

POLICIES, PRACTICES, AND BENEFITS



CARNEGIE SCIENCE

CARNEGIE INSTITUTION OF WASHINGTON

Andrew Carnegie founded Carnegie Institution of Washington in 1902 with the intention that it be home to the "exceptional individual", one with imagination and dedication, working and learning on the cutting edge of science. It is an independent, nonprofit, educational and research institution - the first of its kind in this country. From its earliest years the Institution has been a world center for advanced research and training in the sciences. The Institution carries out its work in six separate departments, where basic research and training in the physical and biological sciences range over a broad spectrum. Each department has a director, scientific staff members and fellows, a business manager, and a support staff. Each department has its own budget, supported primarily by its share of the Institution's endowment and gift income, but also dependent on private and federal grant support. Overall management of the Institution is conducted at its office of administration in Washington, D.C.

FOR YOUR INFORMATION

This booklet is intended to provide employees of Carnegie Institution of Washington with guidance to certain policies, practices, procedures, programs, plans, and benefits affecting their employment. It is presented as a matter of general information. It is not intended to describe all policies, practices, procedures, programs, plans and benefits. Brochures and summary descriptions that more fully describe benefit plans, policies, practices, procedures, and programs are available from the Office of Human Resources located at 1530 P Street, N.W. in Washington, D.C.).

It is the intention of the Institution to provide its employees with the finest benefits available within its budgetary constraints. While the Institution supports the plans, programs, procedures, practices, and policies described here, they are not conditions of employment. The Institution reserves the right to modify, suspend, terminate, and interpret each such plan, program, procedure, practice, and policy and the benefits provided. This right may be exercised without notice, although every effort is made to give ample notice.

The language used in this booklet is not intended to create nor is it to be construed to constitute an express or implied contract between the Institution and any or all of its employees or a guaranty of employment for any period or on any terms. Employer representatives are not authorized to make any promises or assurances about continued employment or benefit provision.

This booklet is not intended to meet the requirements for providing information under the Employee Retirement Income Security Act of 1974.

ELIGIBILITY

The policies, practices, and procedures described in this booklet apply to all employees of Carnegie Institution of Washington, regardless of full-time, part-time, regular, or temporary status.

The benefit programs and plans described in this booklet apply to regular employees of Carnegie Institution of Washington based in the United States who are scheduled to work at least 20 hours a week on a regular basis, except that employees categorized as Postdoctoral or Predoctoral Associates cannot participate in the Institution's retirement plan. Employees scheduled to work less than 20 hours a week on a regular basis are eligible for limited benefits that include the retirement plan, the supplemental retirement plan, flexible spending accounts, the travel accident insurance, social security, (sick leave for DC employees) and worker's compensation. Temporary employees are, eligible for social security, (sick leave for DC employees) and worker's compensation.

A separate information booklet for fellows is available from the business office.

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COMPENSATION AND HOURS

Pay Day

Carnegie employees are paid bi-monthly on the 15th and last day of each month. When the 15th or the last day of the month falls on a Saturday, Sunday, or holiday, pay day is the closest business day before the 15th or last day of the month. It is recommended that all employees elect direct deposit.

Overtime Compensation

The Institution complies with all federal and state wage and hours laws. All non-exempt employees are paid one and one-half times their regular rate of pay for approved hours worked in excess of 40 hours in a week (for California employees, 8 hours a day or 40 hours a week).

For overtime work, you must obtain advance authorization from your supervisor before the work begins. Your supervisor may approve the payment of overtime or (except for California employees) may require that you work fewer hours during the same week, equal to the number of overtime hours, so that the total number of hours worked for the week do not exceed 40.

Holidays that fall within a work week are considered a "regular work-day" for purposes of calculating a 40-hour work week, whether or not work was actually performed. If you are required to work for any time on a holiday, you are paid your overtime rate for the extra hours, in addition to your regular holiday pay.

Employees who are exempt from the overtime provisions of the Fair Labor Standards Act, are expected to work overtime as needed, but are generally not paid overtime wages for hours worked over 40 in a week (or in the case of California, over 8 hours a day or 40 hours a week). However, depending on circumstances and at the discretion of the director, exempt employees may be paid an extra amount for authorized overtime work, even though not required by any wage and hour law. In such cases, the amount of extra pay varies depending on the circumstances.

Exemptions from overtime requirements depend on the nature of the responsibilities of the position. If you are unsure as to your exempt or non-exempt status, please consult with your department business manager.

Deductions from Your Pay

The Institution is required by law to make withholding deductions for federal and state income taxes, and Social Security taxes. Premium amounts are regularly deducted from each paycheck if you are enrolled in any Carnegie benefit plan that requires you to pay a

portion of the cost. The contributions you make toward your health, dental, vision and other elected benefits are deducted from each paycheck on a pre-tax basis. Arrangements can also be made for deposits to saving and checking account from banking institutions, tax-deferred premium payments to a supplemental retirement annuity through TIAA CREF, pre-tax payments to a health savings accounts, flexible spending accounts and premium payments for elective life insurance.

Workweek and Hours

The standard workweek is Monday through Friday. However, circumstances may require a change in the schedule. If this should happen, you will be given as much notice as possible.

The weekly work schedule varies slightly with each department, but is generally within 35 to 40 hours a week for full-time employees. The daily starting time and ending time for most full-time employees are generally the same within a department; however, these times may vary for some employees based on the nature and responsibilities of their jobs. Consult your Business Manager for information regarding your working hours.

Recording Work Hours

The Fair Labor Standards Act requires all non-exempt employees to record the number of hours worked each day and week. Each department has its own procedure for recording hours worked. Consult your Business Manager to determine the departmental procedure for recording your working hours.

LEAVE AND HOLIDAYS

Annual Leave

Annual Leave is time you can use for vacation and to take care of personal business and family needs. If your date of employment was prior to July 1, 2011, you earn Annual Leave at the rate of two days per month of service, beginning with your date of employment. The maximum number of days that you can accrue at any given time is 24 days. If your date of employment was on or after July 1, 2011, you earn Annual Leave at the rate of: one day per month of service for the first two years of employment; 1.5 days per month for service for years three through five of your employment; and two days per month of service for all employment greater than five years. If your date of employment was on or after July 1, 2011, the maximum number of days that you can accrue at any given time is: 12 days for the first two years of service; 18 days for years three through five of your employment; and 24 days for all service after five years.

If you terminate employment and then return to employment at Carnegie within six months, your earning of leave and leave accrual will include the prior employment. If the period between employment exceeds six months, the prior employment is not considered when determining the amount of leave earned and accrued.

In order that the regular flow of work can be managed, you must schedule your leave in advance with your supervisor. You cannot receive extra pay in lieu of any part of your Annual Leave during your employment. When you resign your position, retire or if your employment is terminated by the Institution for reasons other than gross misconduct, you will be paid for any unused Annual Leave. The maximum that you can receive is limited by the number of days that can be accrued at any given time under the above policy.

While you are on annual leave, your benefits will continue. However, sick leave and annual leave do not accrue for periods of leave more than one month.

Sick Leave

Paid sick leave is to provide you with income protection in the event of illness is earned at the rate of 1 1/4 days per month of service, beginning with your date of employment, up to a maximum accrual of 130 days at any given time. Paid sick leave may be used for medical and dentist appointments, for periods of illness, and for care for a sick child or other family member. A physician's statement is required for any period of illness of more than 5 works days and may be required at any time for periods of illness if deemed appropriate by your supervisor, department director, or business manager in your department. You are expected to make a reasonable effort to schedule medical appointments in a manner that does not disrupt the regular flow of work.

Accrued sick leave may also be used under the Family and Medical Leave Act for the purposes described under that policy, including care for a family member when medically necessary (see the full policy below).

Additionally, accumulated sick days if you or a family member is a victim of stalking, domestic violence, or sexual abuse and the abuse is directly related to medical, social, or legal services pertaining to the stalking, domestic violence, or sexual abuse. Examples include: seeking medical attention to treat or recover from physical or psychological injury or disability; obtaining services from a victim services organization; obtaining psychological or other counseling services; the temporary or permanent relocation; and taking legal action, including preparing for or participating in any criminal or civil proceedings.

A Leave of Absence Form must be completed for all leaves in excess of 30 calendar days.

While on paid sick leave, your benefits continue as they would for an active employee,

except that sick leave and annual leave do not accrue for periods of illness in excess of one month.

Unused sick leave cannot be redeemed in cash upon your termination of employment.

If you leave Carnegie and are re-hired within one year, your unused sick leave from your previous employment will be reinstated and can be used immediately upon re-commencement of employment or as soon as you have completed a total of 90 days of employment, considering both employment periods, whichever is later.

Employee Sick and Safe Leave for Temporary and Part-Time

The Earned Sick and Safe Leave Amendment Act permits all temporary and part-time non-exempt employees to accrue sick leave starting on their date of hire, and begin using that leave after 90 days of employment. Paid sick leave is earned at the rate of 1 hour for every 30 hours worked, beginning with your date of employment, up to a maximum accrual of 7 days at any given time. Paid leave can be used for the employee's own physical or mental illness, injury, or medical condition; the employee's need to obtain professional medical diagnosis or care or preventive medical care (i.e., doctor's appointments); the employee's need to care for a family member for reasons listed above or an absence because the employee or family member is a victim of stalking, domestic violence, or sexual abuse. You are expected to make a reasonable effort to schedule medical appointments in a manner that does not disrupt the regular flow of work.

Sick Leave Pool

Purpose

Carnegie Institution has established a sick leave pool to provide a source of additional sick leave for eligible employees who may experience a catastrophic illness or injury. A **catastrophic illness** is a severe illness requiring prolonged hospitalization or recovery. Examples would include coma, cancer, leukemia, heart attack or stroke. Examples of a **catastrophic injury** include burns, traumatic brain injury (TBI), spinal cord injury – paralysis, paraplegia, quadriplegia, organ damage, amputation, brachial plexus injury and multiple fractures. These types of illnesses and injury typically incapacitate the employee from working, creating a financial hardship.

Guidelines

To receive sick leave from the pool, an employee must have a catastrophic illness or injury, defined as a severe condition or combination of conditions affecting the mental or physical health of the employee that would render the individual disabled with a likely resultant loss of 20 or more work days and requiring the services and certification of a physician.

1. To be eligible to receive paid leave from the pool, an employee must first be in an employment category that permits the accrual of leave.
2. The employee must have an illness or injury as described above, and have exhausted all available sick and annual leave or any other compensatory time because of the illness or injury.
3. This additional sick leave is intended to provide support prior to the time when long-term disability benefits begin (90 days) or to cover a short-term period of disability particularly for new employees who have not accrued sufficient sick leave.
4. Medical certification of the illness or injury is required at the time of the request to use pool leave, and will be required later from periodically.
5. Use of leave from the pool is at all times contingent upon the availability of days in the pool at the time of the request to use days. The maximum number of days an employee may draw consecutive sick days from the pool is 90 days, or until benefits begin from Carnegie's Long-Term Disability Plan Long-term benefits begin on the first day of the month following 3 months of total disability, and are equal to 60% of current salary.)
6. Employees do not need to have made a donation to the sick leave pool in order to be a recipient of benefits from the pool at a later date.
7. The qualifying catastrophic illness or injury must have occurred to the employee, and not to a family member or other relative.
8. Employees will not accrue annual or sick leave while using leave from the sick leave pool.
9. Sick leave pool days must be used only for the reason requested. Employees must immediately notify the Human Resources office if there is any change in the nature or severity of the condition that modifies the need for sick leave from the pool.
10. Employees off work due to a work-related injury are not eligible to use leave from the sick leave pool for the time designated as workers' compensation.

Sick leave pool benefits are made available through voluntary donations of sick leave from other employees. Employees who wish to donate sick leave to the pool may do so during a predetermined period to be held once a year unless the size of the leave pool does not warrant holding such a period. If the leave pool should become low or exhausted, there may be a request for additional donations.

Contributions to the sick leave pool are completely voluntary. Donations are made in whole days (not in hours or half days) and can be made in any amount, provided that the amount donated will not result in an employee having less than 30 days of accumulated sick leave at the time of the donation. Sick leave contributed to the pool reduces the sick leave balance of the employee making the contribution. Contributions to the sick leave pool are irrevocable.

Requests for the use of sick leave pool must be submitted by an employee on a required form and be approved by a Department Director. A family member may submit the request in the employee's stead if the employee is too ill or injured to do so. Subsequently, the request is submitted to the Director of Human Resources. A committee, consisting of the Director of Human Resources and two others, will review and approve or deny all requests for use of the leave pool.

The Human Resources office will maintain complete and accurate records of the pool activity. Each donation, request for leave, and use of leave will be documented on a signed form.

Parental Leave Policy

Carnegie will provide six weeks of paid parental leave, separate from regularly accrued sick and annual leave, for both mothers and fathers who intend to return to work at the Institution following a new birth or adoption. (Postdoctoral associates, and fellows who take parental leave and return from that leave toward the end of their stay with Carnegie, however, will not be expected to remain at the Institution beyond their normal postdoctoral appointment period.) A pregnant mother may begin the leave when her physician certifies her as unable to work, or in the absence of certification, at the date of birth, or in the case of adoption, when the baby begins living at home. Fathers may begin the leave at the date of birth or the arrival of the adopted baby at home. In all cases, the leaves must be taken within six months of the earlier of the date certified as unable to work, or the date of birth, or in the case of adoption, when the baby begins living at home. If further leave is needed beyond the six weeks of paid parental leave, the employee may take up to an additional ten weeks of leave as unpaid or paid by using accrued sick or annual leave allotment as appropriate for the circumstance. The employee is free to specify which type of leave should be applied to each day of actual leave following the birth or adoption, subject to their eligibility in each leave category. In particular, the parental leave days need not be taken consecutively. The six weeks of parental leave, as well as the additional 10 weeks if needed, are considered as leave under the Family Medical Leave Act (FMLA). Under the District of Columbia FMLA, with which Carnegie complies, the period of eligibility for up to 10 weeks of unpaid leave is 24 months in duration. Specific leave arrangements should be worked out with local supervisors.

Employees are entitled to parental leave only while employed by Carnegie. Any unused leave at the time of termination is forfeited.

While you are on parental leave, your benefits will continue. However, sick leave and annual leave do not accrue for periods of leave in excess of one month.

Break Time for Nursing Mothers

As part of our family-friendly policies and benefits, The Carnegie Institution for Science supports breastfeeding mothers by accommodating the mother who wishes to express breast milk during her workday when separated from her newborn child.

For up to one year after the child's birth, any employee who is breastfeeding her child will be provided reasonable break time to express breast milk for her newborn. Carnegie will provide a clean and private space (not a bathroom) for this purpose. The Business Manager of each Department will identify a regular space for expressing milk and a refrigerator to store the milk. Any breast milk must be labeled with the name of the employee and the date of expressing the milk. Employees storing milk in a refrigerator assumes all responsibility for the safety of the milk, including improper storage, refrigeration and tampering. It is recommended that the nursing mother bring a small portable cooler from home for storage purposes.

Breaks of more than one-half hour in length will be unpaid.

The provisions of this breastfeeding policy meet the requirements of the Fair Labor Standards Act as it relates to breaks for nursing mothers.

FAMILY AND MEDICAL LEAVE ACT

The following policy is designed to comply with the federal Family and Medical Leave Act of 1993 and, if more favorable, provisions of applicable state family and medical leave laws. As used herein, the term "FMLA" means the combined provisions. For details and related provisions, please refer to the laws, regulations thereunder, and interpretations thereof.

If you have been employed for at least 12 consecutive months and worked at least 1,000 hours in the 12-month period preceding leave, you are eligible for unpaid family leave. Family leave may be used for 1) birth of your child, 2) placement with you of a child for adoption, foster care, or permanent parental responsibilities, or 3) care for a family member (related by blood, marriage or legal custody, as well as one who shares a mutual residence and with whom you maintain a committed relationship) who has a serious health condition. A serious health condition is defined as an illness, injury, impairment or physical and medical condition requiring inpatient care in a hospital or continuing treatment by a health care provider. The entitlement to leave for the birth or placement of a child for adoption or foster care expires 12 months from the date of birth or placement.

In the 24 months following the start of FMLA unpaid family leave, you are entitled to 16 weeks of such leave. If, however, more than four and up to 16 weeks are used in the first 12-month period, you are still entitled to 12 weeks in the second 12 months. In that case, the total 24-month leave entitlement will exceed 16 weeks.

You are also entitled to an additional 16 weeks of unpaid medical leave within any 24-month period in the event you yourself have a serious health condition.

You may elect (or your department director may require you) to substitute your accrued sick leave or annual leave, as appropriate, for all or part of an FMLA unpaid leave entitlement.

Your FMLA leave may be taken intermittently or on a reduced leave schedule under certain circumstances. Where leave is taken because of birth or placement of a child for adoption or foster care, you may take your leave intermittently or on a reduced schedule only if your director or location head agrees. If the reason for the leave is to care for a family member's or your own serious health condition, such partial leave may be taken only when medically necessary.

If the need for family or medical leave is foreseeable, you are expected to provide your supervisor with reasonable written notice (usually 30 days) and make a reasonable effort to schedule any medical treatment in a manner that does not disrupt the regular flow of work. A Leave of Absence Form must be completed for all leaves in excess of 30 days.

Requests for FMLA leave because of a serious health condition for yourself, or to care for a family member with a serious health condition, must be supported by certification from the provider of service that includes the date on which the health condition commenced, the probable duration of the condition, and the appropriate medical facts regarding the condition. If the leave request is for your own serious health condition, the certification must also include a statement that you are unable to perform the functions of your job. If the request for leave is to care for a seriously ill family member, the certification must include an estimate of the amount of time your care will be needed.

During a period of FMLA family or medical leave, your benefits will continue as they would for an active employee (except that sick leave and annual leave do not accrue for periods of leave in excess of one month). For example, your health insurance and life insurance will continue provided you continue to pay your share of the health insurance premium; failure to pay your share may result in loss of coverage. The Institution may recover from you the share of the health insurance premiums

it paid during your leave if you do not return to work after your leave has ended, unless your failure to return to work is due to the continuation, recurrence, or onset of a serious health condition that would otherwise qualify for FMLA leave, or to other circumstances beyond your control. If, and as long as you are receiving income in the form of paid annual leave or sick leave or benefit payments from the Institution's Total Disability Plan, the Institution will make a monthly contribution to your retirement plan account.

Upon return from your approved FMLA leave within the timeframe described in this policy, you will be restored to your former job or one of like status and pay. If your leave extends beyond that timeframe described, reasonable effort will be made to restore you to the

same or similar job, but this cannot be guaranteed. If you are among the highest paid ten percent of employees at your department, restoration to your former job or one of like status and pay may be denied if that is necessary to prevent substantial and grievous injury to the Institution's operations.

FMLA Leave for Military Families

Eligible employees may take up to 26 weeks in a 12-month period of unpaid leave to care for family members in the Armed Forces, including National Guard or Reserves, who have suffered a serious injury or illness in the line of duty while on active duty that may render the members medically unfit to perform the duties of their office, grade, rank or rating. It applies broadly to service members who are undergoing medical treatment, recuperation, or therapy, are in outpatient status or otherwise are on the temporary disability retired list for serious injury or illness. This FMLA policy also covers eligible employees who are family members of certain veterans with a serious injury or illness incurred or aggravated in the line of duty on active duty and that manifested before or after the veteran left active duty. For this purpose, a veteran who is undergoing medical treatment, recuperation or therapy for a serious injury or illness is a covered veteran if he or she 1) was a member of the armed forces (including a member of the National Guard); 2) was discharged or released under conditions other than dishonorable; and 3) was discharged within the five-year period before the eligible employee first takes FMLA military caregiver leave to care for the veteran. For this purpose, the definition of employee is expanded to include the next of kin, or nearest blood relative, of the service member. This leave is available only during a 12-month period and is combined with all other FMLA leaves in the period, resulting in a maximum total entitlement of 26 weeks.

Eligible employees may take up to 12 weeks in a 12-month period of unpaid leave to deal with any "qualified exigency" arising out of the fact that a covered employee's spouse, child, or parent is on or has been called to active duty in the Armed Forces. (Examples of qualified exigency are pre-and post-deployment meetings, making financial plans for the deployment, for reunion and reintegration when the family member returns, or for teacher conferences, or for making child care arrangements.) The 12 weeks is reduced by leave for any other qualifying FMLA event during the 12-month period.

FMLA for School-related Events

Employees may take up to 24 hours of FMLA leave during a 12-month period to attend school-related events. The employee must give ten days' notice, unless such notice is impossible. This leave allows a parent, aunt, uncle, or grandparent, including a person who has legal custody of the child, and a person who acts as a guardian regardless of whether he or she had been appointed legally, to attend school-related events sponsored by a school or parent-teacher association, including concerts, plays, rehearsals, sporting games or practices, and meetings with teachers or counselors.

This leave is unpaid leave unless the employee substitutes the unpaid leave with available annual leave.

Other Unpaid Leave

Unpaid leave for reasons other than those described above for medical or family leave may be granted on an individual basis by the director. While it is expected that most unpaid leaves will not exceed several months, extensions may be granted in extreme circumstances. Once your unpaid leave is approved, you may elect to substitute any part of it with your accrued annual leave. A Leave of Absence Form must be completed for all leaves in excess of 30 days. While on leave, benefits continue in the same manner as for an active employee (except that sick leave and annual leave do not accrue for periods of unpaid leave in excess of one month).

Military Leave

The Institution conforms to all government requirements relating to military service and interprets them liberally for the benefit of employees fulfilling military obligations. A leave of absence without pay is granted if you are a regular employee and voluntarily enlist or are called to active duty in the armed forces. If your tour of duty is generally four years or less, you receive an other-than-dishonorable discharge, and apply for reemployment within 90 days after discharge from active service you will be restored to your former position or to a position of like status and pay. If you are a reservist and ordered to active duty for training or otherwise, you must apply for reemployment within 31 days after discharge from active service to be restored to your former position or one of like status and pay.

If you are hospitalized at the time of your military discharge, the 90-day or 31-day period does not begin until your discharge from the hospital, as long as your post-discharge hospitalization does not exceed one year. If you are no longer qualified to perform the duties of your former position by reason of a disability sustained during military service, you will be offered a position that you can perform which is the closest in approximation to the status and pay of your former position.

While you are on military leave for periods other than active training, your participation in Carnegie's employee benefit programs will be suspended. Reinstatement in all benefit programs will resume, including certain retroactive retirement plan contributions, when you apply for reemployment within the guidelines set forth in this policy.

A leave of absence with pay is granted if you are called to active training for periods of 15 days or less.

Jury Duty

If you are called to serve on jury duty, your full salary and benefits will continue. However, based on the practices of each department and the length of time you are called to serve, the director may impose a maximum period for full salary to continue.

Voting Time

The Institution encourages you to exercise your right to vote. Polling locations are open before and after normal working hours; therefore, you should arrange to vote before or after your normal scheduled work day. If it is not possible for you to vote without taking time off from work, the Institution will make arrangements for you to have reasonable time to do so.

Bereavement Leave

In the event of the death of an immediate family member, Carnegie offers Bereavement Leave with pay. The employee's immediate supervisor authorizes the use of bereavement leave. An eligible employee may take three to five days of paid leave for a death in the immediate family. The immediate family includes: spouse, child, mother, father, sister, brother, mother and father-in-law, brother and sister-in-law, grandparent and grandparent-in-law. If additional time is needed, vacation or unpaid personal leave may be taken with supervisory approval.

Holidays

The holidays that the Institution observes are determined annually. The generally recognized holidays are: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, the Friday after Thanksgiving, and the last working day before Christmas Day through

December 31. Based on each department's local customs and practices, recognition of Martin Luther King, Jr. Day, President's Day and Columbus Day, may be deemed appropriate by the director.

RETIREMENT PLAN

Participation

Eligible new employees will automatically be enrolled in the Retirement plan on their first day of employment. *(Please note: Postdoctoral and Predoctoral Associates are not eligible to participate in this Retirement Plan).*

Contributions

The Institution makes a monthly contribution to your retirement account, the amount of which is based on your age and is a percentage of your salary from 10 to 20 percent, increasing yearly, as you grow older. The contributions are forwarded by the Institution to Teacher's Insurance and Annuity Association, College Retirement Equities Fund (TIAA CREF) as premiums for your retirement annuity contracts. You allocate the premiums and accumulations among the various TIAA and CREF funds. Your accounts are credited with the earnings (or losses) associated with each fund.

Vesting

Vesting is the ownership of your TIAA and CREF annuity contracts. You are vested in the Plan after completing 12 consecutive months of service beginning with your date of employment (or any anniversary of such date), and in which you are paid for at least 1,000 hours. You also become vested upon attaining normal retirement age (65), regardless of your length of service.

Retirement Eligibility

Your normal retirement date is the last day of the Plan year (June 30) following your 65th birthday. (You may, if you wish, continue to work beyond age 65, although the Institution may require certain executive or high-level policy-making employees to retire if it deems such retirement advisable.) You may also retire as early as the June 30 following your 55th birthday, provided you have at least four years of service with the Institution. If you are no longer able to perform your job because of a disability, you may be retired by the Institution regardless of your age. However, under these circumstances it is more likely that you would qualify for benefits under the Institution's Total Disability Plan.

Amount of Retirement Benefits

The Institution's contributions are based on a target benefit, and are designed so that under certain assumptions about performance and contributions, if you retire at normal retirement age (65), you will receive an annual retirement benefit of approximately two percent of your average annual salary during your highest-salaried five consecutive years of service, multiplied by your total years of service (counting only years of service after June 30, 1971). For example, the target benefit for a participant retiring at age 65 with 23 years of service and whose average highest-five-consecutive-year salary was \$50,000 per year would be \$23,000 annually ($2\% \times \$50,000 \times 23 \text{ years} = \$23,400$). The actual benefit, however, depends upon the actual performance of the funds in which you invested your contributions and accumulations.

When you begin to receive your retirement annuity income, you may choose from among

several payment options that provide a monthly income for your life, as well as survivor benefits to your designated beneficiary upon your death.

The monthly benefits provided by the Retirement Plan are independent of Social Security benefits.

Death Before Starting Retirement Income

If you should die before starting to receive your retirement income, the full current value of your annuity contracts is payable to your designated beneficiary. (If you are married, your spouse has the right to receive at least half of these benefits, unless he or she has waived this right.) Your beneficiary may choose from several payment options, such as a single lump-sum payment and monthly payments.

Please refer to the Summary Plan Description for more information about the Retirement Plan.

ADDITIONAL RETIREMENT BENEFITS

Supplemental Retirement Annuity

A Supplemental Retirement Annuity (SRA) is an additional tax-deferred retirement account. As a new employee (including Postdoctoral Associates but not fellows), if you are hired on or after January 1, 2009, CIW will automatically reduce your salary by 2% each payroll period and deposit that amount to an account established on your behalf under the Plan. If you do not wish to participate in the plan, you must complete a form indicating that you elect not to contribute. You may also request in writing that a different percentage of your salary be deposited with Teachers Insurance and Annuity Association, College Retirement Equities Fund (TIAA CREF) as a premium for an SRA Contract. In doing so, you are deciding to "reduce" your salary and contribute an amount equal to the "reduction" to your SRA Contract.

The amounts of these SRA deposits, as well as dividends and interest earned from their investment, are not included in your federal taxable income. Income taxes on SRA deposits are payable as the accumulation is withdrawn, usually in the form of an annuity upon retirement.

SRA deposits are likewise deferred from state income taxes in many states, including Maryland, Virginia, California, and the District of Columbia. You may withdraw full or partial amounts from your SRA, or begin annuity income, after attaining age 59 1/2. Distributions made before age 59 1/2 are subject to withdrawal restrictions and additional taxation. Your participation in the TIAA CREF SRA plan is independent of your participation in the Institution's regular Retirement Plan.

The amount you are allowed to contribute each year to your SRA account will vary depending on your age and years of service. For example, for the year 2005, you may contribute up to \$14,000. If you are age 50 or older, you may contribute up to an additional \$4,000 for a total of \$18,000. If you have 15 or more years of service, you are allowed still an additional amount.

Please refer to the Summary Plan Description for more information about the SRA Plan.

Social Security Retirement Benefits

The Institution is required by law to withhold contributions from your paycheck for the federal Social Security system (FICA). The Institution also pays the employer's share of Social Security contributions. Assuming you meet the minimum qualification requirements, you are entitled to.

Social Security pension benefits upon reaching Social Security retirement age and are similarly eligible for Social Security disability and survivor benefits. Information concerning social security is available from the Social Security Administration at www.ssa.gov.

Retiree Health Insurance

The Institution offers health insurance coverage through Aetna.

Under the Institution's current policy, the following eligibility and subsidy rules for retiree health care:

- *Former employees already retired on July 1, 2006.* Carnegie pays 75% of the premium costs and the retirees pay 25%.
- *Employees age 50 or older on July 1, 2006.* Upon meeting the service eligibility at retirement (age 55 and 10 or more consecutive years of service), Carnegie will pay 75% of the premium costs and the retirees will pay 25%.
- *Employees under age 50 on July 1, 2006.* Employees are required to meet the Rule of 75 (age plus years of service equal at least 75) on and after age 55 to receive retiree health care coverage. The amounts paid by these employees toward the premiums at retirement are as follows:

Age plus Service = 75 to 79: 35%

Age plus Service = 80 to 84: 30%

Age plus Service = 85 or greater:
25%

- *Future employees hired on and after July 1, 2006.* Employees are required to meet the Rule of 75 (age plus years of service equal at least 75) on and after age 60 to receive retiree health coverage. Carnegie will pay 50% and the retiree will pay 50%.

The health plan, the premium amounts and the portion contributed by the Institution, are subject to change at any time.

HEALTH AND WELFARE BENEFITS

Enrollment

Upon employment with the Institution, eligible employees have 30 days to elect any of the benefit plan options for themselves and for their family. If you choose not to be elect benefits during the first 30 days of employment, you may enroll during the open enrollment period of any subsequent year.

Premiums

The employee and the Institution share in the cost of coverage in the Medical benefits. The Institution currently pays 75% of the monthly premium costs; the employee pays the remaining 25% on a pre-tax basis, through payroll deduction. The premium amounts usually change annually. The amount contributed by the Institution toward health care plan premiums is also subject to change on an annual basis.

BENEFIT PLAN OPITONS

Medical Insurance

Carnegie offers three comprehensive medical benefits plans through Aetna for health care needs, including office visits, hospital admissions, lab work and x-rays, prescription drugs, and other provider services. Employees can choose between Aetna PPO, Aetna's Consumer Driven Health Plan (CDHP) and Aetna's Catastrophic Plan. The Aetna plan covers you, your spouse, and dependents up to age 26, regardless of student status.

Teladoc

Carnegie offers Teladoc as a part of its Aetna plans. Teladoc is a national network of U.S. board-certified family practitioners, pediatricians, and internists who use electronic health records to diagnose, treat, and write prescriptions, when necessary. If you are having a non-emergency medical issue you can contact Teladoc to request a phone or online video consult with a Teladoc doctor. Teladoc is available 24/7. You must be enrolled in Aetna to utilize Teladoc.

Dental Insurance

Dental coverage is offered through Delta Dental. Delta Dental plans include a PPO and HMO option. Services include diagnostics, preventative, basic services, oral surgery orthodontia and more.

Vision Benefits

Carnegie offers vision coverage through EyeMed. EyeMed offers full coverage for in-network annual exams and includes comprehensive benefits for lenses, frames, and contact lenses with low copays.

Health Care Flexible Spending Account (FSA) and Limited Purpose Flexible Spending Account (LPFSA)

Carnegie offers tax-advantaged accounts that can be used to pay for qualified expenses. These accounts allow employees to elect to pay for certain IRS-approved health-related out-of-pocket expenses, such as deductibles, co-insurance, health plan co-payments, glasses, contact lenses, etc., through payroll deductions on a pre-tax basis. (The amount that can be deducted annually changes based on IRS regulations)

Dependent FLEX Spending Account (FSA)

This account enables employees to elect to pay for IRS-eligible dependent day care and disabled dependent expenses through payroll deductions on a pre-tax basis. (The amount that can be deducted annually changes based on IRS regulations)

Supplemental Life Insurance

Company-paid benefit of 2x annual salary with a maximum benefit of \$200,000 is offered through Guardian. Additionally, employees have the option to purchase supplemental group-rated portable term insurance for themselves and their eligible dependents.

Transit Subsidy

Carnegie offers employees taking mass transit a subsidy up to \$135 monthly to offset commuting costs. Bicyclist can receive \$20 monthly reimbursement for bicycling expenses.

POST TAX ELECTIVE BENEFITS**Accident Insurance**

Helps cover the cost for the medical and out-of-pocket costs that you may incur after an accidental injury. This includes emergency treatment, hospital stays, and medical exams, and other expenses such as transportation and lodging needs.

Critical Illness Insurance

This specialized insurance provides a lump-sum, tax-free payment should a policyholder suffer from certain specific critical conditions such as but not limited to cancer, heart attack and stroke.

LifeLock Identity Theft Coverage

Carnegie Science offers benefit-eligible employees the opportunity to enroll in Identity Theft Protection services through LifeLock. There are three levels of coverage available including coverage for children under 18.

MetLaw®

Provides access to a national network of 14,000+ experienced attorneys, with an average attorney experience of 25 years. Employees are covered for a wide range of personal legal matters, including:

- Adoption
- Wills and estate planning documents
- Real Estate Matters
- Debt Collection Defense
- Identity Theft
- Immigration Assistance
- Basic Tax Issues
- Traffic Ticket Defense (No DUI)
- Family Law
- Power of attorney
- Elder care matters and more

Pet Insurance

Carnegie offers benefit-eligible employees the opportunity to enroll in Pet Insurance Coverage through VPI or Healthy Paws. VPI has three levels of coverage available including wellness care for your cat or dog. Healthy Paws has individual quotes available depending on the type of pet you have.

Open Enrollment

Open Enrollment is your annual opportunity to consider whether your health and welfare benefits meet your needs. During Open Enrollment, employees can modify benefit elections, including changing plans selections and enrolling or unenrolling eligible dependents. Changes to benefit elections outside of the open enrollment period are only processed in conjunction with a Qualifying Life Event.

Qualifying Life Events

Many of life's events can have an impact on your benefits. Per federal regulations, changes in your health, dental, or vision coverage, outside of the open enrollment period, may be made only upon incurring a change in the following:

- Marriage
- Domestic partnership

- Birth or adoption of a child
- Acquisition of a foster child
- Legal separation
- Divorce
- End of domestic partnership
- Death of a spouse or dependent
- Loss of eligibility status by a covered dependent (including reaching the upper age limit)

Employees have 31 days to make changes related to a Qualifying Life Event. Documentation will be required. Contact Human Resources for more information.

CARNEGIE PAID BENEFITS

Basic Life Insurance

Institution paid benefit of 2x annual salary with a maximum benefit of \$200,000 is offered at no cost to Carnegie employees.

Disability Insurance

To preserve a satisfactory standard of living for you and your family in the event of your total disability, the Institution currently pays the full premium cost of your participation in the Total Disability Benefits Plan through The Standard Insurance Company. Monthly benefits begin on the first day of the month following three months of continuous total disability and are equal to up to 60 percent of your salary before disability, up to a maximum monthly benefit of \$5,500, reduced by amounts received from other sources such as Social Security Disability or Worker's Compensation.

The plan also provides for a partial disability benefit if you are able to return to work on a less than full-time basis. If you become disabled before age 60, benefits continue as long as you are disabled until age 65. If you become disabled after attaining age 60, benefits continue during a disability period from one to four and one-half years, depending upon when after age 60 the disability began. While you are receiving disability benefits, the Institution continues to make Retirement Plan contributions to your TIAA CREF account in an amount equal to 60 percent of your last monthly salary before disability (prorated accordingly if you are receiving a partial benefit), increased each year by 3 percent. The Institution's contributions to your retirement account will end when you cease to be disabled or you begin your retirement annuity income from TIAA CREF, whichever comes first.

Your health insurance will also continue during your period of leave, however, after two years, the premium you pay will increase significantly.

Please refer to the Summary Plan Description for more information about the Total Disability Plan.

Travel Insurance

If you are traveling on Institution business, the Institution insures you against accidental death or dismemberment for a maximum of \$200,000 under the Institution's group policy. The Institution pays the full premium for your coverage under this group policy.

Worker's Compensation and Safety

The Institution is committed to providing a safe environment for all employees. Maintaining a safe environment requires your constant awareness of safety measures and your concern with good housekeeping. All employees are covered under the Institution's Worker's Compensation policy.

If you are injured at work, report the accident to your department business office immediately.

Continuation of Health Benefits - COBRA

In accordance with the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA), the Institution affords you the opportunity to continue certain health related benefits at your own expense for a limited period if you terminate employment for any reason other than gross misconduct. Continuation of certain benefits is also available to your spouse in the event of divorce and to your children who no longer qualify for coverage under certain plans. For specific details, please consult your department business office.

The Employee Assistance Program

The Employee Assistance Program (EAP) is a service that provides you with counseling and help for problems that may interfere with your responsibilities to your family, friends, and job, such as substance abuse, financial problems, and marital strife. The services of the EAP may also be used by your family members. An EAP counselor will help you identify problems that may be affecting your ability to function effectively in your work or family setting, then refer you to a resource that is best suited to help you cope with the problem. The cost of the referral treatment is your responsibility; however, in many cases, your health insurance may cover most of the expense.

The EAP is an attempt to deal with complex human problems; the Institution feels it is a valuable source of help for its employees and encourages its use.

To use the EAP, call anytime, 24 hours a day, to schedule a confidential appointment with an EAP counselor. The phone number is (800)468-8369. For more information

about the EAP, please see your department business manager or call the EAP directly.

POLICIES AND PRACTICES

Some of the Institution's policies, practices, and plans have been described here in simplified or abbreviated form. Other policies and practices may also exist that reflect the local practices of each department but are not included here. If further clarification is required, consult Human Resources

Equal Opportunity

It is the policy of The Carnegie Institution for Science to ensure equal employment opportunity without discrimination or harassment on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, age, disability, marital status, citizenship, genetic information, or any other characteristic protected by law. The Carnegie Institution for Science prohibits any such discrimination or harassment. This policy applies to all programs, activities, and operations of the Institution, including administration of its educational program. The Carnegie Institution for Science conforms to the spirit as well as to the letter of all applicable laws and regulations.

Domestic Partner Policy

Carnegie Institution recognizes domestic partners meeting the definition below, and extends certain benefits to employees and their domestic partners. The domestic partner may be of the same or opposite sex. Children of domestic partners are also eligible for benefits on the same basis as children of eligible employees. This Policy is effective on and after October 1, 2006.

Definition of Domestic Partner

To be eligible for benefits under this policy, the employee and his or her partner must meet the following eligibility criteria:

1. have a committed relationship of mutual caring that has existed for at least six consecutive months, that is similar to that of a married couple;
2. be at least 18 years of age and mentally competent to consent to this declaration;
3. share a principal residence and responsible for the direction and management of the household;
4. be jointly responsible for each other's financial welfare and basic living expenses and responsible to third parties for each other;
5. not be related by blood in a manner that would bar marriage under the laws of the State in which we reside; and

6. not be married to anyone else and be the sole domestic partner of each other and intend to remain so indefinitely.
7. Employees and Domestic Partners meeting this definition are required to sign an 'Affidavit of Domestic Partnership.'

Summary of Benefits Offered

The following benefits are extended to employees and their domestic partners and children.

Health Care and Dental Care Coverage – the domestic partner and his or her children are eligible to be covered on the employee's health and dental plans.

Elective Life Coverage – the domestic partner and his or her children are eligible for elective life coverage in the same way that a spouse and dependent are eligible to do so.

Relocation Assistance – at the discretion of the Department Director, relocation assistance costs will extend to the employee's domestic partner and his or her children.

Employee Assistance Program – the counseling services of the employee assistance program may be used by the domestic partner and his or her children.

"COBRA-like" Coverage – For purposes of this policy, COBRA-like coverage for health care and dental care are extended to the domestic partner and his or her children in the event of the employee's termination of employment, or reduction of hours to a point where the employee is no longer eligible for group coverage. Coverage will not be continued in the case of death, disability, or the termination of the domestic partner relationship.

Bereavement Leave – the employee is eligible for bereavement leave in the event of the death of his or her domestic partner or of the immediate family of the domestic partner.

Family and Medical Leave – the employee is eligible for unpaid leave under the Family and Medical Leave Act (FMLA) in the event his or her domestic partner, or the domestic partner's children or parents, has a serious health condition.

Parental Leave – the employee is eligible for parental leave in the event of the birth or adoption of the child of his or her domestic partner. The effective date for coverage for these benefits is the day the "Affidavit of Domestic Partnership" is signed.

Taxation

For purposes of federal law, tax benefits accorded to spouses are generally not extended to domestic partners. Costs for health coverage provided to domestic partners and their children are generally taxable to the employee. However, if a domestic partner qualifies

as a tax dependent under Section 152 of the Internal Revenue Code, costs for health care coverage are **not** taxable to the employee. To qualify as a tax dependent, the domestic partner must live with the employee for the entire calendar year and the employee must provide more than half of the domestic partner's support. The domestic partner must also be a citizen of the United States and must not be anyone else's Section 152 qualifying dependent. If an employee believes that his or her domestic partner qualifies as a tax dependent under Section 152, he or she should use the worksheet in the IRS Publication 501. All employees certifying a partner as a domestic partner for purposes of this Policy must complete the Carnegie form titled "Declaration of Tax Status".

For purposes of state law, some states, including California, do not follow the federal tax law in this area, so that costs for health care are not taxable by the state.

No information contained herein is intended or should be construed as tax advice. Employees are encouraged to consult a qualified tax advisor before electing coverage.

Certification of Domestic Partnership

Employees may enroll their domestic partners within 30 days of the date on which the domestic partnership is established, or during the annual open enrollment period. To do so, the employee and his or her domestic partner must complete and sign an "Affidavit of Domestic Partnership." Benefits become effective on the day the Affidavit is signed.

Termination of the Domestic Partner Relationship

Within 30 days of the dissolution of a certified domestic partnership, the employee must complete an "Affidavit of Termination of Domestic Partnership." Submission of this form will terminate all benefits for the former partner.

Confidentiality

All benefit elections, including the identities of covered dependents, are treated with the highest degree of confidentiality and sensitivity. Information about employee elections regarding domestic partner benefits is subject to the same processes and protocols in place for all employee data.

Carnegie reserves the right to change, amend, or terminate this Policy at any time. This Policy is not intended to give rise to any right to employment, continued employment, or to any benefit with or from Carnegie Institution of Washington.

Substance Abuse Statement

Carnegie Institution of Washington has the responsibility to maintain a safe, efficient, and lawful working environment. Employees, fellows, or visiting investigators who work

while under the influence of drugs or alcohol may present a safety hazard to themselves and their co-workers. In some circumstances, it is a violation of law.

Accordingly, the manufacture, distribution, dispensing, possession, or use of unlawful drugs is prohibited in the workplaces of the Institution. It is also a violation of the Institution's rules to make, serve, possess, or be under the influence of alcohol while on the Institution's property or working elsewhere for the Institution, except that the possession, serving, and moderate consumption of alcohol during officially sanctioned Institution functions are permitted. The Institution applies these rules to fellows and visiting investigators as well as employees.

An individual who, in violation of these rules, makes, distributes, or sells an unlawful drug, or possesses a quantity of an unlawful drug sufficient to suggest the intention to distribute, will be subject to immediate termination. An individual who otherwise is found in possession of an unlawful drug, or is determined after appropriate medical examination to be under the influence of an unlawful drug or alcohol, or who otherwise permits use of an unlawful drug or alcohol to interfere with work performance, or who in the face of evidence of substance abuse refuses medical examination or rehabilitation measures, may be subject to disciplinary action up to and including termination.

Possession or distribution of alcohol on Institution property or during working hours without the consent of one's department head may also result in disciplinary action.

The Institution reserves the right to investigate any possible violation of its substance-abuse rules where there is reasonable suspicion to believe that an individual's work performance is impaired or affected by use of an unlawful drug or alcohol, or that such use presents a safety hazard to the individual, co-workers, or the general public. When such suspicion exists, the President of the Institution may require a medical examination. Alternatively, the individual may be encouraged to seek counseling through the Institution-sponsored employee assistance program (EAP) (See page 18). All such matters are handled with maximum confidentiality.

Individuals with drug or alcohol dependency are encouraged to seek assistance through the Institution, the EAP, or outside counseling. The Institution will make reasonable accommodations for such a person provided he or she actively seeks treatment for substance abuse. The Institution will make a reasonable effort to help secure such treatment. All requests for help will be kept strictly confidential.

This is a summary statement of the Institution's policy on substance abuse. A copy of the complete policy is given to each employee and fellow upon association with the Institution.

Additional copies are available through your department business office.

Alcohol and Social Functions Policy

All members of the Institution are individually responsible for their behavior with regard to alcohol consumption. Intoxication in the workplace is unprofessional and unacceptable and all employees are responsible for compliance with the Policy on Substance Abuse and a Drug-Free Workplace. In addition, reasonable steps should be taken in planning and implementation to ensure that no excessive consumption of alcohol occurs at institutionally sponsored social events either on or off Carnegie property.

The Institution is committed to providing employees with a safe, productive and supportive environment in which they work. For many people, the consumption of alcohol is an activity that is a part of social situations. While alcohol should not be readily available in the workplace, alcohol may be consumed at work-related social functions.

Any work-related social function should be structured so that drinking is not the primary focus. Such functions may include departmental holiday parties, picnics, student events, or other celebratory occasions. When alcohol is served at such functions, it is necessary to ensure the availability of food and low alcohol and non-alcoholic drinks, such as water or soft drinks.

Organizers of a social function at which alcohol is consumed should take reasonable steps to ensure the excessive consumption does not occur. The supply of alcohol should be limited and the event should have definite and reasonable starting and ending times. Appropriate measures must be taken to ensure that guests/participants under the age of 21 do not have access to alcoholic beverages. Supervision should be in place to prevent inappropriate behavior and excessive drinking. Organizers of the social function should also ensure that an intoxicated individual, regardless of rank or position, is not provided with further alcohol and, if necessary, is provided with transportation so as to ensure that such an individual does not drive.

Nondiscrimination/Anti-Harassment Policy and Complaint Policy

The Carnegie Institution for Science is committed to providing a work environment in which all individuals are treated with respect and dignity. Each individual has the right to work in a professional atmosphere that promotes equal employment opportunities and prohibits unlawful discriminatory practices, including harassment. Therefore, the Carnegie Institution for Science expects that all relationships among individuals in the organization will be business-like and free of bias, prejudice and harassment. To the extent there is any inconsistency between written departmental policies and this Policy, this Policy shall control.

Reason for Policy

The purpose of this policy is to ensure that Carnegie's work environment is free from unlawful harassment, discrimination and retaliation. Carnegie will make every reasonable effort to ensure that all departments and administrative units including headquarters are familiar with these policies and are aware that any complaint in violation of such policies will be investigated and resolved appropriately.

Any employee who has questions or concerns about this policy should speak with the Associate Director of Human Resources.

Equal Employment Opportunity

It is the policy of the Carnegie Institution for Science to ensure equal employment opportunity without discrimination or harassment on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, age, disability, marital status, citizenship, genetic information, or any other characteristic protected by law. The Carnegie Institution for Science prohibits any such discrimination or harassment.

Harassment

Harassment on the basis of any protected characteristic is strictly prohibited. Under this policy, harassment is verbal, written or physical conduct that denigrates or shows hostility or aversion toward an individual because of his or her race, color, religion, sex, sexual orientation, veteran status, gender identity or expression, national origin, age, disability, marital status, citizenship, genetic information, or any other characteristic protected by law, or that of his or her relatives, friends or associates, and that:

- A. Has the purpose or effect of creating an intimidating, hostile or offensive work environment
- B. Has the purpose or effect of unreasonably interfering with an individual's work performance
- C. Or otherwise adversely affects an individual's employment opportunities

Harassing conduct includes epithets, slurs or negative stereotyping; threatening, intimidating or hostile acts; denigrating jokes; and written or graphic material that denigrates or shows hostility or aversion toward an individual or group that is placed on walls or elsewhere on the employer's premises or circulated in the workplace, on company time or using company equipment by e-mail, phone (including voice messages), text messages, social networking sites or other means.

Sexual Harassment

Sexual harassment constitutes discrimination and is illegal under federal, state and local laws. For the purposes of this policy, "sexual harassment" is defined, as unwelcome sexual

advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when, for example:

- A. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.
- B. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment
- C. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual

Sexual harassment may include a range of subtle and not-so-subtle behaviors and may involve individuals of the same or different gender. Depending on the circumstances, these behaviors may include:

- Unwanted sexual advances or requests for sexual favors
- Sexual jokes and innuendo
- Verbal abuse of a sexual nature
- Commentary about an individual's body
- Sexual prowess or sexual deficiencies
- Leering, whistling or touching
- Insulting or obscene comments or gestures
- Display in the workplace of sexually suggestive objects or pictures
- And other physical, verbal or visual conduct of a sexual nature

Individuals and Conduct Covered

This policy applies to all applicants and employees, whether related to conduct engaged in by fellow employees or by someone not directly connected to the Carnegie Institution for Science (e.g., an outside vendor, consultant, applicants, or customer).

Conduct prohibited by this policy is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings and business-related social events.

Reporting an Incident of Harassment, Discrimination or Retaliation

The Carnegie Institution for Science requires reporting of all complaints of discrimination, harassment or retaliation, regardless of the alleged offender's identity or position. Carnegie requires any employee who witnesses any discrimination, harassment or retaliation, irrespective of reporting relationship, to immediately report this conduct to Human Resources or the Office of the General Counsel.

Individuals who believe they have experienced conduct that violates this policy, or have concerns should report their complaints verbally or in writing to the Associate Director of Human Resources. Individuals should not feel obligated to report their complaints to their immediate supervisor before bringing it to the attention of Human Resources or the Office of General Counsel.

Loronda Lee, Associate Director of Human Resources
202-939-1113
lmlee@carnegiescience.edu

Benjamin Aderson, General Counsel
202-939-1118
baderson@carnegiescience.edu

Investigations

Any reported allegations of harassment, discrimination or retaliation will be investigated promptly. The investigation may include individual interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or may have other relevant knowledge.

Confidentiality will be maintained throughout the investigatory process to the extent consistent with adequate investigation and appropriate corrective action. All individuals who may have observed alleged conduct or may have other relevant knowledge will be expected to maintain confidentiality throughout the investigatory process consistent with the investigation and appropriate corrective action.

Pending the outcome of an investigation, Carnegie may implement interim accommodations to address any safety or security concern, if requested by the individuals involved or if otherwise deemed appropriate or to protect the integrity of the investigation, subject to the reasonable availability of such accommodations and based on available facts and circumstances.

Retaliation

The Carnegie Institution for Science prohibits retaliation against any individual who reports discrimination or harassment or participates in an investigation of such reports.

Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy and, like harassment or discrimination itself, will be subject to disciplinary action. Acts of retaliation should be reported immediately and will be promptly investigated and addressed.

Resolution

The Carnegie Institution for Science will make every effort to achieve a prompt, equitable, and impartial investigation and resolution of complaints brought under this Policy. Responsive action may include, for example, training, referral to counseling or disciplinary action such as a warning, reprimand, temporary suspension without pay, modification or change in job duties, or termination, as The Carnegie Institution for Science believes appropriate under the circumstances.

If a party to a complaint does not agree with its resolution, that party may appeal to Carnegie's General Counsel.

False and malicious complaints of harassment, discrimination or retaliation (as opposed to complaints that, even if erroneous, are made in good faith) may be the subject of appropriate disciplinary action.

Contacts

Human Resources ▪ Loronda Lee	202-939-1113 lmlee@carnegiescience.edu
Office of the General Counsel ▪ Benjamin Aderson	202-939-1118 baderson@carnegiescience.edu

Family Hiring Policy

The Carnegie Institution of Washington policies regarding hiring, promotion, transfers and retention provide equal employment opportunity to all qualified persons. It is the policy of Carnegie not to hire, promote or retain a family member in circumstances in which one family member has supervisory authority over another family member or where one family member can make decisions on employment matters relating to another family member.

The basic criteria for appointment and promotion of all Carnegie employees and fellows are appropriate qualifications and performance. This policy is to emphasize that selection of personnel will be based solely on job-related qualifications. Relationships by family, marriage, or domestic partnership will not preclude hiring or promotion, as long as the individual meets and fulfills the appropriate appointment standards as determined by a non-family member.

A family member whose qualifications rank them first for the position under consideration may be employed only if there is no supervisory authority by a family member. In such instances, all hiring decisions will be referred to the Office of the

President for final approval.

This policy is effective May 1, 2013. Where a supervisory relationship existed between family members before the effective date of this policy, the individuals will be “grandfathered” and encouraged to make other supervisory arrangements in accordance with this policy.

Examples of employment matters includes: hiring, promoting, reclassifying, supervising, directing, evaluating, making salary recommendations, assigning work, approving leave requests, signing timesheets, terminating employment, or assigning equipment, office space or other benefit.

A family member includes: spouse, domestic partner, mother, father, sister, brother, children (biological, adopted, or step), aunt, uncle, cousin, niece, nephew, grandparent, grandchild, or in-laws.

Confidential Employee Report Policy

It is the policy of Carnegie Institution to encourage employees, acting in good faith, to report to management any breach of any federal, state, or local law or other significant impropriety of any type whatsoever in the operation of the Institution. Any such report will be dealt with in the strictest confidence and will be investigated promptly. In addition, there will be timely notice to the Audit Committee of the Institution’s Board of any reports concerning financial operations, financial statement disclosures, audits, or accounting matters.

Procedures to implement this policy

Carnegie Institution establishes these procedures for: (a) the submission by employees of the Institution of reports regarding suspected legal violations or improprieties; and (b) the response of Institution management to such reports.

1. Any employee of the Institution may submit, on an anonymous basis if the employee so desires, any good faith concerns regarding potential legal violations or other significant improprieties in the operation of the Institution. All such concerns arising at P Street shall be set forth in writing and forwarded in a sealed envelope marked “confidential” to the General Counsel, or, in the case of a Department, to the Director of that Department. If the matter involves the conduct of the Director, the report may be delivered to the President, or General Counsel alternatively, in the case of financial matters, to the Chief Operating Officer or Chair of the Audit Committee (references to the “Director” herein should be read to refer to that alternative person receiving the report).

If the employee would like to discuss such a matter with the relevant Director, the

employee should indicate this interest in the submission and include a telephone number at which he or she might be contacted. If the employee would prefer, he or she may call the relevant Director directly.

PHONE NUMBERS	
General Counsel	202-939-1118
Chief Operating Officer	202-939-1156
Director of Embryology	410-554-1221
Director of Geophysical	202-478-8910
Director of Global Ecology	650-462-1047 ext. 201
Director of The Observatories	626-304-0204
Director of Plant Biology	650-325-1521 ext. 203
Director of Terrestrial Magnetism	202-478-8828
President	202-387-6404
General Counsel Chair of Audit Committee (Michael A. Duffy)	Contact General Counsel 202-939-1118

1. Employees submitting reports under this policy may contact the relevant Director to confirm that the Institution has received the initial report and/or to provide additional information. Employees should recognize, however, that it will often not be appropriate for the Director to share detailed information about the Institution's actions and plans, particularly when there is ongoing consideration of appropriate responses and/or investigation of facts.

2. The Director will undertake an investigation of each report in a manner so as not to involve in the investigation any person whose conduct is the subject of the report. The Director will pursue corrective and/or disciplinary actions in response to any violations of law or other significant improprieties revealed by the investigation.

3. In matters not involving the President, the relevant Director should promptly inform the General Counsel of the report, of follow-up actions contemplated by the Director, and of the results of the investigation.

4. The Director will also promptly notify the General Counsel of any investigation that holds the potential to reveal any violations of law or other significant improprieties relating to financial operations, financial statement disclosures, audits, or accounting, and shall keep the Chief Operating Officer informed of the progress in and outcome of the investigation. The Chief Operating Officer will promptly inform the Chair of the Audit Committee of any such report and of the progress in and outcome of the investigation. The Audit Committee, in turn, may enlist committee members, employees of the Institution and/or outside legal, accounting or other advisors, as appropriate, to conduct

any investigation of matters regarding financial operations, financial statement disclosures, accounting or auditing.

5. Investigations shall include reasonable efforts to protect the identity of an employee who has submitted a report under this policy. There may be instances when confidentiality cannot be guaranteed. Timely notice of instances in which confidentiality cannot be guaranteed shall be provided to the employee who submitted the report. The Institution does not permit retaliation of any kind against employees for complaints submitted hereunder that are made in good faith. Additionally, no employee shall be adversely affected because the employee refuses to carry out a directive which, in fact, constitutes fraud, or is a violation of state or federal law.

6. Management will make reasonable efforts to clear the record of anyone who may be wrongfully accused. Management will also pursue sanctions against any employee who submits a false allegation of wrongdoing in bad faith.

7. Management shall keep a written record of all reports or inquiries submitted pursuant to this policy, as well as the disposition of those reports or inquiries.

It should be noted that this policy, as written, has received the endorsement of the Audit Committee of the Carnegie Board.

The Americans with Disabilities Act

The Institution complies with all provisions of the Americans with Disabilities Act of 1990. This Act prohibits discrimination on the basis of disability and protects qualified applicants and employees with disabilities from discrimination in hiring, promotion, discharge, pay, job training, benefits, and other aspects of employment. The law requires employers to provide qualified applicants and employees with disabilities with reasonable accommodations to enable them to perform the essential functions of the job. If you are disabled, you may wish to tell your business manager or supervisor about any special methods, skills, or procedures that qualify you for positions that you might not otherwise be able to fill because of your disability, and of any reasonable accommodations the Institution could make to enable you to perform the essential functions of the job properly and safely.

Information received concerning disabilities will be kept confidential, except that supervisors may be informed regarding any necessary accommodations, safety personnel may be informed if the condition might require emergency treatment, and government officials investigating compliance with the Act may be informed.

Research Policies

As part of efforts to maintain its educational and scientific excellence, the Institution

maintains certain policies for its researchers. These policies generally apply to scientists as well as to the scientific support staff. Because of the length and complexity of these policies, only a synopsis of each is included here. For a complete copy of each policy, see Carnegie's website at H – RESEARCH AND RELATED POLICIES.

The "Policy on the Conduct of Research" describes the policies and procedures for dealing with and reporting possible misconduct in science. This policy also includes guidelines concerning co-authorship of scientific papers and the sharing of materials and data with other research scientists.

The "Policy on Inventions and Patents" addresses the rights of the Institution and the inventor of any invention discovered while in association with the Institution.

The "Policy on Industrially-Sponsored Research and Collaborative Research with Industry" is concerned with the financial sponsorship of research at the Institution by business corporations and with research collaboration between members of the Institution and members of such organizations.

The "Policy on Consulting and Other Outside Professional Activity" covers the areas of outside consulting activity and the use of Institution facilities and services in connection with non-Institution matters.

The "Policy on Maintenance and Accessibility of Research Data" describes the Institution's policy with regard to retention of records that document the research carried out in its laboratories.

The "Policy on Conflict of Interest" is concerned with the protection of the Institution's mission and its public and private sponsors through the proper management of conflicts.

The Immigration Control Act

The Immigration Reform and Control Act is a law intended to control and discourage unregulated and unauthorized immigration into the United States. In accordance with this law, new employees must provide the Institution with proof of identity and eligibility to work in the United States. A state-issued driver's license (or other state-issued identity document) containing a photograph or descriptive information provides proof of identity. A social security card, a birth certificate issued by state authority, a naturalization certificate, an unexpired foreign passport with valid work authorization, or a resident alien card (green card) are examples of proof of eligibility to work in the United States. Alternatively, a United States passport alone is sufficient to prove both identity and employment eligibility. For a complete list of acceptable documents, see your department business manager.

E-Verify

As a federal contractor, Carnegie verifies the employment eligibility of all new employees through a federal system known as E-Verify. E-Verify is an internet-based system operated by the Department of Homeland Security (DHS), U.S. Citizenship and Immigration Services (USCIS) that allows employers to verify the employment eligibility of their employees, regardless of citizenship. Based on the information provided by the employee on his or her Form I-9, E-Verify checks this information electronically against records contained in the DHS and Social Security Administration (SSA) databases.

Confidentiality

Some employees may be required to handle confidential information. Strict adherence to confidentiality is necessary to protect the integrity of the Institution and the privacy of its employees. Disclosure of any confidential information, including but not limited to (where appropriate) payroll, financial, and scientific data is a form of dishonesty and may result in discipline, up to and including termination of employment.

Open Door Policy

Communication is the key to every good relationship, whether it is personal or professional. The Institution is committed to creating a happy, healthy, and safe working environment. You are encouraged to consult with your supervisor to discuss any job-related issues before they become major problems. Most issues can be satisfactorily resolved between you and your supervisor.

If the issue is not resolved, or is of a nature you prefer not to discuss with your department supervisor, you are encouraged to consult your business manager or director.

Severe Weather Closing

Periodically it may become necessary for your department to close because of severe weather conditions such as snow, ice, or other weather-related or environmental emergencies. The decision to close a department because of severe weather is with the department director. On these occasions, you will be paid for a regular day and your absence will not be charged against your annual leave.

When conditions are bad, but not severe enough to close the department, the director may consider a "liberal leave" policy in effect. On such days, the decision to report to work lies with you; however, your absence will be charged against your annual leave. When conditions slow traveling time, a "delayed arrival" policy may be appropriate and leniency will be granted toward reasonably late arrivals.

Consult with your department business manager to determine the procedure your department uses to inform employees about a closing, or whether a liberal leave or delayed arrival policy is in effect on a severe weather day.

Smoking

Smoking is restricted in varying degrees at all departments. Please consult with your business manager to learn the smoking rules of your department.

Parking

All departments of the Institution provide free parking. Depending on the physical space of each department, the number of parking spaces varies. Please consult with your business manager to learn the parking rules for your department.

The Institution does not assume liability for theft of or damage to vehicles, or any contents in the vehicles, while parked in any of its lots.

TERMINATION OF EMPLOYMENT

Carnegie recognizes that all employees retain the option, as does the Carnegie Institution for Science, of ending your employment with Carnegie at any time, with or without notice and with or without cause. As such, your employment with the Carnegie Institution for Science is at-will.

Conduct that adversely affects the Institution or unduly interferes with its operations may be met with disciplinary action, up to and including termination of employment.

Upon resignation, you will be required to provide a letter of resignation. You will receive your final paycheck in the timeframe appropriate under the state law applicable to your department. All Carnegie resources such as computers, badges, keys, parking passes, passwords to software applications and any other Institution property must be turned in before you leave.

RECREATION FACILITIES

All employees are entitled to use the Bush Retreats - the Institution's recreational facilities at Deep Creek Lake, Maryland, and Inverness, California. Use of these retreats is subject to payment of a user's fee and allocation of space. If you are interested in using one of the Bush Retreats, your department business manager can provide you with additional information.