



AMERICAN UNIVERSITY OF BARBADOS
SCHOOL OF MEDICINE

EMPLOYEE HANDBOOK

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SECTION 1

INTRODUCTION

This Handbook is designed to acquaint you with the American University of (Barbados) Inc. (hereinafter “AUB”) and provide you with information about working conditions, benefits and policies affecting your employment.

The information contained in this Handbook applies to all employees of AUB. Following the policies described in this Handbook is considered a condition of continued employment. The contents of this Handbook shall not constitute nor be construed as a promise of employment or as a contract between AUB and any of its employees. The Handbook is a summary of our policies, which are presented here only as a matter of information.

You are responsible for reading, understanding, and complying with the provisions of this Handbook and any policies you may receive. Our objective is to provide you with a work environment that is constructive to both personal and professional growth.

The Mission of American University of Barbados, School of Medicine seeks to provide world class medical education with cutting edge equipment and pedagogy, in an environment that fosters appreciative enquiry, human sensitivity and collaborative research aimed at reducing human suffering and pain.

1.1 CHANGES IN POLICY

This Handbook supersedes all previous employee Handbooks and memos that may have been issued from time to time on subjects covered in this Handbook. Since our business and our organisation are subject to change, we reserve the right to interpret, change, suspend, amend, cancel, or dispute with or without notice all or any part of our policies, procedures, and benefits at any time. We will notify all employees of these changes. Changes will be effective on the dates determined by AUB, and after those dates all superseded policies will

be null. No individual supervisor or manager has the authority to change policies at any time. If you are uncertain about any policy or procedure, speak with your direct supervisor.

1.2 EMPLOYMENT APPLICATION/ EMPLOYMENT INFORMATION UPDATE

We rely upon the accuracy of information contained in the employment application, the employment information update, and the accuracy of other data presented throughout the hiring process and employment. Any misrepresentations, falsifications, or material omissions in any of this information or data may result in exclusion of the individual from further consideration for employment or, if the person has been hired, termination of employment. Employees are obligated to keep AUB updated on all contact and other personal information (such as status of marriage, beneficiaries, etc.).

SECTION 2

WORKPLACE COMMITMENTS

2.1 EQUAL OPPORTUNITY EMPLOYMENT

In order to provide equal opportunity and advancement opportunities to all individuals, employment decisions at AUB will be based on merit, qualifications and abilities. AUB does not discriminate in employment opportunities based on race, colour, sex, religion or age.

This policy governs all aspects including recruitment, job assignment, compensation, termination, and access to benefits and training.

Any employees with questions or concerns about any type of discrimination are encouraged to bring these issues to their immediate manager and or the COO/Vice President Administration. Employees can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in any type of discrimination will be subject to disciplinary action, up to and including termination of employment.

2.2 DRUG – FREE CAMPUS/WORKPLACE

The unlawful manufacture, distribution, dispensation, possession, use, trade, or sale of a controlled substance such as drugs or alcohol by any AUB student or employee on campus or at any AUB sponsored or related activity threatens the wellbeing and health of the AUB community. Prescription drugs or over-the-counter medications, taken as prescribed, are an exception to this policy. Although AUB respects an individual's rights, such rights cannot outweigh the need to maintain a safe, productive, and drug-free work and educational environment. Therefore:

- (a) No person may unlawfully manufacture, distribute, dispense, possess, trade, sell, or offer for sale a controlled substance or otherwise engage in the use of controlled substances on campus;

- (b) No person may report to classes, work, or related assignments “under the influence” of controlled substances or alcohol; and
- (c) No person may use prescription drugs illegally. The legal use of prescription drugs with known potential to impair personal safety should be reported to supervisors or an appropriate AUB representative.

Any violation of this policy by an AUB student or employee shall constitute grounds for:

- (a) evaluation and/or referral to treatment for drug/alcohol abuse;
- (b) disciplinary action – for employees, disciplinary action may include, warning letters, and progressive disciplinary procedures, up to and including termination of employment.; and/or
- (c) criminal sanction.

“Campus” means any building or property owned or controlled by AUB within the same reasonably contiguous geographic area of AUB and used by AUB in direct support of, or in a manner related to, AUB’s educational purposes (including residence halls) and property within the same reasonably contiguous geographic area of AUB that is owned by AUB but controlled by another person, is used by students, and supports AUB’s purposes (such as food or other retail vendor).

“Drug-free Workplace” means a site for the performance of work done in connection with a specific federal grant or contract of an entity at which employees of such entity are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance.

SECTION 3
AUB POLICIES AND PROCEDURES

3.1 PROFESSIONAL CONDUCT

The successful business operation and reputation of AUB is built upon principles of fair dealing and ethical conduct of our employees. Our reputation for integrity and excellence requires careful observance, as well as scrupulous regard for the highest standards of conduct and personal integrity.

The continued success of AUB is dependent upon our students' trust and we are dedicated to preserving that trust. Employees owe a duty to AUB, its students and Directors to act in a way that will meet the continued trust and confidence of the public. AUB will comply with all applicable laws and regulations and expects its employees to conduct business in accordance with the laws and to refrain from any illegal, dishonest or unethical conduct.

In general the use of good judgment, based on high ethical principles will guide you with respect to lines of acceptable conduct. If a situation arises where it is difficult to determine a proper course of action, the matter should be discussed openly with your immediate manager for advice and resolution.

Compliance with the policy of business ethics and conduct is the responsibility of every AUB employee. Disregarding or failing to comply with this standard of business ethics and conduct could lead to disciplinary action, up to and including termination of employment.

3.2 CONFLICTS OF INTEREST

Conflicts of interest, including those arising from AUB or outside activities, are prohibited. Employees are responsible for resolving such conflicts of interest, working in conjunction with their supervisors and other AUB officials.

3.2.1 Report of Outside Activity.

An employee who proposes to engage in any outside activity which the employee should reasonably conclude may create a conflict of interest, or in any outside compensated professional activity, shall report to the employee's supervisor, in writing, the details of such proposed activity prior to engaging therein.

The report, as described in above paragraph, shall include where applicable, the name of the employer or other recipient of services; the funding source; the location where such activity shall be performed; the nature and extent of the activity; and any intended use of AUB's facilities, equipment, or services.

At the beginning of the each academic year, all employees must report activities described above or state that he or she is not engaged in or proposing to engage in any outside compensated professional activity or other activity that he or she reasonably concludes may create a conflict of interest. A new report shall be submitted for outside activity at: (a) the beginning of each academic year; and (b) such time as there is a new activity or significant change in a previously reported activity (nature, extent, funding, etc.). The reporting provisions of this section shall not apply to activities performed wholly during a period in which the employee has no appointment with AUB.

3.2.2 Expedited Dispute Resolution Procedure.

In the event the proposed outside activity is determined to constitute a conflict of interest, and the employee disagrees with that determination, the employee may file a complaint with the Board of Directors of AUB. The employee may engage in such outside activity pending a resolution of the matter by the Board of Directors of AUB. If the resolution of the matter is that there is a conflict of interest, the employee shall cease such activity immediately.

3.2.3 Use of University Resources.

An employee engaging in any outside activity shall not use the facilities, equipment, or services of AUB in connection with such outside activity without prior approval of the Board

of Directors' of AUB. Approval for the use of AUB facilities, equipment, or services may be conditioned upon reimbursement for the use thereof.

3.2.4 No AUB Affiliation.

An employee engaging in outside activity shall take reasonable precautions to ensure that the outside employer or other recipient of services understands that the employee is engaging in such outside activity as a private citizen and not as an employee, agent, or spokesperson of AUB.

An actual or potential conflict of interest occurs when an employee is in a position to influence a decision that may result in personal gain for that employee because of AUB's business dealings. Under no circumstances should an employee accept bribes, substantial gifts, or special consideration as a result of any transaction or business dealings involving AUB.

3.3 OUTSIDE EMPLOYMENT

Definitions.

"Outside activity" shall mean any private practice, private consulting, additional employment, teaching or research, or other activity, whether compensated or uncompensated, which is not part of the employee's assigned duties and for which AUB provides no compensation.

"Conflict of interest" shall mean any conflict between the private interests of the employee and the public interests of AUB and its shareholders, or any activity which interferes with the performance of the employee's professional or institutional responsibilities or obligations.

- 3.3.1 Employees may hold outside jobs as long as they meet the performance standards of their job with AUB. All employees will be evaluated by the same performance standards and

will be subject to AUB's scheduling demands, regardless of any outside work requirements.

- 3.3.2 Outside employment that constitutes a conflict of interest is prohibited. Employees may not receive income or material gain from individuals from outside AUB for materials produced or services rendered while performing their jobs.
- 3.3.3 Conflicts of interests, including those arising from AUB or outside activities are prohibited. Employees are responsible for resolving such conflicts of interest, working in conjunction with their supervisors and other AUB officials. Any AUB employee considering outside activity/interest is required to inform their immediate supervisor prior to engaging in such activity and may not engage in such activity until the outside activity has been approved.
- 3.3.4 The employee must advise AUB on an annual basis and/or when an outside activity begins or substantially changes, or has not been previously reported. Faculty employees must make this report each year even if they are not engaged in an outside activity. The reporting provisions shall not apply to activities performed wholly during a period in which the faculty employee has no appointment with AUB. Employment at other educational institutions of higher education is generally defined as a conflict of interest. Therefore, barring special circumstances as outlined below, full-time faculty employees and administrators should not commit themselves to compensated employment at other colleges, universities or serve in any capacity on the Board of Trustees of any other colleges or universities. Special circumstances for permitting employment at another educational institution may include:
 - (a) emergency need at another institution caused by accident or illness;
 - (b) summer teaching, if not appointed at AUB;
 - (c) a vocational instruction;
 - (d) unpaid leave of absence;
 - (e) acceptance into a faculty/administrator development program;
 - (f) approved faculty/administrator exchange with another institution;
 - (g) programs approved as part of an inter-institutional agreement;
 - (h) sabbatical leave when such employment is part of the approved sabbatical proposal;

- (i) instruction of a course which is not offered at AUB and in a program that does not exist at AUB.

3.3.5 If AUB determines that an employee's outside work interferes with their job performance or their ability to meet the requirements of AUB as they are modified from time to time, the employee may be asked to terminate the outside employment if he or she wishes to remain employed with AUB.

3.4 CONFIDENTIALITY

AUB employees have an affirmative obligation to maintain in strict confidence and safeguard all information relating to or attributable to AUB or a student of AUB regardless of the nature or source of the information. Unless authorized by AUB or otherwise required by law, such information is not to be disclosed except to other employees of AUB in the necessary conduct of its business. In particular, the activities performed by AUB result in AUB coming into possession of highly sensitive confidential information concerning both students and other persons or companies which could be acted upon to the detriment of students and/or AUB.

Partly as a result of the difficulty of defining what constitutes confidential information, all information relating to AUB and its students should be presumed confidential. Confidentiality attaches to information whether obtained before, during or after a person becomes an AUB student and survives after the person has ceased to be a student of AUB.

Any written or oral statement containing confidential, personal information related to business, financial or medical transactions, including name, birth date, address, telephone number, national registration number/social security number, personal photograph, amounts paid or charged on AUB charge cards is to be safeguarded.

It is the legal and ethical responsibility of all AUB faculty, staff employees, and volunteers to preserve and protect the privacy, confidentiality and security of all confidential information, written or verbal, acquired during their course of work at AUB. Use of confidential information for any personal gain, or offer of such information to any individuals or publications to the detriment of AUB during or subsequent to employment is forbidden.

All employees are requested to sign a confidentiality agreement as a condition of employment. Willful violation or unauthorized activities compromising the confidentiality of business, financial or medical transactions, including name, birth date, address, telephone number, national registration number/social security number, personal photograph or which breaches the terms of the confidentiality agreement between the employee and AUB will constitute a cause for disciplinary action, up to and including termination and legal action, even if they do not actually benefit from the disclosed information.

3.4.1 Rules for Maintaining Confidentiality

To protect the confidentiality of information, the following general rules should be followed:

- (a) Information relating to AUB and its students is not to be disclosed to any persons other than those AUB employees who are engaged upon the specific matter or otherwise have a valid "need to know", i.e. require access in order for AUB to carry on its business.
- (b) Only clearly authorized persons outside AUB may be provided with confidential information. The fact that a person is a student of AUB should not be disclosed.
- (c) Confidential information should not be discussed in public places such as elevators, hallways, restaurants, airports, airplanes, taxicabs, etc.
- (d) Documents containing confidential information should not be read, discarded or carried in an exposed manner in such public places. Similar treatment should be accorded to information displayable on computer screens, personal organizers and similar devices.
- (e) In AUB's office, documents (and devices) containing confidential information should be handled so that their contents are not exposed to view upon an employee leaving the office or otherwise by unauthorized persons.
- (f) Conversations with other employees or persons outside (including family members) regarding any AUB or student-related information off AUB's premises are to be avoided unless they are in the course of conducting AUB's business.
- (g) Any employee responding to an outsider's request for confidential information should satisfy himself or herself as to the identity of the person addressing the request and such person's right to the information.
- (h) All press inquiries should be directed for response to the Board of Directors.

- (i) The whereabouts of employees outside AUB's offices or the fact that visitors are in AUB's offices should not be disclosed to outsiders.
- (j) Employees should be sensitive to the risk of inadvertent disclosure of confidential information by being overheard on or off AUB's premises and should be sensitive to the security shortcomings of cell phones and other electronic communication devices.

More stringent measures may be adopted for particularly sensitive matters are at the discretion of the Board of Directors.

3.5 HOURS OF WORK

The normal work week for AUB shall consist of five (5), eight (8) hour days, Monday through Friday and one (1) four (4) hour day on Saturday. Subject to the needs of AUB, the employee's immediate manager shall determine the hours of employment that best suits the needs of the work to be done by the individual employee.

3.6 PERSONNEL FILES

AUB maintains a personal file on each employee. The personal file includes such information as the employee's resume, records of training and leave of absences, documentation of performance appraisals, salary increases and any other employment records.

Personal files are the property of AUB and the access to the information they contain is restricted.

Employees who wish to view their own file should contact the COO/Vice President Administration. The review of the employee file must be done in AUB's office.

3.7 PERSONNEL DATA CHANGES

It is the responsibility of each employee to promptly notify AUB of any changes in personal data. Personal mailing addresses, telephone numbers, number and names for dependents, individuals to be contacted in a case of emergency, educational accomplishments, and other such status reports should be accurate and current at all times. If any personal data has changed since employment, please notify the Manager Operations/COO/Vice President Administration.

3.8 PERFORMANCE EVALUATION

A formal performance evaluation is conducted on an annual basis at AUB to provide both managers and employees the opportunity to discuss job tasks, clarify and correct weaknesses, encourage and recognize strengths and discuss positive, purposeful approaches for meeting goals.

However supervisors and managers are strongly encouraged to discuss job performance and goals on an ad-hoc basis to allow the opportunity to clarify any performance issues before the formal performance evaluation. This informal discussion gives an employee the chance to stay on target.

3.9 HARASSMENT

AUB is committed to providing a workplace free from harassment for all employees. Harassment is prohibited by law, and AUB will not tolerate harassment in the workplace.

This Policy applies to everyone who works at AUB. The firm's workplace includes:

- a. all offices or other premises where AUB business is conducted;
- b. any place where AUB related activities occur away from the office; and
- c. any place where social, business or other functions occur where conduct or comments may have an effect on the workplace or workplace relations.

3.9.1 Definition of Harassment

For the purposes of this policy, harassment means vexatious comment or conduct related to sex, sexual orientation, race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, age, record of offences, marital status, family status, handicap, or other ground prohibited by applicable law, engaged in by someone who knows, or ought reasonably to know, that the comment or conduct is unwelcome.

Some examples of conduct which has constituted harassment in past legal cases are:

- (a) remarks, jokes, or innuendos about sex, sexual orientation, race, creed or other prohibited ground where the speaker has been advised that they are offensive or where they are by their nature offensive;
- (b) leering or other offensive or sexually suggestive gestures;
- (c) derogatory or degrading remarks used to describe or directed toward members of one sex, sexual orientation, race, creed or other group;
- (d) the display of or the distribution by mail, fax or other electronic means of sexually explicit or otherwise offensive material;
- (e) unwelcome advances, invitations or propositions of a sexual nature or repeated invitations after previous requests have been refused;
- (f) unwelcome inquiries or comments about a person's sex life;
- (g) unnecessary physical contact, including touching, patting, etc.;
- (h) verbal abuse or threats; and
- (i) sexual assault.

In addition, retaliation against a person who uses this Policy or takes part in an investigation under this Policy constitutes harassment. Some examples of retaliatory behaviour which may be harassment or discrimination include:

- (a) criticism of a person's job performance beyond the level warranted on the merits considering the person's position and length of employment and the performance of others in a comparable position;
- (b) the arbitrary reassignment of a person to a different department, job or set of responsibilities;
- (c) the failure to extend to a person (or others of the same sex, cultural background or other status) the opportunities available to others; and

- (d) the breach of the confidentiality requirements of this Policy for the purposes of retaliation.

3.9.2 What to do if Harassment Occurs

If you feel you have been harassed, you have a number of practical and legal options available to you. This policy outlines several steps which are available to any member or employee who feels that he or she has been harassed by any other member or employee at AUB or by any other individual outside AUB with whom the member or employee had dealings in the course of his or her employment with AUB.

3.9.3 Informal Resolution Options

- (a) You may decide to tell the person responsible that his or her behaviour makes you uncomfortable and request that it stops. Although this is difficult, in many situations it is the most effective method of eliminating the problem.
- (b) If you find it too difficult to speak to the person directly (or if you speak to the person but the behaviour does not stop or you feel that as a result you have been subject to retaliatory behaviour) you may discuss your concerns with the CEO/Dean. After your discussion with the CEO/Dean, you may wish to have the CEO/Dean address the matter informally with the person whose behaviour has troubled you.
- (c) In every case where the CEO/Dean addresses the matter informally, the CEO/Dean will keep you advised of how the matter has been addressed and will keep a record in his/her files. The CEO/Dean will complete this informal procedure within 15 days of your initially speaking to him/her, unless a longer period is appropriate in the circumstances. In this case, the CEO/Dean will advise you of the proposed time frame.

3.9.4 Formal Complaints

You may decide to make a formal written complaint under this policy to the CEO/Dean, and in this case the CEO/Dean will investigate your complaint. You may make a formal written complaint whether or not you have spoken to the CEO/Dean and whether or not the CEO/Dean agrees with you that there is evidence of harassment.

3.9.5 Investigation under HR Manager's Supervision

The CEO/Dean will proceed with an investigation whenever a formal complaint is received, and in other circumstances where an investigation would be appropriate. An investigation might be appropriate where the CEO/Dean becomes aware of a serious allegation or incident, (for example, where there are previous complaints or incidents involving the person complained of).

The CEO/Dean will cause any investigation to be completed and will decide on an appropriate resolution within thirty (30) days, unless a longer period is appropriate in the circumstances, and in this case you will be advised of the proposed time frame. In the course of its investigation, the CEO/Dean will:

- (a) give a copy of the written complaint to the person whose conduct is complained of (if the investigation has been initialled as a result of a formal complaint) or advise the person in writing of the allegations;
- (b) provide the person complained of with an opportunity to respond to the complaint orally or in writing;
- (c) investigate the complaint by, among other things, speaking to the complainant, to the person complained of, and to other individuals where appropriate;
- (d) where in the CEO/Dean view the complaint is not substantiated, (i) take no further action against the person complained of, but (ii) keep a sealed record of the proceedings and the result in the confidential file maintained by the CEO/Dean; and (iii) give a copy of this record to the person complained of; and
- (e) in all cases, advise the complainant of the result.

If an incident or a complaint involves the CEO/Dean, then the complaint shall be made to the Board of Directors.

3.9.6 Disciplinary and Rehabilitative Actions

Disciplinary and rehabilitative action resulting from an investigation may include one or more of the following:

- (a) a formal apology;
- (b) counselling;
- (c) a written warning placed in the person's file;
- (d) a change of work assignment of the person complained of;
- (e) a financial penalty;
- (f) the suspension or discharge of the employee.

In addition to the sanction that may be imposed by AUB, employees of AUB who engage in harassment may expose themselves personally to damages in the event of a successful lawsuit or human rights case.

3.9.7 Confidentiality

The CEO/Dean and anyone involved in the investigation will maintain confidentiality throughout the informal or formal complaint procedure, the investigation, and after to the extent practicable and appropriate under the circumstances. Everyone else, including the complainant, the person complained of, and anyone involved during the investigation, will be cautioned regarding the necessity for maintaining confidentiality.

3.9.8 Sexual Harassment.

AUB is committed to providing a work environment for all employees that is free from sexual harassment and other types of harassment. Employees are expected to conduct themselves in a professional manner and to show respect for their co-workers.

AUB's commitment begins with the recognition and acknowledgment that sexual harassment and other types of harassment are, of course, prohibited. To reinforce this commitment, AUB has developed a policy against harassment and a reporting procedure for employees who have been subjected to or witnessed harassment. This policy applies to all work-related settings and activities, whether inside or outside the workplace, and includes business trips and business-related social events. AUB's property (e.g. telephones, copy machines, facsimile machines, computers, and computer applications such as e-mail and Internet access) may not be used to engage in conduct that violates this policy. AUB's policy against harassment covers employees and other individuals who

have a relationship with AUB which enables AUB to exercise some control over the individual's conduct in places and activities that relate to AUB's work (e.g. directors, officers, vendors, etc.).

3.9.8.1 Prohibition of Sexual Harassment.

AUB's policy against sexual harassment prohibits sexual advances or requests for sexual favours or other physical or verbal conduct of a sexual nature, when:

- (a) submission to such conduct is made an express or implicit condition of employment;
- (b) submission to or rejection of such conduct is used as a basis for employment decisions affecting the individual who submits to or rejects such conduct; or
- (c) such conduct has the purpose or effect of unreasonably interfering with an employee's work performance or creating an intimidating, hostile, humiliating, or offensive working environment.

While it is not possible to list all of the circumstances which would constitute sexual harassment, the following are some examples:

- (a) unwelcome sexual advances -- whether they involve physical touching or not;
- (b) requests for sexual favours in exchange for actual or promised job benefits such as favourable reviews, salary increases, promotions, increased benefits, or continued employment; or
- (c) coerced sexual acts.

Depending on the circumstances, the following conduct may also constitute sexual harassment:

- (a) use of sexual epithets, jokes, written or oral references to sexual conduct, gossip regarding one's sex life;
- (b) sexually oriented comment on an individual's body, comment about an individual's sexual activity, deficiencies, or prowess;
- (c) displaying sexually suggestive objects, pictures, cartoons;
- (d) unwelcome leering, whistling, deliberate brushing against the body in a suggestive manner;
- (e) sexual gestures or sexually suggestive comments;
- (f) inquiries into one's sexual experiences; or
- (g) discussion of one's sexual activities.

While such behaviour, depending on the circumstances, may not be severe or pervasive enough to create a sexually hostile work environment, it can nonetheless make co-workers uncomfortable. Accordingly, such behaviour is inappropriate and may result in disciplinary action regardless of whether it is unlawful.

It is also forbidden and expressly against AUB's policy to retaliate against an employee for filing a complaint of sexual harassment or for cooperating with an investigation of a complaint of sexual harassment.

3.9.8.2 Reporting of Harassment.

If you believe that you have experienced or witnessed sexual harassment or other discriminatory harassment by any employee of AUB, then you should report the incident immediately to the HR Manager. Possible harassment by others with whom AUB has a business relationship, including clients and vendors, should also be reported as soon as possible so that appropriate action can be taken.

AUB will promptly and thoroughly investigate all reports of harassment as discreetly and confidentially as practicable. The investigation would generally include a private interview with the person making a report of harassment. It would also generally be necessary to discuss allegations of harassment with the accused individual and others who may have information relevant to the investigation. AUB's goal is to conduct a thorough investigation, to determine whether harassment occurred, and to determine what action to take if it is determined that improper behaviour occurred.

If AUB determines that a violation of this policy has occurred, it will take appropriate disciplinary action against the offending party, which can include counselling, warnings, suspensions, and termination. Employees who report violations of this policy and employees who cooperate with investigations into alleged violations of this policy will not be subject to retaliation. Upon completion of the investigation, AUB will inform the employee who made the complaint of the results of the investigation.

Compliance with this policy is a condition of each employee's employment. Please refer to the policy and procedure manual for guidance on how to report such grievances. Employees are encouraged to raise any questions or concerns about this policy or about possible discriminatory harassment with the CEO/Dean.

3.10 GRIEVANCE PROCEDURE

It is recognized that in any organization conditions develop and misunderstandings arise that may cause dissatisfaction and resentment. It is important that employees are treated fairly and receive prompt responses to problems and concerns. We believe this policy will offer an avenue for employees to air their grievances in an effective manner.

The purpose of this policy is to set forth the means by which employees may seek remedies for certain actions or treatment that they consider unfair or unjust. For this reason, AUB provides a grievance procedure to promote prompt and responsible resolution of issues raised by employees. This procedure may be used freely without fear of retaliation, and management is available to assist throughout the procedure. The

process outlined below should be used if an individual disagrees with a manager's action including any disciplinary action.

3.10.1 Procedure

Step 1: Discuss Complaint with Manager

AUB encourages informal resolution of complaints therefore the Employee may decide to tell the person responsible that his or her behaviour is unacceptable and request that it stop. If the complaint is not resolved as a result of this discussion, or such a discussion is not appropriate under the circumstances, proceed to Step Two. If the action in dispute involves suspension or termination of employment, Steps One and Two should be bypassed.

Step 2: Prepare and Submit a Written Complaint to the Board of Directors and the CEO/Dean

If the employee feels the complaint was not resolved during the informal discussions in step one, they may prepare and submit a formal written complaint for review to the COO/Vice President Administration/Dean. We encourage employees to submit such complaint in a timely manner, at least within seven (7) business days of the Step One discussion (or within seven (7) days of the event being grieved if Step One is bypassed). The COO/Dean will then review the complaint, send a copy to the employee's manager (if appropriate), and schedule a meeting with the employee, and the person who the complaint was made against to discuss the situation. The meeting will ordinarily be held within five (5) business days on receipt of the written complaint. The COO/Dean will then issue a written decision, generally within five (5) business days of the meeting. If the complaint is not resolved to the employee's satisfaction, they may proceed to Step Three.

Step 3: Submit Written Complaint to the Vice President Administration:

If the employee is not satisfied with the Step Two decision, they may proceed with the complaint within five (5) business days of receipt of the Step Two decision by submitting it to the Vice President Administration. A meeting will be scheduled between the employee

and the Manager Operation/COO/Dean and a representative of The Vice President Administration, within five (5) business days of receipt of the complaint. After the discussion, The Vice President Administration will issue a written decision, generally within five (5) business days of the meeting.

Documentation:

There are no specific documents or forms to be used under this policy. As set forth above, there are a number of places where written communication is required. That communication will typically take the form of a memorandum.

3.11 DISCIPLINARY CODE

The code of discipline seeks to promote consistency in the treatment of similar offences throughout AUB. It is obviously not practicable to specify all offences, and the below schedule has therefore been confined to those which are more or less common to most financial institutions.

In the event one of the above rules is broken, cases will be heard in the presence of the HR Committee. A written warning will be placed on the employee's file.

#	INCIDENT	FIRST OFFENCE	SECOND OFFENCE	THIRD OFFENCE
1	Being habitually late, without reason. (Habitual means four (4) times in a calendar month)	Warning	Suspension without pay	Dismissal
2	Absence without permission from work or leaving before the end of the day without proper authorization	Warning	Suspension without pay	Dismissal

3	Unauthorized absence from work for 3 consecutive days.	Dismissal		
4	Bad time keeping. Absence from work without contacting Supervisor and the HR Manager. Extended absence from work station without permission.	Warning	Suspension without pay	Dismissal
5	Insubordination or rudeness, assault, using expletives/indecent language or improper conduct; causing undue noise and general bad behaviour.	Suspension without pay/ Dismissal	Dismissal	
6	Refusal to carry out reasonable instructions or complete scheduled work while on duty.	Warning / Suspension without pay	Suspension without pay/ Dismissal	Dismissal
7	Damage to and or loss of property of AUB through negligence, inefficiency or carelessness. (liable to pay cost of damages and or loss incurred)	Suspension without pay/ Dismissal	Dismissal	
8	Any act of dishonesty including, but not limited to, theft, of the AUB's property or any employee's property, or the falsification of or tampering with AUB's records, documents or reports.	Dismissal		
9	Deliberate destruction or unauthorized removal of AUB's, another employee's, or customer's property.	Dismissal		
10	Bringing intoxication liquor or illegal drugs, or consuming intoxicating liquor or illegal drugs, on the premises, or on AUB's time. (It is	Dismissal		

	permissible for alcoholic beverages to be consumed at Company functions)			
11	Provoking or instigating a fight, or fighting during working hours, or on AUB's premises between fellow workers.	Warning	Suspension without pay	Dismissal
12	Sexual immortality on the AUB's premises.	Warning	Suspension without pay	Dismissal
13	Failure to observe safety rules. Engaging in conduct which creates a health and safety hazard.	Warning/ Suspension without pay/ Dismissal	Suspension without pay/ Dismissal	Dismissal
14	Smoking, repeated quarrelling with other employees, sleeping, malingering, loafing on the job or wandering off without permission, or gambling.	Warning	Suspension without pay	Dismissal
15	Negligence, incompetence or carelessness in performance of duty.	Warning	Suspension without pay	Dismissal
16	Violation of one of the AUB's known policies or rules and regulations.	Warning	Suspension without pay	Dismissal
17	Conviction of a felony	Dismissal		
18	Carrying and/or brandishing weapons or firearms on the AUB's property without proper authorisation	Dismissal		
19	Failure to report absence or other circumstances affecting his/her attendance at work to Management.	Warning	Suspension without pay	Dismissal
20	Use of AUB's equipment or vehicles without proper authorization.	Warning	Suspension without pay	Dismissal

21	Bullying or improperly coercing one or more fellow employees.	Warning/ Suspension without pay/ Dismissal	Suspension without pay/ Dismissal	Dismissal
22	Not adhering to AUB's Dress Code	Warning	Suspension without pay	Dismissal

3.12 DISCIPLINARY ACTION & DISMISSAL POLICY

This policy outlines the underlying policy and procedure for disciplinary measures and dismissal. It aims to provide a clear and fair structure that is understandable to both management and employees.

STAGE ONE – THE VERBAL WARNING

Stage one of the disciplinary action procedure is a verbal warning held in the form of a counselling meeting with the CEO/Dean and the employee. An independent observer may be invited to this meeting. The misconduct or performance allegations will be heard and the employee will be given the opportunity to respond. An agreed plan of action will be reached to improve performance standards or the appropriate conduct will be outlined. A written record will be made of this meeting and the employee will be asked to read and sign the record as correct. The employee will then be given a copy for their reference and a copy will be kept on the employee's file. If there are no repeat occurrences the employee will be commended and their employment retained.

STAGE TWO – THE WRITTEN WARNING

The second stage of disciplinary action will be undertaken if the behaviour persists. This consists of a written warning outlining the problems being encountered or poor performance and possible solutions. It will also give a review date for the employees' conduct and/or performance. In the case of inappropriate conduct, the company may put the employee on suspension without pay for a period of one week.

STAGE THREE – THE FINAL WARNING

A further repeat of misconduct or poor performance will result in a final warning. A counselling meeting of the same format as Stage One will occur giving a very clear message that if this behaviour persists the company will either suspend the employee's employment without pay for one week or terminate the employee's employment depending on the circumstances. Records will be made of this meeting as in stage one and will be kept on the employee's file.

3.12.1 Examples of Misconduct, Gross Misconduct and Unsatisfactory Performance

The following list provides some examples of offences which are normally regarded as misconduct:

- (a) Failure to achieve and maintain the required standards of work;
- (b) Failure to adhere to AUB's Policies and Procedures;
- (c) Being under the influence of alcohol or illegal or un-prescribed drugs whilst at work;
- (d) Coming to work under the influence of alcohol or illegal or un-prescribed drugs;
- (e) Drinking on duty except otherwise where permitted to do so;
- (f) Persistent lateness as defined by your immediate supervisor;
- (g) Absenteeism;
- (h) Absence from place of work without permission or reasonable excuse;
- (i) Refusal to carry out a lawful or reasonable instruction;
- (j) Unauthorized sale of goods on AUB's premises;
- (k) Carelessness or mistakes connected with work;
- (l) Disrupting the work of others.

The following list provides some examples of offences that are normally regarded as gross misconduct which can result in termination of employment:

- (a) Theft or fraud;
- (b) Physical violence and bullying;
- (c) Deliberate and serious damage to property;

- (d) Serious misuse of AUB's property or name;
- (e) Deliberately accessing internet sites containing pornographic, offensive or obscene material;
- (f) Serious insubordination;
- (g) Unlawful discrimination or harassment;
- (h) Bringing AUB into serious disrepute;
- (i) Serious incapability at work brought on by alcohol or illegal drugs;
- (j) Causing loss, damage or injury through serious negligence;
- (k) A serious breach of health and safety rules;
- (l) A serious breach of confidence;
- (m) A serious breach of AUB's policies and procedures.

3.13 COMPUTER AND INFORMATION SECURITY

This section sets forth some important rules relating to the use of AUB's computer and communications systems. These systems include individual PCs provided to employees, centralized computer equipment, all associated software, and AUB's telephone, voice mail and electronic mail systems.

AUB has provided these systems to support its mission. Although limited personal use of AUB's systems is allowed, subject to the restrictions outlined below, no use of these systems should ever conflict with the primary purpose for which they have been provided, AUB's ethical responsibilities or with applicable laws and regulations. Each user is personally responsible to ensure that these guidelines are followed.

All data in AUB's computer and communication systems (including documents, other electronic files, e-mail and recorded voice mail messages) are the property of AUB. AUB may inspect and monitor such data at any time. No individual should have any expectation of privacy for messages or other data recorded in AUB's systems. This includes documents or messages marked "private," which may be inaccessible to most users but remain available to AUB. Likewise, the deletion of a document or message may not prevent access to the item or completely eliminate the item from the system.

AUB's systems must not be used to create or transmit material that is derogatory, defamatory, obscene or offensive, such as slurs, epithets or anything that might be construed as harassment or disparagement based on race, colour, national origin, sex, sexual orientation, age, physical or mental disability, medical condition, marital status, or religious or political beliefs. Similarly, AUB's systems must not be used to solicit or proselytize others for commercial purposes, causes, outside organizations, chain messages or other non-job-related purposes.

Security procedures in the form of unique user sign-on identification and passwords have been provided to control access to AUB's host computer system, networks and voice mail system. In addition, security facilities have been provided to restrict access to certain documents and files for the purpose of safeguarding information. The following activities, which present security risks, should be avoided:

- (a) Attempts should not be made to bypass, or render ineffective, security facilities provided by the company.
- (b) Passwords should not be shared between users. If written down, password should be kept in locked drawers or other places not easily accessible.
- (c) Individual users should never make changes or modifications to the hardware configuration of computer equipment. Requests for such changes should be directed to the IT Manager.
- (d) Additions to or modifications of the standard software configuration provided on AUB's PCs should never be attempted by individual users. Requests for such changes should be directed to the IT Manager.
- (e) Individual users should never load personal software (including outside email services) to company computers. This practice risks the introduction of a computer virus into the system. Requests for loading such software should be directed to the IT Manager.
- (f) AUB's computer facilities should not be used to attempt unauthorized access to or use of other organizations' computer systems and data.
- (g) Computer games should not be loaded on AUB's PCs.
- (h) Unlicensed software should not be loaded or executed on AUB's PCs.
- (i) Turn off your personal computer when you are leaving your work area or office for an extended period of time.

The purpose of the IT Policy is to ensure the effective protection and proper usage of the computer systems within AUB. The IT investment of the organization is considerable and the dependency on computer technology in the delivery of AUB services is high. The IT Policy will assist in maintaining systems at operational level.

Contraventions of the IT Policy could seriously disrupt the operation of AUB and any breaches will be treated seriously.

Managers are responsible for ensuring adherence to the IT Policy within AUB.

3.13.1 Computer Systems

A. *Network*

Network management, administration and maintenance within AUB are the responsibility of the IT Department. Access to and usage of the Servers is restricted to authorized staff.

B. *Hardware (PCs, Laptops, Notebooks, Printers, Modems, etc.)*

B.1 The requirement for IT equipment will normally be identified within the context of an IT strategy for AUB and more specifically within a planned programme of PC replacement.

B.2 The purchase, installation, configuration and maintenance of computer equipment are the responsibility of the IT Department.

B.3 Computer equipment registers will be maintained by the IT Department to ensure full tracking of equipment.

B.4 The IT Manager will liaise with the Accountant to ensure adequate insurance cover for computer equipment. The IT Manager will ensure staff is aware of any restrictions and limitations.

B.5 Requirements for new hardware should be discussed in advance with the IT Manager to assess the detailed specification.

B.6 The deployment of new equipment or re-deployment of existing equipment is undertaken by the IT Department after consultation with the Board of Directors.

- B.7 The relocation of hardware within or without AUB premises should be approved by the IT Manager in advance to ensure good reason for relocation, determine the most appropriate means of relocation and to ensure computer equipment registers and insurance policies are updated.
- B.8 The security and safekeeping of portable and other equipment used outside the premises of AUB offices is the responsibility of the member of staff using it.
- B.9 Problems with hardware should be reported to the IT Manager.

C. *Software & Software Applications*

- C.1 The purchase, installation, configuration and support of **all** software and software applications used within AUB are the responsibility of the IT Manager.
- C.2 Problems with software should be reported to the IT Department.
- C.3 Requests for modifications, enhancements and upgrades of existing software applications should be discussed with the IT Manager.
- C.4 Software, including screensavers, must not be installed by users without prior authorization from the IT Department. This includes programs downloaded from the Internet.
- C.5 AUB will treat the installation of unlicensed software by users as a serious breach of the IT Policy.
- C.6 Software license registers will be maintained by the IT Department to ensure compliance with legislation.
- C.7 Software disks will be kept securely by the IT Department.
- C.8 Requirements for new software/software applications should be approved by the IT Manager.

D. *Back Up*

- D.1 The IT Department is responsible for ensuring the implementation of an effective back-up strategy for server-held software and data.

- D.2 Users of networked desktop PCs should avoid storing data on their local hard drives. Data so stored may be lost if a problem develops with the PC, and the IT Department may not be able to assist in its recovery. Data should be stored within the file directory (folder) structure used by the office.
- D.3 Remote and laptop/notebook PC users must ensure they back up their data regularly. The IT Department will provide advice and assistance.

E. *Anti-Virus Protection*

- E.1 The IT Department is responsible for the implementation of an effective virus security strategy. All machines, networked and standalone, will have up-to-date anti-virus protection.
- E.2 The installation of anti-virus software on all machines is the responsibility of the IT Department.
- E.3 The IT Department will ensure the upgrade of the anti-virus software on networked desktop PCs.
- E.4 Remote users and users of portable machines will assist in the upgrade of anti-virus software in accordance with specified mechanisms agreed with the IT Department, e.g. internet updates
- E.5 Staff should virus-scan all media (including floppy disks, zip disks and CDs) before first use. The IT Department will provide assistance and training where required.
- E.6 On detection of a virus staff should notify the IT Department who will provide assistance.
- E.7 Under no circumstances should staff attempt to disable or interfere with the virus scanning software.

3.13.2 **Computer Users**

A. *User Accounts*

- A.1 The IT Department should be notified of new members of staff in advance to allow the creation of network and e-mail accounts and system permissions.
- A.2 The IT Department should be notified of the departure of staff to allow the deletion of network and e-mail accounts.
- B. *Passwords*
 - B.1 Users must change their passwords when prompted by the system in the case of networked machines or on a regular basis for standalone machines.
 - B.2 Staff members are responsible for the security of their password which they should not divulge, even to colleagues.
 - B.3 The IT Department should be notified of any problems with passwords.

3.13.3 System Usage

- 3.13.3.1 The system must not be used to conduct any business or commercial activity other than AUB business.
- 3.13.3.2 It is prohibited to communicate confidential AUB information, student information or otherwise to any person who is not a user or who is not intended to receive such information.
- 3.13.3.3 Computers should be locked when left unattended for any significant period of time.
- 3.13.3.4 Users should ensure they are logged off at end of day.

3.13.4 E-mail/ Instant Messaging

- 3.13.4.1 The AUB e-mail system is a core business application. It should not be used for political, business or commercial purposes not related to AUB.
- 3.13.4.2 The AUB e-mail system must not be used to send illegal or inappropriate material.
- 3.13.4.3 Limited personal use of email is permitted.
- 3.13.4.5 Staff should utilize the archiving facility within the Email system in accordance with current guidelines.

- 3.13.4.6 Confidential material sent by e-mail should be so marked but sent only with caution.
- 3.13.4.7 AUB retains the right to access and view all Emails sent and received by the Email system. This right is exercised solely through the IT Department on the instructions of the Board of Directors.

3.13.5 Internet

- 3.13.5.1 Access to the Internet is provided for business purposes. Limited personal use is permitted and is to be restricted to personal times, lunch and breaks.
- 3.13.5.2 Staff should not make inappropriate use of their access to the Internet. They must not use AUB systems to access pornographic, illegal or other improper material.
- 3.13.5.3 Staff should not subscribe to chat rooms, dating agencies, messaging services or other on-line subscription Internet sites unless they pertain to work duties and are first approved by the IT manager.
- 3.13.5.4 Programs, including screensavers, must not be downloaded from the Internet without authorization from the IT Department.
- 3.13.5.5 AUB does not intend to actively monitor use of the System or the content of private communications on the System, but may do so in appropriate circumstances. Users should be aware that the system itself automatically records the history of the use of the system, for example Internet sites visited by each user and in some cases the System automatically records and stores pictures and attachments.
- 3.13.5.6 Abuse of Internet access will be dealt with severely relative to seriousness. Minor abuse will lead to removal of the privilege of access from an individual's workstation.

3.13.6 Contravention of the IT Policy

- 3.13.6.1 Computer Users shall not, by any willful or deliberate act, jeopardize the integrity of the computing equipment, its systems programs or any other stored information to which they have access.
- 3.13.6.2 Unauthorized access to a computer sometimes called "hacking" or other unauthorized modification to the contents of a computer, such as the deliberate introduction of viruses shall not be permitted and will be considered a disciplinary offence.
- 3.13.6.3 Contravention of the AUB IT Policy or any act of deliberate sabotage to AUB computer systems may be considered a disciplinary offence.

Any questions regarding the IT Policy should be directed to the IT Manager.

3.14 REIMBURSEMENT OF EXPENSES

Reimbursement is authorized for reasonable and necessary expenses incurred in carrying out job responsibilities. Mileage or transportation, and meal costs occurred during client meetings, are all illustrative of reasonable and necessary expenses.

Employees serving in an official capacity for AUB at conferences and meetings are reimbursed for actual and necessary expenses incurred, such as travel expenses, meal costs, lodging, and registration fees. When attending meetings that have been approved by management, employees are reimbursed for travel expenses, course fees, and costs of meals and lodging at the current rates. Employees also may be granted leave to attend a conference or professional meeting related to their professional development. Expenses for these purposes can be paid by AUB, if funds are available, and the employee obtains prior written approval of such expenses.

Employees authorized to use their personal cars for AUB business are reimbursed.

Forms are provided to request reimbursement for actual expenses and advance payment for travel. Receipts must be provided for all expenditures made in order to claim reimbursement.

3.15 CLEAN DESK POLICY

We at AUB operate a clean desk policy.

The main reasons we have introduced this policy are:

- (i) It shows the right image when our students and parents visit the office;
- (ii) It reduces the threat of security as passwords and conditional information gets locked away.

It is generally accepted that a tidy desk is a sign of efficiency and effectiveness.

The implementation of the policy is very straight forward. At the end of the working day the employee is expected to tidy their desk and file away all office papers. AUB provides an under-desk locker and filing cabinets for this purpose.

AUB does not expect this policy to be implemented in a heavy handed way, but we expect that most employees will abide by the spirit of this policy.

SECTION 4

STANDARDS OF CONDUCT

4.1 ATTENDANCE/PUNCTUALITY

Attendance is a key factor in your job performance. Punctuality and regular attendance are expected of all employees. Excessive absences (whether excused or unexcused), tardiness or leaving early is unacceptable. If you are absent for any reason or plan to arrive late or leave early, you must notify the HR Manager in advance. In the event of an emergency, you must notify your immediate manager and HR Manager as soon as possible.

For all absences extending longer than one (1) day, you must telephone your immediate manager and HR Manager prior to the start of each workday. When reporting an absence, you should indicate the nature of the problem causing your absence and your expected return-to work date.

A certified sick leave certificate will be required on the third consecutive day as proof of the need for any illness-related absence.

An employee who is absent from work for three (3) consecutive days without notification to his or her immediate manager and/or HR Manager may be considered to have voluntarily terminated his or her employment. If the decision has been made from AUB to terminate employment, the employee's final pay check will be mailed to the last mailing address on file with AUB.

Excessive absences, tardiness or leaving early will be grounds for discipline up to and including termination. Depending on the circumstances, including the employee's length of employment, AUB may counsel employees prior to termination for excessive absences, tardiness or leaving early.

4.2 TELEPHONE USE

AUB telephones are intended for the use of serving our students, suppliers and in conducting the AUB's business.

Personal usage during business hours is discouraged except for extreme emergencies. All personal telephone calls should be kept brief to avoid congestion on the telephone line.

To respect the rights of all employees and avoid miscommunication in the office, employees must inform family members and friends to limit personal telephone calls during working hours.

If an employee is found to be deviating from this policy, he/she will be subject to disciplinary action.

The use of cellular telephones shall also be governed by this policy. This policy applies to both incoming and outgoing cellular calls. Cellular phones shall be turned off or set to silent or vibrate mode at work or during meetings, conferences and in other locations where incoming calls may disrupt normal workflow. Employees may carry and use personal cellular phones while at work on a sporadic basis. If employee use of a personal cell phone causes disruptions or loss in productivity, the employee may become subject to disciplinary action. If an employee is operating a company vehicle or is driving his/her personal vehicle for work and receives a call on a cellular phone, the employee may answer, but shall ask the caller to hold, put the phone down and pull to the side of the roadway, into a parking lot or other safe location to respond to the call. Failure to follow this policy may result in disciplinary action up to and including termination.

4.3 MEDIA RELATIONS

AUB recognizes the potential benefits of employees publicizing the organization's expertise (and good works) through the press or even social media channels such as blogs, YouTube, Twitter and Facebook accounts are enormous. But the perils of unauthorized disclosures about the business or worse, derogatory comments posted for

anyone to see cannot be understated. Any such publication by an employee must have the prior approval of the Board of Directors of AUB.

AUB prohibits employees from divulging confidential information or any other sensitive information to the press or on social media websites without proper authorization. Failure to comply with the above rules can be grounds for disciplinary action up to and including termination of employment.

4.4 DRESS CODE

AUB's objective in establishing a business casual dress code is to allow our employees to work comfortably in the workplace. Yet, we still need our employees to project a professional image for our students, potential employees, and community visitors. Business casual attire is the standard for this dress code.

Consequently, business casual attire includes suits, pants, jackets, shirts, skirts and dresses that, while not formal, are appropriate for a business environment. Examples of appropriate business attire include a polo shirt with pressed khaki pants, a sweater and shirt with corduroy pants, and a jacket, sweater and skirt. T-shirts, shirts without collars, and footwear such as flip flops, sneakers, and sandals are not appropriate for business casual attire.

All female employees must wear a jacket or sweater with armhole attire. The appropriate undershirt must also be worn under a sheer shirt. High waist jeans and pants not covering the ankles (Capri pants, crop pants, etc.) are not permitted. Female employees should also ensure that skirts and dresses are an appropriate length. Skirts and dresses should not be more than four (4) inches above the knee or should not be lower than calf length.

AUB encourages employees to adopt hairstyles appropriate for the work place. Body art (such as tattoos and body piercing) should also be appropriately covered or not worn in the work place.

Kindly also note that the following should not be worn to work:

- Midriff length tops, off-the-shoulder tops, spaghetti strap tops and dresses are not permitted.
- T-shirts with logos
- Athletic wear and/or work out clothing including tennis shoes
- Spandex or Lycra
- Beach wear
- Provocative attire
- Evening wear
- Mini skirts

While AUB cannot express all concerns for this policy, employees are expected to demonstrate good judgment and professional taste. Courtesy to coworkers and your professional image to students should be the factors that are used to assess that you are dressing in business attire that is appropriate for a financial institution

Employees who wear attire that are determined to be inappropriate by the Board of Directors and the CEO/Dean, will be asked not to wear the inappropriate item to work again. If the problem persists, the employee may be sent home to change clothes and will receive a verbal warning for the first offense.

4.5 SOLICITATION

Because distractions on the job lead to unsafe working conditions, poor work performance and inefficiency, AUB has the following rules related to solicitations:

- (a) During periods of the workday when an employee is engaged in or required to be performing work, employees may not engage in solicitation of other employees or distribution of literature for any purpose. This restriction applies to all types of sales and/or requests for donations for any cause.

- (b) During periods in another employee's workday when he/she is engaged in or required to be performing his/her work, an employee may not solicit the other employee for any purpose.
- (c) Distribution of literature of any kind may not be made in the work areas of the premises at any time.
- (d) Persons who are not employed by AUB are not permitted to solicit or distribute literature on AUB's premises.
- (e) Exceptions may be made for charitable causes, but only with prior approval from the Board of Director. Failure to obtain approval prior to solicitation may result in disciplinary action against the employee conducting such solicitation.

4.6 WORKPLACE VIOLENCE

AUB has a zero-tolerance policy concerning threats, intimidation and violence of any kind in the workplace either committed by or directed to employees. Employees who engage in such conduct will be disciplined, up to and including termination of employment. Employees are not permitted to bring weapons of any kind onto AUB property or to company functions. Any employee who is suspected of possessing a weapon will be subject to a search at AUB's discretion. Such searches may include, but are not limited to, the employee's personal effects, desk, handbags/purses/backpacks and workspace. If an employee feels he or she has been subjected to threats or threatening conduct by a co-worker, vendor, customer, or spouse, the employee must notify his/her supervisor or another member of management immediately, so that proper corrective and/or protective action can be taken.

SECTION 5

WAGE AND SALARY POLICIES

5.1 WAGE OR SALARY INCREASES

Wage or salary increases will be determined on the basis of performance, adherence to AUB policies and procedures, ability to meet or exceed duties per job description and achieve performance goals, essential nature of position held, and the best interests of AUB. Increases are solely at AUB's discretion and may or may not be given each year.

Although AUB's salary and wage ranges may be adjusted on an ongoing basis, AUB does not grant "cost of living": increases. Performance and the profitability of AUB are key to salary and wage increases at AUB.

No employee is guaranteed a wage or salary increase at any time.

5.2 TIMEKEEPING

AUB uses biometric software for time recording. Accurately recording time worked is the responsibility of every employee. AUB expects that every employee to keep an accurate record of time worked. Time worked is all the time actually spent on the job performing assigned duties. Altering, falsifying or tampering with time records may result in disciplinary action up to and including termination of employment.

5.3 OVERTIME

Overtime will be required occasionally; AUB will not compensate employees for overtime worked.

5.4 PAYDAYS

Salaries are paid on the 25th of each month, except when either of those days falls on a Saturday, Sunday or holiday, in which case salaries will be distributed on the preceding

workday. All salary deductions are itemized on a pay slip and presented to employees via email. Approved salary deductions may include: PAYE and NIS and other any other deductions approved by AUB (e.g., Insurance).

Paychecks will not, under any circumstances, be given to any person other the employee without the employee's written authorisation. Upon request, paychecks may be deposited directly in the employee's bank account, using the bank information on file in the employee's personnel file.

SECTION 6

BENEFITS AND SERVICES

6.1 VACATION

Employees who have been employed for less than five (5) years will be entitled to an annual holiday for a period of three (3) weeks. Employees who have been employed for five (5) years or more will be entitled to annual holiday for a period of four (4) weeks.

When applying for vacation, employees are encouraged to submit their vacation form at least a month in advance to their immediate supervisor for approval. It is prohibited to take vacation without the approval of the employee's immediate supervisor. Committing this offense can lead to disciplinary action up to and including termination of employment.

Employees are expected to use vacation benefits in the year in which vacation is earned. Employees may carry over no more than five (5) unused vacation days from one year to the next. Accordingly, employees are encouraged to use all vacation benefits in the year in which they are earned.

6.2 HOLIDAY

Full-Time employees are eligible for 13 holidays per year as follows:

- (i) New Year's Day
- (ii) Errol Barrow Day
- (iii) Good Friday
- (iv) Easter Monday
- (v) National Heroes Day
- (vi) May Day
- (vii) Whit Monday
- (viii) Emancipation Day
- (ix) Kadooment Day
- (x) Independence Day
- (xi) Christmas Eve (half day)

- (xii) Christmas Day
- (xiii) Boxing Day
- (xiv) New Year's Eve (half day)

Full-time employees receive one (1) paid day off for each full day of holiday time. Temporary employees are ineligible for holiday leave benefits.

6.3 PERSONAL LEAVE/UNCERTIFIED SICK DAYS

AUB provides six (6) days of personal leave/uncertified sick days per calendar year to all full-time employees who have completed six months of employment. Temporary employees are not eligible for paid personal leave benefits. Personal leave is accrued at the beginning of each year and cannot be carried into the next year. Personal leave can be used for any reason an employee cannot report to work; whether it may be an appointment, a sick day or a personal matter. All personal leave is subject to prior approval by the employees' manager and HR Manager. No personal leave benefits are paid upon separation from employment with AUB for any reason.

6.4 CERTIFIED SICK LEAVE

AUB provides paid sick leave benefits to all full-time employees for periods of temporary absence due to his/her own illness.

Employees who are unable to report work due to illness or injury should notify their immediate manager and the HR Manager before the scheduled time of their work day if possible. The immediate manager as well as the HR Manager should also be contacted on each additional day of absence.

If an employee has exhausted his or her uncertified sick days for the year or is absent for three (3) or more consecutive days due to illness or injury, a certified sick leave certificate will need to be provided to verify the disability and its beginning and expected ending dates. Such verification is requested as a condition to receiving sick leave benefits from NIS.

AUB will continue to pay the employee their salary while on sick leave; however upon the employee's return they will have to sign over the NIS cheques they received from the National Insurance department while on sick leave to AUB.

When an employee is constantly away from work for an extended period of time on certified sick leave, AUB may request the employee to visit the company's doctor, in order to determine if they are able to perform their duties as expected of them. The doctor would be provided with the employee's complete job description, to adequately make that determination. Once fitness has been proven/disproven, AUB will make a decision on the matter.

6.5 MATERNITY AND PATERNITY LEAVE

All female employees who have been employed for twelve (12) months continuously will be granted twelve (12) weeks maternity leave. If the employee requires additional time, they are expected to request vacation time from their immediate manager and the HR Manager.

AUB will continue to pay the employee their salary while on maternity leave; however upon the employee's return they will have to sign over the NIS cheques they received from the National Insurance department while on maternity leave to AUB.

Paternity Leave is not legislated in Barbados.

6.6 BEREAVEMENT LEAVE

Employees shall be entitled to bereavement leave with pay of three (3) days in the event of a death in the employee's spouse, child, parent, grandparents, siblings, father-in-law, mother-in-law, or grandchildren. In the event where an employee has to travel overseas the period shall be for one week, only for the employee's immediate family, (spouse, child, parents and siblings) for the purpose of attending the death, funeral or settling the estate of the decease. If an employee wishes to take additional time off due to the death of an

immediate family member, the employee should notify his/her immediate manager and the HR Manager in a timely fashion.

6.7 STUDY LEAVE

AUB recognizes that training and development throughout an individual's career is essential to maintain competence and career progression. As a result, AUB implemented a paid study leave program for employees who have enrolled in educational programs that will improve their job-related skills and knowledge.

AUB must ensure that an adequate level of service is maintained; therefore the granting of study leave is subject to departmental convenience. Employees are expected to apply for study leave and have manager approval before taking study leave time. In addition, and study leave time is discretionary depending on the course of study.

6.8 NATIONAL SERVICE LEAVE

AUB recognizes that an employee may have to be absent from work due to the performance of national duty. National duty includes, but is not limited to, the:

- (i) Performance of jury duty or any other civic duty imposed by the law;
- (ii) Selection or endorsement of the employee by a relevant, locally recognized organization to participate in:
 - A sporting event; or
 - An event by voluntary or non-profit organization to which the employee belongs such as the Barbados Boy Scouts Association, the Girl Guides Association of Barbados, The Barbados Cadet Corps or a similar organization.

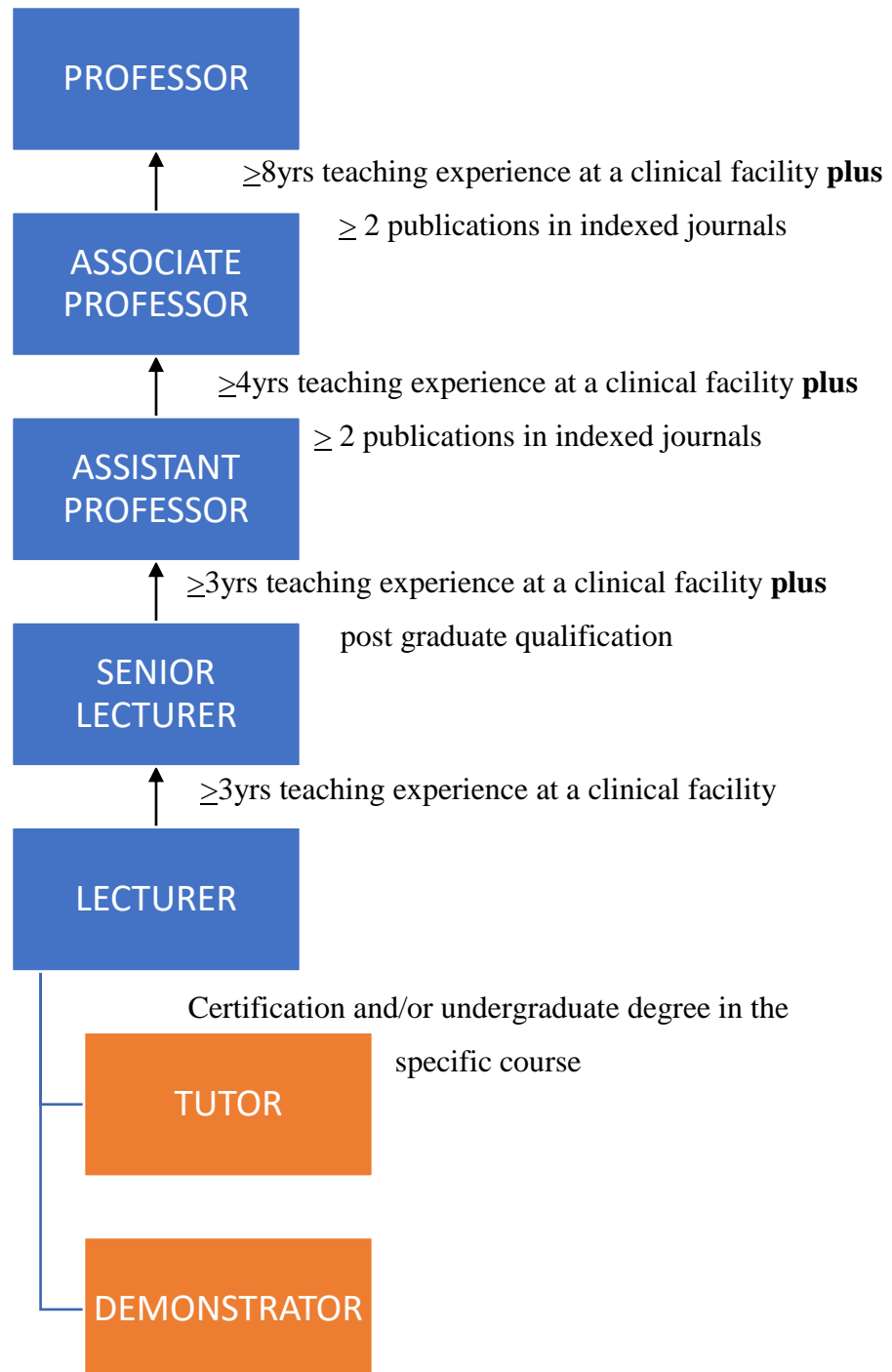
An employee must immediately provide their immediate manager and the HR Manager with a copy of the letter confirming their service for national leave.

Employees shall receive their basic pay while on jury duty and when not empanelled on the jury the employee shall report for work. For other types of National Leave, AUB will grant up to eight (8) days paid leave a calendar year.

ADDENDUM

Faculty Employment Tracks:

AUB currently only offers two teaching tracks namely the teaching and dual tracks. Research although an asset is therefore not specifically required for appointment. Details concerning these tracks are depicted below.



Faculty on the dual track are expected to present with a higher number of publications.

Although this is the basic track other factors are noted prior to promotion.

Appointment:

All faculty must successfully complete a 6month probationary period before an offer of appointment is made.

The initial appointment is a 1-year renewable contract after which a faculty member may be offered a 3-year-renewable contract. Faculty may be offered a 3-year contract dependent on experience, qualifications and/or publications.

Renewal of appointment is based on annual assessment by peer review and managerial review via the Faculty Recruitment and Appraisal Committee.

Promotion:

Promotion is not automatic and is not based on application.

Instead it is based on the annual review of faculty based on criteria including but not limited to code of ethics, recommendations from the previous annual appraisals, student and university-based evaluations, teaching experience, research publications, contributions towards professional enhancement and school.

ACKNOWLEDGEMENT OF EMPLOYEE HANDBOOK

I acknowledge, with my signature below, that I have been assigned a copy of the American University of (Barbados) Inc. (hereinafter "AUB") Handbook and I understand that it is my obligation to read the handbook and to understand what it says.

I acknowledge that after having read the handbook, I am encouraged to contact management at any time I have uncertainty about any personnel policy, practice or benefit.

I understand that AUB wishes, as much as possible, to be able to respond to the individual needs of each employee, and that exceptions to the policies outlined in this handbook may be made whenever there is good reason to do so.

After having read the handbook, I acknowledge that nothing contained in this handbook gives me or any employee the right to be retained in the service of AUB, or interferes with the right of AUB to terminate me or any employee at any time, with or without cause. The employment relationship is at-will; that is, employees are free to resign from AUB whenever they wish, and AUB is not restricted from terminating any employee at any time for any reason.

I understand that this handbook does not constitute or create a contract of employment between AUB and any employee, nor does the handbook establish any terms or conditions of employment. No oral statement by the management of AUB shall be construed as giving rise to or creating a contract of employment between AUB and any employee, or otherwise alter or modify the contents of this handbook.

I understand that additions to or alterations or modifications of the rules, policies and procedures contained in this handbook may be made AUB at any time and for any reason and that I am obligated to insert those additions into the handbook to assure it is remaining current. I understand that I am to comply with and follow these additional, altered or modified rules.

Print Name: _____

Signature: _____

Date: _____

