authority will provide timely, accurate and helpful information to the public that will contribute to their safety and minimize inconvenience associated with a hurricane or other disaster.

o) Employee Pay and Leave Issues

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

Through Executive Order, the Governor may grant stated agencies, local and county government discretion to waive the personnel rule with regard to administrative leave during a disaster. The Executive Director has delegated authority for approving such leave to the employee. The use of administrative leave for a disaster may be approved only if the employee has residential property damage that requires his/her presence or if the employee would be exposed to unsafe conditions attempting to travel to work (trees or power lines down, flooded roads, etc.). Requests to use disaster administrative leave must be made in writing (email is acceptable) to the Executive Director, as appropriate. Disaster administrative leave may not exceed two days per employee per disaster.

p) After the Storm

The Property Manager will be provided the path the storm took and will determine preliminary damage estimates based upon that path and the strength of the storm and the property located within that area.



After the roads are cleared and waters receded, Property Manager and Maintenance Supervisor will perform site reviews and document all damages. This will be reported to the Chair of the Board including additional damage found after the site review. (Attachment A, pg.10)

The Executive Director and Property Manager will visit the disaster sites, process insurance, and FEMA claims. Staff responsible for a facility or other structures and equipment must take pictures of damaged property before any repairs are made. Place these pictures in the “Property” file folder.

As costs are incurred, whether by the employees' time or use of equipment, email a list of documentation to the Property Manager.

q) Things to Remember

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



# Leon County Research and Development Authority

## Policy No. 11-09

Title: **Fixed Asset Policy**

Date Adopted: August 2, 2011

Effective Date: August 2, 2011

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### 1. PURPOSE

- a. The purpose of Policy No. 11-9, “Fixed Asset Policy” is to provide guidelines for the tracking of purchases and improvements made by or on behalf of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”).

### 2. SCOPE

- a. This policy applies to fixtures and other tangible personal property of a nonconsumable nature, as defined by Chapter 274, Florida Statutes. The policy applies to Employees of the Authority and individuals or organizations doing business on behalf of the Authority.
- b. This policy applies to purchases, donations of property, and improvements meeting one of the following criteria:
  - i. Lifespan of greater than three (3) year and cost of one thousand dollars (\$1,000) or more.
  - ii. Small portable electronic devices that might be prone to theft or loss such as cameras, or laptop computers, which might cost less than one thousand dollars (\$1,000).



### 3. GUIDELINES

The Office Manager will maintain the Authority's Capital Asset Inventory List and provide updates to the Authority's Property Manager.

a. Physical inventory, tagging and condition coding of property items

All property covered by this policy will be physically tagged with a unique identification number and the notation "Property of the Leon County Research and Development Authority," when received and will be added to the Authority's Capital Asset Inventory list along with the following information:

- i. Identification Number
- ii. Description of Item
- iii. Name, make, and manufacturer
- iv. Year and/or model number
- v. Serial Number(s) and if an automobile the vehicle identification number (VIN) and title certificate number.
- vi. Date acquired.
- vii. Cost or value at the date of acquisition. When the historical cost of the item is not practicably determinable, the estimated historical cost of the item shall be determined by appropriate methods and recorded. Estimated historical costs shall be so identified in the record and the basis of determination established in the governmental unit's public records. The basis of valuation for property items constructed by personnel of the governmental unit must be the costs of material, direct labor, and overhead costs identifiable to the project. Donated items, including Federal surplus tangible personal property, must be valued at fair market value at the date of acquisition.
- viii. Physical Location (Address, Building Name, Room Number)
- ix. Name of person responsible for item(s)
- x. Date the item was last physically inventoried and the condition of the item at that date.



- a. Condition "1," Good means the item is serviceable, new or in almost new condition showing little sign of wear and tear.
  - b. Condition "2," Fair means the item is still serviceable for its primary use, but shows definite signs of wear and tear.
  - c. Condition "3," Poor means the item was found to be unserviceable at the time of inventory. Such items should be disposed of in accordance with applicable provisions in this policy.
- xi. If disposed of, the information prescribed in Rule 10.470(2) of the Florida Auditor General.

b. Annual Inventory of Property

The Property Manager and Executive Director will conduct an annual inventory of the Authority's property. At the close of each fiscal year, or as requested by the Board of Governors, the following information will be recorded:

- i. The existence and current location of the each item on the current Capital Asset Inventory List.
- ii. The date of the current inventory.
- iii. The present condition of the item.
  - 1. Condition "1", Good means the item is serviceable, new or in almost new condition showing little sign of wear and tear.
  - 2. Condition "2", Fair means the item is still serviceable for its primary use, but shows definite signs of wear and tear.
  - 3. Condition "3", Poor means the item was found to be unserviceable at the time of inventory. Such items should be disposed of in accordance with applicable provisions in this policy.
- iv. The name and signature of the individual attesting to the existence of the item and the accuracy of the data recorded.
- v. Any property item found during the inventory which meets the requirements for accounting and control as defined in Section 274.02,



Florida Statutes, and which item is not included on the inventory forms described above, shall be added to the forms when located. After appropriate investigation to establish the ownership of the item, it shall be added to the Authority's property records or, if ownership cannot be reasonably established, the item may be disposed of in the manner provided by law as applicable to abandoned property.

- vi. Items not located during the inventory process shall be promptly reported to the Board of Governors and a thorough investigation will be made. If an item is not located as a result of the investigation, the individual property record shall be so noted and a report filed with the appropriate law enforcement agency describing the missing item and the circumstances surrounding its disappearance.

c. Disposal of Property

Property may be lawfully disposed of as provided in Sections 274.04, 274.05, and 274.06, Florida Statutes. The following information shall be recorded on the individual property record on the Authority's Capital Asset Inventory for each item lawfully disposed of pursuant to Sections 274.04, 274.05, or 274.06, Florida Statutes:

- i. Date of disposition.
- ii. Authority for disposition (resolution of the Board of Governors properly recorded in the minutes as required by Section 274.07, Florida Statutes).
- iii. Manner of disposition (sold, donated, transferred, cannibalized, scrapped, destroyed, traded).
- iv. Identity of the employee(s) witnessing the disposition, if cannibalized, scrapped, or destroyed.
- v. For items disposed of, a notation identifying any related transactions (such as, receipt for sale of the item; insurance recovery; trade-in).



- vi. For property classified and disposed of as surplus, reference to documentation that such property was disposed of in the manner prescribed by Section 274.05 or 274.06, Florida Statutes.



## Leon County Research and Development Authority

### Policy No. 11-10

Title: **Internet Security and E-mail Policy**

Date Adopted: August 2, 2011

Effective Date: August 2, 2011

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#### 1. **PURPOSE**

The purpose of Policy No. 11-10, “Internet Security and E-mail Policy” is to provide the policies and procedures with respect to E-mail and Internet usage that protects the integrity of the data entrusted to the Board of Governors and employees of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”).

#### 2. **SCOPE**

This Policy is designed to protect the Authority, its employees, and its resources from the risks associated with usage of the Internet and the worldwide web. To ensure that resources are available for work related purposes, the goals of this Policy are to outline appropriate and inappropriate use of Authority Internet and Computer resources, including the use of browsers, electronic mail (e-mail), instant messaging, social media/networking, file uploads and downloads, and voice communication. The provisions of this Policy are applicable to the Authority’s Board of Governors, employees, and all users of the Authority’s internet and computer resources.

#### 3. **DEFINITIONS**

As used in this Policy, the following terms shall have the following meanings:



- a. "Authority's Computer System" means the Authority's wired and wireless networks, servers, and end-user devices; including, but not limited to, desktops, laptops, smart phones, and other wired or wireless devices.
- b. "Social Media/Networking" means internet-based technologies that enable individuals to communicate through the sharing of content, interacting, and collaborating through bi-directional applications or messaging, and developing communities around common interests.
- c. "User" means any Board member, employee, or visitor to the Authority.

#### 4. GUIDELINES

- a. Computer Security The following procedures relating to computer security shall be followed for all computers, which contain Authority information, in order to protect the integrity of the data entrusted to the officers and employees of the Authority:
  - i. All users shall use the screen saver password function supplied with the computer operating system.
  - ii. All users shall change passwords every 90 days.
  - iii. All passwords used shall conform to the following standards:
    - 1. contain no less than six characters
    - 2. contain at least one non-alpha character
    - 3. contain at least one numeric digit
    - 4. contain no more than two letters, in sequence, of the user-name
    - 5. contain no more than two letters, in sequence, of the reversed user-name
  - iv. Passwords shall not be written down, communicated to others or shared among employees.
  - v. Electronic data, or applications, brought to the Authority from another location shall be checked for computer virus infections prior to connecting to the Authority's network.



b. Prohibited Uses

Neither the Authority's Computer System nor e-mail or Internet access systems shall be used in any of the following ways:

- i. To harass, intimidate, or threaten another person. Users should not transmit to others or display images, sounds, or messages that might be perceived by a reasonable person as being, or have been identified as, harassing.
- ii. To access or distribute obscene, abusive, libelous, or defamatory material
- iii. To reproduce or distribute copyrighted materials which are not authorized for reproduction or distribution
- iv. To copy or use software, except as explicitly permitted under licensing agreements. Users should be able to prove ownership of software in their possession.
- v. To impersonate another user or mislead a recipient about one's identity
- vi. To access another person's e-mail, or Social Media/Networking account/address, if not specifically authorized to do so
- vii. To bypass the Authority's Computer Systems' security mechanisms or undermine the security or the integrity of computing systems or networks or to attempt to gain unauthorized access. Users may not use any computer program or device to intercept or decode passwords or similar access control information. Security gaps should be reported to Authority staff.
- viii. To send or create junk mail, spams, chain letters, computer viruses or hoaxes, or other disruptive material.
- ix. To communicate the Authority's official position on any matter, unless specifically authorized to make such statements on behalf of the Authority



- x. For any purpose which is illegal, against Authority policy, or contrary to the Authority's best interests.
  - xi. To pursue an individual's private business interests which are unrelated to the Authority
  - xii. To conduct any type of non-Authority approved solicitation
  - xiii. To delete or destroy public records without authorization.
- c. Permissible Uses
- i. E-mail and the Internet are to be used primarily to facilitate Authority business. However, not all personal use of e-mail and the Internet is forbidden. Reasonable personal use is permitted consistent with the provisions of this Section. Non-Authority business related e-mail and Internet usage is permitted, provided such use is brief, does not interfere with work, does not subject the Authority to any additional costs, and is otherwise consistent with requirements set forth in this Policy. With prior permission of his or her supervisor, an employee is permitted to briefly visit non-inappropriate Internet sites during non-work time; such as, break, lunch, and before or after work hours.
- d. Privacy
- i. No guarantee can be made for the privacy of any communication on the network. Computer passwords are for security purposes only and are no guarantee of the privacy or confidentiality of any user's utilization of the Authority's Computer System. The Authority's Executive Director will have administrative rights access to the Authority's Computer System.
- e. Logged and Blocked Access to Non-Work Related Internet Usage

As a result of potential negative impact to network services, the Authority shall have the discretionary authority, to audit, inspect, and/or log network resource utilization and block non work-related Internet access, consistent with this section.

- i. Logged and Blocked Access



The Authority maintains the right to utilize software that makes it possible to identify and/or block access to Internet sites containing sexually explicit or other material deemed inappropriate for the workplace, and log any and all aspects of the Authority's Computer System and network. Users who must access blocked sites for work related purposes shall get written approval from the Executive Director.

f. Violation of Policy

- i. Users of the Authority Computer System found to be in violation of this Policy may no longer be permitted use of the System and may be subject to civil and criminal liability.
- ii. Any employee found to be in violation of any provision of this Policy shall be subject to disciplinary action up to and including dismissal, civil and criminal liability. The Authority may refer suspected violations of applicable law to appropriate law enforcement agencies.

g. Communication of the Policy to Employees and Users of the System

The Executive Director of the Authority will be responsible for communicating this Policy to all Board members, employees and users of the Authority's Computer System.



# Leon County Research and Development Authority

## Policy No. 11-11

Title: **Code of Ethics**

Date Adopted: August 2, 2011

Effective Date: August 2, 2011

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### 1. **PURPOSE**

The proper operation of the Authority requires that the Board of Governors be independent and impartial so that the public has confidence in the integrity of the Authority. The purpose of Policy No. 11-11, “Code of Ethics” is to provide to the Leon County Research and Development Authority’s (hereinafter referred to as the “Authority”) Board of Governors, committee members, and employees with guidelines on behavior that inspire public confidence and avoid actions which create the appearance of using their position to obtain a personal benefit.

### 2. **SCOPE**

This Policy shall apply to the members of the Authority’s Board of Governors and its employees, as well as to all members of appointed boards and committees that have been created by the Authority. The Authority’s Board, committee members and employees are governed by the requirements of the Florida Code of Ethics in Sections 112.311-112.326, Florida Statutes. Particular adherence is required to the requirements in Section 112.313, Florida Statutes, as it relates to: solicitation or acceptance of gifts; doing business with one’s agency; unauthorized compensation; salary and expense;



misuse of public position; conflicting employment or contractual relationship; and disclosure or use of certain information.

### **3. CONFLICTS BETWEEN THIS POLICY AND FLORIDA STATUTES**

It is the purpose of this policy to supplement and implement the statutory requirements. The Florida Statutes shall apply in the event of any conflict between this adopted policy and the Florida Statutes.

### **4. INTERPRETATION**

When in doubt as to the applicability and interpretation of the Authority's Code of Ethics, a Board member may request an opinion letter from the Authority's General Counsel. The General Counsel shall keep a file, open to the public, of all written opinions issued and submit a copy of each opinion rendered to every Board member. Any Board member may request a review of the opinion letter by the full Board of Governors within thirty (30) days of its issuance or it shall become final. A majority vote of the Board shall be the final determination of said opinion.

### **5. DEFINITIONS**

As used in this Policy, the following terms shall have the following meanings:

- a. "Breach of the public trust" means a violation of a provision of the State Constitution, the Florida Code of Ethics, or this policy which establishes a standard of ethical conduct, a disclosure requirement, or a prohibition applicable to public officers or employees in order to avoid conflicts between public duties and private interests, including, without limitation, a violation of s. 8, Art. II of the State Constitution or of this part.
- b. "Conflict" or "conflict of interest" means a situation in which regard for a private interest tends to lead to disregard of a public duty or interest.
- c. "Family Member" includes: spouse, parents, siblings, aunts/uncles, children, domestic partner, and any person residing in a person's household.



- d. A “Business Associate” means any person any person or entity engaged in or carrying on a business enterprise with the person as a partner, joint venture, corporate shareholder where the shares of such corporation are not listed on any national or regional stock exchange, or co-owner of property.
- e. “Business Associated” with a person means an organization, corporation, partnership, joint venture, proprietorship or other entity or associate(s) with respect to which either the individual or Family Member:
  - i. Receives compensation or has any contractual right to future income, investment or savings income, retirement or insurance benefits, rents or alimony, or non-financial consideration and benefits;
  - ii. Serves as an officer, director, partner, or employee; or
  - iii. Holds a foreseeable financial interest, which may result from an individual’s official authority as a member of the Committee or Board.
- f. "Gift," for purposes of ethics in government and financial disclosure required by law, means that which is accepted by a donee or by another on the donee's behalf, or that which is paid or given to another for or on behalf of a donee, directly, indirectly, or in trust for the donee's benefit or by any other means, for which equal or greater consideration is not given within 90 days, including:
  - i. Real property.
  - ii. The use of real property.
  - iii. Tangible or intangible personal property.
  - iv. The use of tangible or intangible personal property.
  - v. A preferential rate or terms on a debt, loan, goods, or services, which rate is below the customary rate and is not either a government rate available to all other similarly situated government employees or officials or a rate which is available to similarly situated members of the public by virtue of occupation, affiliation, age, religion, sex, or national origin.
  - vi. Forgiveness of indebtedness.



- vii. Transportation, other than that provided to a public officer or employee by an agency in relation to officially approved governmental business, lodging, or parking.
- viii. Food or beverage.
- ix. Membership dues.
- x. Entrance fees, admission fees, or tickets to events, performances, or facilities.
- xi. Plants, flowers, or floral arrangements.
- xii. Services provided by persons pursuant to a professional license or certificate.
- xiii. Other personal services for which a fee is normally charged by the person providing the services.
- xiv. Any other similar service or thing having an attributable value not already provided for in this section.

## 6. GUIDELINES

- a. Use of Office for Political Campaigns or Personal Matters. Use of Authority resources, including but not limited to material goods and the use of office staff and/or Authority personnel, for either political campaign purposes or other personal matters, is strictly forbidden.
- b. Conflict of Interest. An Employee, Board member or Committee member has a conflict of interest whenever the employee or member, or family member or business associate thereof has an existing or potential financial/personal interest in a matter pending before the Authority. Any potential conflicts of interest or uncertainty regarding a conflict shall be brought to the immediate attention of the Chair of the Board. Committee and Board members with a Conflict of Interest shall not vote on matters before the Committee or Board.



- c. Solicitation or Acceptance of Gifts. No Board member, Committee member or Employee shall solicit or accept anything of value to the recipient, including a gift, loan, and reward, promise of future employment, favor, or service, based upon any understanding that the vote, official action, or judgment of the Board member, Committee member, or Employee would be influenced thereby.
- d. Investigation and Prosecution of Alleged Violation of Code of Ethics. The investigation and prosecution of any alleged violation of this Code of Ethics shall be in accordance with the Florida Statutes or local ordinances.



# Leon County Research and Development Authority

## Policy No. 11-12

Title: **Petty Cash Fund Policy**

Date Adopted: November 1, 2011

Effective Date: November 1, 2011

Revised Date: November 1, 2012

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### 1. PURPOSE

- a. The purpose of Policy No. 11-12, “Petty Cash Fund Policy” is to provide guidelines for the establishment and administration of minor purchases made by or on behalf of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”).
- b. The beginning balance of the fund is \$100 and will be kept in a locked area maintained by the Custodian and supervised by the Executive Director.

### 2. SCOPE

- a. This policy applies to:
  - i. Employees of the Authority, or
  - ii. Individuals or organizations contracted to do business on behalf of the Authority, all of whom are defined as “agents,” such as the maintenance supervisor of Innovation Park.
- b. The Custodian is an employee of the Authority responsible for the security, documentation, reconciliation, and administration of the fund.



- c. The Supervisor of the Custodian is the Executive Director of the Authority. The Executive Director is responsible for overseeing the fund including proper safeguarding of the cash.

### **3. PURCHASING POLICY**

- a. The petty cash fund should only be used to purchase minor items under \$100 such as beverages for Authority meetings, stamps, and supplies when it would be otherwise impractical to purchase items through the usual purchasing methods.
- b. Reconciliation of the petty cash fund will be conducted by the Custodian and Supervisor on a quarterly basis and reported to the Treasurer. Recurring audit findings may result in the petty cash fund being revoked.

### **4. PROCEDURE**

- a. Before a purchase is made, the “purchaser” must complete the Petty Cash Request form including the following:
  - i. The date funds were advanced
  - ii. Amount of cash advance
  - iii. The name of the recipient
  - iv. The recipient’s signature
- b. *Note: The Custodian is responsible for ensuring the employee returns any unused cash.*
- c. After the purchase, the recipient will provide the change to the Custodian to deposit into the petty cash fund and document the purchase on the Petty Cash/Change Fund Reconciliation Form.
- d. All expenses related to the fund should accompany a receipt including the date, amount, place of purchase, itemized amounts, description of the purchase, the public purpose served, and signature of purchaser.



- e. The receipt should be attached to the Petty Cash Request Form, which is maintained by the Custodian.

## **5. REIMBURSEMENT PROCEDURE**

- a. If the fund needs to be replenished, the Custodian will complete the Petty Cash/Change Fund Reconciliation Form under the supervision of the Executive Director. The form should be signed by Custodian and Supervisor and provided to the Accountant with a copy of the Petty Cash Request form/receipts requesting a replenishment check made payable to the Custodian. The Custodian will cash the check and immediately deposit the funds in petty cash.
- b. A reconciliation of the petty cash fund shall be done on a quarterly basis and reported to the Treasurer of the Authority. The Petty Cash/Change Fund Reconciliation Form shall be completed to insure the receipts plus cash on hand is equal to the amount of the authorized petty cash fund.
- c. If the receipts plus cash on hand are less than the authorized amount, this is a shortage. If the amount is significant (5% or more), it shall be reported to the Executive Director immediately for investigation.



# Leon County Research and Development Authority

## Policy No. 11-13

Title: **Consent Agenda Policy**

Date Adopted: November 1, 2011

Effective Date: November 1, 2011

Date Revised: September 4, 2014

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### 1. PURPOSE

The purpose of Policy No. 11-13, “Consent Agenda Policy” is to expedite meetings of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”) Board of Governors (hereinafter referred to as the “Board”) to allocate more meeting time to the discussion of substantive issues.

### 2. POLICY

- a. Consent agenda items are expected to be routine in nature not requiring additional discussion or revisions to the budget in excess of \$5,000.
- b. The consent agenda shall consist of routine financial, legal, and administrative matters that require board action. The following items are permitted on the Authority’s consent agenda:
  - i. Lease renewals
  - ii. New or amended leases which have been reviewed and recommended for approval by the Executive Committee



- iii. Budgeted sponsorship requests under \$1,000 that have been reviewed and recommended for approval by the Executive Committee
  - iv. Requests for Proposal (RFPs) that have been reviewed and recommended for approval by the Executive Committee
  - v. Policies that have been reviewed and recommended for approval by the Executive Committee
  - vi. Contracts that have been reviewed and recommended for approval by the Executive Committee
  - vii.** Travel and meeting requests for Authority staff that require Board approval because they exceed the approved travel budget, and that have been reviewed and recommended for approval by the Chair or the Executive Committee
  - viii.** Items previously discussed by the Board, which were referred to a Committee, which have now been reviewed further and recommended for approval
  - ix.** Other items identified by the Chair that have been reviewed and recommended for approval by a Committee
- c. Proposed amendments to the Bylaws are not permitted on the Authority's consent agenda. Proposed amendments to the Bylaws shall be distributed to the members at least five (5) working days before the Board meeting at which they are to be considered.
  - d. Background materials for items on the consent agenda shall be provided to Board members at least 72 hours in advance of the meeting.
  - e. Items listed on the consent agenda are presented to the Board at the beginning of the meeting, immediately following approval of the previous meeting minutes. The Chair will ask if any member wishes to remove an item from the consent agenda for separate consideration, and if so, the Chair will schedule the item for later in the meeting for discussion.



- f. The consent agenda generally is voted on in a single majority vote, but it may be divided into separate items if desired by the Chair.



# Leon County Research and Development Authority

## Policy No. 11-14

Title: **Special Events Policy**

Date Adopted: November 1, 2011

Dates Revised: March 7, 2013; March 1, 2012

Effective Date: November 1, 2011

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### 1. PURPOSE

The purpose of Policy No. 11-14, “Special Events Policy” is to define the process for the public to hold special events on the land owned or operated by the Leon County Research and Development Authority (hereinafter referred to as the “Authority” and the “Licensor”).

### 2. POLICY

- a. Event Types: The Authority may allow a variety of pre-planned special events, on parcels of the Authority’s available land at Innovation Park, which are aimed at drawing a crowd of individuals that may impact the land, the surrounding neighborhoods and traffic flow. The Authority may allow the following types of special events:
- i. Academic Competitions
  - ii. Sporting events
  - iii. Cultural events
  - iv. Outdoor festivals
  - v. Movies, filming or photo shoots







and against any and all costs, expenses, including legal fees and liability incurred in connection with any claim or proceeding brought thereon.

- l.** Clean-up: Licensees are responsible for providing clean-up during and following the event. If it becomes necessary for the Authority to clean-up after an event, the Licensee will be billed for all costs of the clean-up.
- m.** Payment: The Authority shall send an invoice to the Licensee after confirming that there was no damage to the land, and that the site has been cleaned-up appropriately after the event. Cleaning fees will be added to the remaining balance, if necessary. Payment from the Licensee shall be due within 30 days of receiving the invoice.

**3. AUTHORIZATION**

The Executive Director of the Authority is authorized to act on behalf of the Authority in all matters related to this policy including, reviewing, approving or rejecting, and executing any agreements for special events requests made to the Authority in accordance with this policy. The Executive Director may, at his/her sole discretion, discount or waive fees for tenant or charitable organizations.



# Leon County Research and Development Authority

## Policy No. 11-15

Title: Credit Card Policy  
Date Adopted: December 6, 2011  
Date Revised: April 6, 2017  
Effective Date: April 6, 2017

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### 1. PURPOSE

The purpose of Policy No. 11-15, “Credit Card Policy” is to facilitate purchases necessary for the efficient operations of the Leon County Research and Development Authority (“the Authority”).

### 2. POLICY

- a. The Authority’s Executive Director shall approve the issuance of credit cards in coordination with the Authority’s Accountant, except for the Executive Director’s credit card which shall be approved by the Board of Governors. The Accountant will receive the monthly credit card statements and review against the receipts submitted by the cardholders.
- b. The credit card shall not impact the cardholder’s personal credit references. The Authority issued credit card is an Authority liability card, not a personal liability card.
- c. Cardholders to whom credit cards are issued for Authority purchases shall be responsible for the protection and custody of the credit card. The cardholder to whom credit cards are issued shall immediately notify the financial institution which issued the card, their supervisor, and the Accountant if it is lost or stolen. Cardholders shall not



knowingly post or otherwise make publicly available credit card data that could potentially result in fraud or unauthorized charges.

- d. All purchases will be made in compliance with the Authority's Policy 11-03, Purchasing Policy.
- e. The credit cards shall only be used for the purchases of goods, services, and travel that pertain to the official business of the Authority.
  - i. The credit cards shall not be used for personal use, cash advances, or other merchant category exclusions (i.e., alcoholic beverages, tobacco products, etc.).
  - ii. Credit cards shall not be used for the purchase of meals when the traveler expects to claim established meal allowances.
- f. The Executive Director, in consultation with the Authority's Accountant, shall be responsible for monitoring, retrieving, and overseeing compliance with this Credit Card Policy.
- g. Each cardholder shall have an authorized maximum limit, as set by the Executive Director, of not more than \$5,000.
  - i. If a cardholder experiences a denial when using the credit card, the cardholder shall notify the bank who issued the card as well as the Authority's Accountant immediately with details of the denial. Such details shall include, but not be limited to, vendor or merchant name, date, time and details of transaction, and dollar amount. The Accountant shall investigate the denial.
  - ii. The Accountant shall maintain a list of available credit cards for all cardholders, which shall include the credit limit of each card, as well as outstanding balances, due dates, purchases, returns, or other credits. This list shall be maintained in a



timely fashion and shall be open to the Authority's Board of Governors' inspection upon request.

- iii. The Authority's Accountant shall review the Executive Director's credit card usage monthly, and notify the Authority's Treasurer of any activity which does not comply with this policy.
  
- h. Credit card transactions are authorized for the following methods of acquisition:
  - i. In person: the cardholder shall present the credit card for purchases of goods and services. The cardholder shall obtain a receipt for all purchases and credits, and submit the receipt to the Accountant for reconciliation with the credit card invoice.
  
  - ii. Via telephone or mail order: the cardholder shall provide the vendor or merchant with the credit card number, expiration date, and other pertinent data necessary to complete the transaction. The cardholder shall take necessary precautions to ensure that the transaction is valid prior to providing pertinent credit card data. The cardholder shall properly document the transaction submit packing slips or other documentation to the Accountant for reconciliation with the credit card invoice.
  
  - iii. Via the Internet: the cardholder shall provide the vendor or merchant with the credit card number, expiration date, and other pertinent data necessary to complete the transaction. The cardholder shall take necessary precautions to ensure that the transaction is valid prior to providing pertinent credit card data. The cardholder shall properly document the transaction with a packing slip, hard copy screen printouts, and/or other document, and this documentation shall be submitted to the Accountant for reconciliation with the credit card invoice.



- i. Documentation detailing the goods, services, and travel purchased with the credit cards shall be required for all transactions. Adequate documentation shall consist of, but not be limited to, original sales receipts, and credit slips. The cardholder and Executive Director shall both approve the credit card statements for processing by the Accountant. The Authority shall not approve payment of credit card invoices without adequate documentation.
- j. Unauthorized personal charges shall be immediately repaid to the Authority by the cardholder. Any subsequent unauthorized personal charges may result in loss of credit card privileges and may result in disciplinary action.
- k. The Executive Director shall review and approve or deny credit card invoices prior to submission to the Accountant for payment.
- l. Cardholders to whom credit cards are issued for Authority purchases shall immediately surrender all Authority credit cards upon termination of employment or layoff from active work status or at the request of the Board.
- m. Any cardholder of the Authority who violates the provisions of this Credit Card Policy 11-15 shall be subject to disciplinary action, up to and including discharge and/or civil or criminal action.



## **Policy No. 16-01**

Title: Lease Policy  
Date Adopted: 12/01/2016  
Effective Date: 12/01/2016

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### **1. PURPOSE**

The purpose of Policy No. 16-01, “Lease Policy” is to delegate the authority of the Leon County Research and Development Authority (hereinafter referred to as the “Authority”) Board of Governors (hereinafter referred to as the “Board”) to approve and execute certain leases or subleases for space in buildings owned by the Authority including any amendments, modifications, and renewals thereof (collectively “Leases”) to the Executive Director of the Authority.

### **2. POLICY**

- a.** The Executive Director is authorized to approve and execute all Leases subject to the following conditions:
  - i.** The Lease is for space not exceeding 5,000 square feet.
  - ii.** The Lease term does not exceed five years including renewal options, and the renewal options are by mutual agreement of the landlord and tenant.
  - iii.** The Lease rate is competitive and within a range of current market rates for similar space. No less than annually, the Executive Director shall present to the Executive Committee of the Board for its review and approval an analysis of a range of current market rates.
  - iv.** The value of Lease incentives, if any, including, but not limited to, discounts and free rent, does not exceed 10% of total revenue derived from the Lease, and the Executive Director determines the incentives are a necessary inducement to acquire a desirable tenant considering all of



the facts and circumstances of each Lease. This policy in no way requires the Authority to offer incentives to any prospective tenant.

- v. Tenant improvements 1) are recovered through additional lease payments and do not exceed \$10,000; 2) are not recovered through additional lease payments and do not exceed the lesser of \$5,000 or 10% of the lease payments, including incentives in section 2(a)(iv) herein; or 3) are included in the annual budget approved by the Board.
  - vi. The form of the Lease is consistent with the standard Authority Lease approved by the Board. Minor modifications to the standard Lease terms required by the tenant shall be approved by the Authority's General Counsel. Substantive modifications to the standard Lease terms, as determined by General Counsel, shall be approved by Board.
- b. The following shall be approved by the Board, and executed by the Chair of the Board:
- i. All Leases which do not meet the conditions of, or as otherwise specified in, section 2(a) herein.
  - ii. All Leases in which the Executive Director has a conflict of interest. Conflicts of interest include, but are not limited to, Leases in which the Executive Director is a relative of the tenant, or in which the Executive Director or any relative has a beneficial interest or potential for gain of any kind in the tenant or any affiliate of the tenant.
  - iii. All leases or subleases for land owned or leased by the Authority.
- c. All Leases executed by the Executive Director shall be reported to the Executive Committee of the Board.



### **Internal Controls Procedures and Operating Procedures**

- Accounts receivable reports are reviewed periodically throughout each month for any delinquent receivables. Any delinquent receivables will be followed up on immediately with the tenant by the property manager.
- Agent has a year-end closing procedure in place and reconciles all balance sheet accounts prior to year-end closing.
- Personnel independent of the check writing process receives all bank statements unopened and inspect contents for any unexpected or unusual transactions. This person reviews all payments and inspects signatures.
- Bank reconciliations are performed and reviewed within 20 days of each month end.
- A review of the bank reconciliations for any unusual reconciling items, old checks or deposits, and for agreement to the general ledger is performed by personnel independent of the check writing process.
- The aged receivables and payables are reviewed on a monthly basis for accounts requiring additional follow-up action due to age and/or balance. This is done by someone outside of accounting.
- Adjustments to AR or AP are approved by the Executive Director or Board Treasurer prior to removal. Any adjustments to such accounts are printed monthly to be included in the monthly reports for review by the Executive Director for any unauthorized transactions
- All purchases shall be made in accordance with Purchasing Policy 11-03.
- Checks are cut by one person and signed by Board members and management who do not have access to change accounting records. As provided by the Bylaws of the Authority, the Chair and Treasurer must co-sign checks greater than \$10,000; the Chair, Treasurer, or Executive Director shall sign checks \$10,000 or less; the Vice Chair shall sign for the Chair or Treasurer in their absence. An independent person (not one of the people who cuts or signs checks) reviews the bank statement each month for any unusual items.
- A budget comparison report is included in each monthly report. Any significant variation from budget is explained in a variation report provided by the property manager.
- All reports are reviewed and reconciled to the general ledger before being distributed.
- Banking stock is kept in a locked drawer when not in use and not accessible by check signers.
- No signature stamps are used.
- Monthly transactions are entered as soon as reasonably possible in the general ledger. Written policies and procedures are currently in place regarding the reconciliation process and will be updated for any changes made as soon as possible after such change is made.



- All mail is opened by someone outside of accounting and stamped as to date received. These are then received by accounting with another date stamp and passed onto property management for coding and approval.
- Payments for rent are received into the accounting software as soon as deposited (daily). The software keeps track of balances due/owed which are reflected on the aged receivable detail that is monitored carefully each month. No cash payments are accepted.
- Voided checks are maintained in a monthly folder. All checks are numerical in order and tracked by number.
- The personnel who will create new vendors in the system must receive a W9 and insurance certificates before creating a new vendor. This person is a different person than the person who cuts checks each month.
- All journal entries are printed and reviewed monthly by the Treasurer and another independent party with Agent.
- Billing for maintenance and other reimbursable costs is performed monthly.
- There is currently an accounting policies and procedures manual in place at agent's office. This will be maintained and updated as needed to comply with the Authority's policies and procedures.
- A formal disaster recovery plan is currently in place. This will be updated as needed to comply with the Authority's policy.
- An IT policy is currently in place. This will be updated as needed to comply with the Authority's policy.
- Background and reference checks are done on all employees prior to hiring. All detail is kept in each employee file.
- A records retention system is currently in place. This will be updated as needed to comply with the Authority's policy.
- An inventory will be done on all fixed assets at Innovation Park prior to October 1 each year.
- Agent will assist in evaluating the current insurance coverage in place and any need to modify.
- Employee files will be kept for each Authority employee that records any and all leave time used, approval of such time, and leave balances.

a. **Mail Processing and Payable Processing**

- Mail is opened by designated personnel and stamped with date received.
- Invoices delivered to accounting and stamped with accounting date received and then placed in appropriate property manager folder for approval.
- Once approved, given to accounting department for entry into system.
- Accounting scans in payable aging detail and invoices in order.



- Payable Aging Detail and invoices are emailed to the Executive Director of the Authority or Board Treasurer for approval of payment with a blind carbon copy to each of the Executive Committee members. Upon approval, Accounting Director cuts the checks, and the runner delivers them for signatures. Two Board officer signatures are required for check amounts greater than \$10,000, while check amounts less than or equal to \$10,000 may be signed by the Executive Director; The Executive Director and officers of the Board (Chair, Vice-Chair and Treasurer) have signature authority.
- Once the checks are received back from the Authority for payment; the runner checks the list for any missing invoices and/or checks and makes sure the appropriate signatures are there.
- The runner copies all the checks and then mails out. Invoices are then filed in the appropriate folders with check copies.

**b. Check Deposits and Invoice Transmittals**

- Mail is opened by designated personnel and stamped with date received.
- Checks are copied and endorsed for deposit.
- A deposit transmittal is created and saved on the agent's computer a folder dedicated to the Authority. This folder is password protected and cannot be accessed outside of certain accounting personnel and certain property managers.
- Checks are written up on a deposit slip and taken to the bank by the runner.
- Deposits slips are given to designated personnel for recording in the Excel checkbook.
- Deposit slip is given back to accounting for entry into the accounting system.
- Once entered into accounting system, the deposit slip is attached to invoice transmittal and check copies and given to Accounting Director for filing.

**c. Tenant Invoices**

- Updated Rent Roll created and charges made by the 25<sup>th</sup> of each month.
- List of tenant contacts printed out and invoice numbers assigned to each tenant.
- Create invoices using assigned numbers and give to another member of accounting to review.
- Once reviewed, invoices are mailed or emailed to each tenant as specified on the contact list.
- If a tenant is more than 30 days delinquent, a reminder invoice will be sent and the property manager will contact the tenant by email and/or telephone.
- If a tenant is more than 45 days delinquent, the property manager will again follow-up by email and telephone.



- At 60 days delinquent, tenants will be given 3 days' notice of eviction for non-payment.
- If the above efforts to collect fail, a collection agency may be utilized.

**d. Financial Statement Preparation Procedures**

- SPIA, FLPRIME and FLGIT information is received from the Authority.
- Bank statements are received from the bank for the month just ended. Original bank statements are sent directly from the bank to the Chairman of the Audit Committee.
- Journal entries are made in the accounting system for any needed adjustments such as bank fees/interest income/depreciation/amortization, etc. All journal entries are verified in-house by someone independent of the accounting process and also by the Treasurer of the Board.
- All bank accounts are reconciled to the general ledger.
- All balances are verified. All receivables are double checked; all payables verified. The trial balance is gone through thoroughly to make sure all balances agree.
- Budget comparisons are printed and given to the Property Manager to review and clarify any differences from budget to actual.
- All reports are printed as preliminary (pending any adjustments above) and submitted to the Board Treasurer for review.
- Once the budget comparison explanations are received from the Property Manager, all reports are printed to Adobe PDF and assembled into report format. The report is then sent to the Executive Director and the Treasurer of the Board for presentation at the monthly Board of Governors Meeting.

**e. Audited Financial Statement Follow-Up**

1. File Audit with Leon County Board of County Commissioners
  - Submit to Leon County Board of County Commissioners & Authority's Board of Governors.
  - Cover letter from Executive Director.
2. Auditor General Report
  - File within 45 days of Audit Acceptance
  - General info at: [www.myflorida.com/audgen](http://www.myflorida.com/audgen)
  - 1 electronic copy as unsecured PDF emailed to [flaudgen\\_localgovt@aud.state.fl.us](mailto:flaudgen_localgovt@aud.state.fl.us)
  - File name [year] [name] .pdf; all lower case for name. For example: "2010 leon county research and development authority.pdf"
  - 1 hard copy plus 1 check list to:



Auditor General  
Local Government Audits/342  
Claude Pepper Building, Room 401  
111 W. Madison St.  
Tallahassee, FL 32399-1450

3. Annual Financial Report to Department of Financial Services

- Complete Online at <https://apps.fldfs.com/LOCALGOV/Default.aspx>
  - Confirm/Update General Information
  - Add Revenues (all ENTERPRISE):
    - Code 361100: Interest
      - 2010: \$13,605 (Non-operating Revenues “Interest Income”)
    - Code 362000: Rents and Royalties
      - 2010: \$1,529,967 (Total Operating Revenues)
  - Add Expenditures (all ENTERPRISE)
    - Code 552 (Industry Development)
      - Account 10 (Personal Services)
        - 2010: \$145,128 (Operating Expenses “Salaries & Employee Benefits”)
      - Account 30 (Operating Expenses)
        - 2010: \$1,403,935 (“Total Operating Expenses” minus “Salaries & Employee Benefits”)
      - Account 70 (Debt Service)
        - 2010: \$153,800 (Non-Operating Revenue/Expenses – Sum of “Amortization of Bond Issuance Costs” and “Interest on Bonds”)
      - Add Debt Information
        - Amount of Long Term Debt
          - 2010: \$3,235,858 (Sum of “Current Portion of Bond Payable” plus “Bond payable net of a. current portion”)
      - Audit
        - Add Audit Information (firm, date, etc.)
          - Completion date is the date of letter from Auditor
      - Certification
        - Generally No Financial Emergency
        - Therefore next question is NO
        - Yes in terms of compliance and matching the Audit to AFR submission.
        - Certify CFO & Chairman



Also need to submit the Audited Financial Statements to certify the AFR submission. The Statements can be submitted by providing a link to them on the website, electronically as a PDF attachment to [localgov@myfloridacfo.com](mailto:localgov@myfloridacfo.com) or through the mail to:

Bureau of Local Government  
200 East Gaines Street  
Tallahassee, FL. 32399-0354

4. Public Depositor Annual Report to the Chief Financial Officer

- Form DFS-J1-1009
- Filed each November; certification of QPDs (Qualified Public Depositories) – short form to be filed with Department of Financial Services



## LINKS

### Required Forms and Training

#### **Statement of Financial Interests**

To be filed by July 1 of every year  
Form 1

[http://www.ethics.state.fl.us/Documents/Forms/Form%201\\_2015i.pdf?cp=20161212](http://www.ethics.state.fl.us/Documents/Forms/Form%201_2015i.pdf?cp=20161212)

#### **Conflicts of Interest**

To be filed with the meeting minutes any time a Board of Governors member has a conflict of interest regarding a matter before the Board  
Form 8B

<http://www.ethics.state.fl.us/Documents/Forms/Form%208B.PDF?cp=20161212>

#### **Leon County Board Appointed Committee Member Required Training**

This training required by Leon County for all citizens serving on appointed committees

<http://cms.leoncountyfl.gov/committees/Training.asp>

#### **Board Member Records Retention Policy**

<http://lcrda.org/wp-content/uploads/2014/04/G-Records-Retention-Policy-August-2014.pdf>

#### **Required Forms:**

##### **Certificate of Training**

All newly appointed members of the Board of Governors must complete this form after completing the required training

<http://lcrda.org/wp-content/uploads/2014/04/I-Required-Forms-ALL-except-financial-interest1.pdf>

##### **Oath of Office**

All newly appointed members of the Board of Governors must complete this oath of office and have their signature notarized. The Oath is recorded with the Clerk of the Circuit Court and is filed with the state Division of Elections.

<http://dos.myflorida.com/media/693640/dsde56.pdf>



## OTHER LINKS

### CREATION OF THE AUTHORITY

#### Charter

<http://lcrda.org/wp-content/uploads/2013/09/35-Charter.pdf>

#### Code of Laws, Leon County, Florida

Chapter 2 - Administration

Article III - Board, Authorities, Commissions, and Similar Agencies

Division 2 – Research and Development Authority

[https://www.municode.com/library/fl/leon\\_county/codes/code\\_of\\_ordinances?nodeId=COLA\\_CH2AD\\_ARTIIIIBOUCOSIAG\\_DIV2REDEAU](https://www.municode.com/library/fl/leon_county/codes/code_of_ordinances?nodeId=COLA_CH2AD_ARTIIIIBOUCOSIAG_DIV2REDEAU)

#### Leon County Resolution 14-04

<http://cms.leoncountyfl.gov/coadmin/agenda/attach/140902/A2303.pdf>

### INNOVATION PARK

#### Declaration of Protective Covenants

[http://innovation-park.com/wp-content/uploads/2012/10/Covenants\\_and\\_Restrictions.pdf](http://innovation-park.com/wp-content/uploads/2012/10/Covenants_and_Restrictions.pdf)

#### PUD Amendment

<http://innovation-park.com/wp-content/uploads/2013/09/PUD-AMENDMENT-FINAL.pdf>

#### Building Sign Specifications

[http://innovation-park.com/wp-content/uploads/2012/10/Sign-Specifications\\_FINAL\\_090317.pdf](http://innovation-park.com/wp-content/uploads/2012/10/Sign-Specifications_FINAL_090317.pdf)

#### Site Plan Review Checklist

<http://innovation-park.com/wp-content/uploads/2016/04/Site-Plan-Review-Checklist.pdf>

### ADDITIONAL RESOURCES

#### Florida Special Districts Handbook

<http://www.floridajobs.org/community-planning-and-development/special-districts/special-district-accountability-program/florida-special-district-handbook-online>

#### Florida Commission on Ethics

<http://www.ethics.state.fl.us/>

#### Florida Statutes

Chapter 112

Public Officers and Employees

[http://www.leg.state.fl.us/statutes/index.cfm?App\\_mode=Display\\_Statute&URL=0100-0199/0112/0112.html](http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0100-0199/0112/0112.html)



**Chapter 119  
Public Records**

[http://www.leg.state.fl.us/statutes/index.cfm?App\\_mode=Display\\_Statute&URL=0100-0199/0119/0119.html](http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0100-0199/0119/0119.html)

**Chapter 159  
Bond Financing**

[http://www.leg.state.fl.us/statutes/index.cfm?App\\_mode=Display\\_Statute&URL=0100-0199/0159/0159.html](http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0100-0199/0159/0159.html)

**Chapter 189  
Uniform Special District Accountability Act**

[http://www.leg.state.fl.us/statutes/index.cfm?App\\_mode=Display\\_Statute&URL=0100-0199/0189/0189.html](http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0100-0199/0189/0189.html)

**Chapter 286  
Public Business**

[http://www.leg.state.fl.us/statutes/index.cfm?App\\_mode=Display\\_Statute&URL=0200-0299/0286/0286.html](http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0200-0299/0286/0286.html)