

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 and more completely describe certain policies, practices, procedures, and programs are available from the business office of each department

and from the human resources office of the administration office. (Any reference in this document to materials or information that can be obtained from the department business manager can also be obtained from the human resources office 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 benefit or employment provisions.

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, FlexServe, the Travel Accident plan, social security, (sick leave for DC employees) and worker's compensation. Temporary employees are, of course, 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.

TABLE OF CONTENTS

SALARY AND HOURS 6

Pay Day

Overtime Compensation

Deductions from Your Pay

Workweek and Hours

Recording Work Hours

Break Time for Nursing Mothers

LEAVES AND HOLIDAYS 8

Annual Leave

Sick Leave

Parental Leave Policy

FAMILY AND MEDICAL LEAVE ACT

Other Unpaid Leave

Military Leave

Jury Duty

Voting Time

Absence Owing to Death in Family

Holidays

THE INSTITUTION'S RETIREMENT PLAN 16

Participation

Contributions

Vesting

Retirement Eligibility

Amount of Retirement Benefits

Death Before Starting Retirement Income

OTHER RETIREMENT BENEFITS 17

Supplemental Retirement Annuity

Social Security Retirement Benefits

HEALTH INSURANCE 18

General Information

The Aetna Health Care Plan

OTHER INSURANCE AND BENEFIT PROGRAMS 20

Flexible Spending Account Program

Life Insurance

Disability Insurance

Dental Care

Pre-Tax Premium Plan

Change in Coverage for Certain Benefit Programs

Travel Insurance

Worker's Compensation and Safety

Continuation of Health Benefits - COBRA

THE EMPLOYEE ASSISTANCE PROGRAM..... 22

POLICIES AND PRACTICES..... 22

Equality of Opportunity

Domestic Partner Policy

Substance Abuse Statement

Alcohol and Social Functions Policy

Policy Against Discrimination and Harassment, Including Sexual Harassment

Confidential Employee Report Policy

The Americans with Disabilities Act

Research Policies

The Immigration Control Act

Confidentiality

Open Door Policy

Severe Weather Closing

Smoking

Parking

TERMINATION OF EMPLOYMENT.....	38
RECREATION FACILITIES.....	39

SALARY AND HOURS

Pay Day

The Institution's paydays for employees are twice monthly -- the 15th of each month and the 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. If you request in writing, the Institution will electronically deposit your paycheck directly to your bank account.

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 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 and dental insurance coverages are deducted from each paycheck on a pre-tax basis. Arrangements can also be made for deposits to the Johns Hopkins Credit Union in Baltimore, tax-deferred premium payments to a supplemental

retirement annuity through TIAA CREF, pre-tax payments to a health savings account, pre-tax payments to a flexible spending account, premium payments for elective life insurance, and dental insurance. Details concerning these optional payments are provided in this pamphlet under the appropriate benefit section.

Workweek and Hours

The normal 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 hours vary slightly with each department, but are generally within 35 to 40 hours a week for most 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 about 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.

Break Time for Nursing Mothers

Carnegie Institution for Science supports breastfeeding mothers by accommodating the mother who wishes to express milk during her workday when separated from her newborn child. The provisions of this breastfeeding policy meet the requirements of the Fair Labor Standards Act as it relates to breaks for nursing mothers.

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.

LEAVES 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 or retire and provide appropriate notice (customarily two weeks), 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 in excess of one month.

Sick Leave

Paid sick leave 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 15 calendar days and may be required at any time for shorter 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, all employees and fellows, may use 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. Eligible employees must have exhausted all available sick and annual leave and any other compensatory time in order to receive this additional sick leave, which is intended to provide support prior to the time when long-term disability benefits [see Carnegie's long-term disability plan] begin or to cover a

short-term period of disability particularly for new employees who have not accrued sufficient sick leave. Sick leave pool benefits are made available through voluntary donations of sick leave from other employees.

Guidelines

- 1) 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.
- 2) 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.
- 3) 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.
- 4) 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. The employee must also 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.
- 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, or until benefits begin from Carnegie's Long Term Disability Plan. (Briefly, long-term benefits begin on the first day of the month following six 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) Medical certification of the illness or injury is required at the time of the request to use pool leave, and may also be required later from time to time.
- 8) The qualifying catastrophic illness or injury must have occurred to the employee, and not to a family member or other relative.
- 9) Employees will not accrue annual or sick leave while using leave from the sick leave pool.

10) 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.

11) 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.

12) 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 Manager of Human Resources. A committee, consisting of the Manager of Human Resources and two others, will review and approve or deny all requests for use of the leave pool.

13) 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.

CARNEGIE INSTITUTION OF WASHINGTON

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 a 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.

Absence Owing to Death in Family

In the event of the death of a family member, you will be granted bereavement leave with pay for such period of time (normally from three to five days) as appears reasonable to the department director. A family member is generally defined as a spouse, child, parent, parent-in-law, sibling, grandparent, grandchild, any relative who resides with you, or a person with whom you share a mutual residence and maintain a committed relationship.

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.

THE INSTITUTION'S RETIREMENT PLAN

Participation

You automatically become a participant in the Retirement Plan on your first day of employment with the Institution (except that postdoctoral and predoctoral associates are not eligible to become participants 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% x \$50,000 x 23 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.

OTHER RETIREMENT BENEFITS

Supplemental Retirement Annuity A Supplemental Retirement Annuity (SRA) is a way to have 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.

HEALTH INSURANCE

General Information

The Institution offers health insurance coverage through Aetna.

Upon employment with the Institution, you may elect coverage through Aetna for yourself and your family. If you choose not to be covered immediately upon employment, you may enroll in Aetna during the open enrollment period of any subsequent year.

The Aetna plan covers you, your spouse, and dependents up to age 26, regardless of student status.

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

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.

The Aetna Health Care Plan

The Aetna health care plan offers employees and fellows two fundamental options – a PPO equivalent option which Aetna calls Aetna Choice™ POS II (POS), and a high deductible health plan/health savings account (HSA) combination, called HSA Aetna Choice™ POS II. You will need to choose one of these options.

The two plan options, POS and HSA, differ significantly. In brief, the POS is a type of medical plan in which participants receive more coverage if they choose health care providers under contract with the insurance company. If you choose this plan, there are significant savings when you access doctors, hospitals, and providers that are within Aetna's network.

The Health Savings Account option combines a high deductible health plan that uses the same network of health care providers with an account, funded by contributions from the Institution and you that can be used to cover unreimbursed health care and other expenses currently or in the future. The HSA option also has significantly lower required contributions.

In weighing these options, you need to review all material available from your business offices and on the HR website carefully.

OTHER INSURANCE AND BENEFIT PROGRAMS

Flexible Spending Account Program

The Institution also provides a flexible spending account program, called FlexServe that helps you save taxes on the money you pay for uninsured health care or dependent care. With FlexServe you can set aside tax-free dollars in a special account to pay certain out-of-pocket expenses not covered by insurance that you now pay with after-tax dollars -- expenses such as

deductibles, co-payments, dental check-ups, eye exams, and glasses. You can also use FlexServe for day-care expenses for children and disabled dependents.

More information about FlexServe is available from your department's business office.

Life Insurance

For your protection and security, the Institution currently pays the full premium to cover you in a Group Life Insurance Plan through Guardian. The coverage is equal to two times your annual salary, up to a maximum benefit amount of \$100,000. In addition, Accidental Death and Dismemberment benefits are provided equal to your life insurance amount. Thus, you have double coverage if your death occurs as a result of an accident.

For extra protection, you may purchase additional term life insurance from Guardian. You pay the full cost of this elective insurance through payroll deduction. Personal, direct-pay life insurance policies are also available from Teachers Insurance and Annuity Association (TIAA).

More information about life insurance is available from your department's business office.

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 six 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.

Dental Care

You are entitled to enroll in a group dental care plan that provides benefits for a variety of dental services. Premium payments are made by payroll deduction; the Institution does not contribute to the cost of this insurance. Many procedures are provided at no charge, while others require payment by way of stated surcharges or percent of charge. Care is provided by participating dentists. Non-participating dentists may also be used, but at a lower benefit rate.

Pre-Tax Premium Plan

The Pre-Tax Premium Plan allows you to make your premium contributions for the health and dental plans through a process that withholds the premiums before federal and state income taxes and Social Security taxes are withheld. The tax savings will effectively reduce your cost of health and dental coverage. Depending on the amount of premiums you pay and your tax bracket, the savings in taxes can be significant.

Enrollment in the Pre-Tax Premium Plan is automatic unless you advise the Institution otherwise in writing.

Change in Coverage for Certain Benefit Programs

You may add or remove yourself and/or dependents from coverage once a year during the annual open enrollment period.

According to federal regulations, changes in your health, dental, or flexserve coverage, outside of the open enrollment period, may be made only upon incurring a change in 1) your marital status, 2) the number of your dependents, 3) the employment status of you, your spouse, or dependent child, 4) the dependent status of your child (including reaching the upper age limit and losing or gaining student status), 5) the residence or workplace of you, your spouse, or dependent child, and 6) legal custody of your child that results in a change of dental care, 7) a significant change in the cost of coverage of your plan or the plan of your spouse (including circumstances where the open enrollment period of the spouse's plan is different from the open enrollment period of your 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 your department business office.

Equality of Opportunity

Carnegie Institution of Washington is committed to the national policy of fair treatment of all employees in all aspects of employment. The Institution does not discriminate against any person on the basis of race, color, religion, sex, national or ethnic origin, age, disability, veteran status, or any other basis prohibited by applicable law. This policy covers all programs, activities, and operations of the Institution, including administration of its educational program, admission of qualified students as fellows, and employment practices and procedures.

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.

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.

Policy Against Discrimination and Harassment, Including Sexual Harassment

It is the policy of Carnegie Institution of Washington (the “Institution”) that all employees should be able to enjoy a work environment that is free of discrimination and harassment. This requires that employees treat each other and every individual with whom they have contact in the course of their employment with courtesy and respect. The Institution strictly forbids discrimination or harassment of any kind, including, but not limited to, discrimination or harassment based on sex, pregnancy, race, color, religion, creed, ancestry, sexual orientation, gender identity or expression, age, physical disability, mental disability, national origin, genetic predisposition or carrier status, marital status, veteran or military status, or any other category protected by applicable federal, state, or local law. This policy extends to each and every level of our operations. Accordingly, any form of harassment, whether by an employee, fellow, manager, supervisor, or by a third party doing business with the Institution, will not be tolerated. All employees are expected to be aware of this policy and of the types of conduct that may constitute unlawful harassment, as well as of the avenues of assistance provided by the Institution for addressing complaints of discrimination and harassment, sexual and otherwise.

Sexual Harassment

Sexual harassment is a form of sex discrimination and is against the law. Federal law defines sexual harassment as unwelcome sexual advances, requests for sexual favors, or visual, verbal or physical conduct of a sexual nature when: (1) submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of employment or is used as the basis for employment decisions affecting the employee (often referred to as “quid pro quo” harassment); or (2) such conduct has the purpose or effect of unreasonably interfering with an employee’s work performance or creating an intimidating, hostile, or offensive working environment. A hostile work environment can be created by anyone in the work environment, including supervisors, co-workers, or third parties, such as vendors or visitors.

California law defines sexual harassment as unwanted sexual advances or visual, verbal or physical conduct of a sexual nature. This definition includes many forms of offensive behavior and includes harassment of a person of the same sex as the harasser.

Some specific examples of unacceptable conduct that may constitute sexual harassment, depending on the totality of the circumstances, including the severity of the conduct and its pervasiveness, include:

Direct or implied requests by a supervisor/manager for sexual favors in exchange for actual or promised job benefits (examples: favorable reviews, promotions, salary increases);

Making or threatening reprisals after a negative response to sexual advances;

Visual conduct: leering, making sexual gestures, displaying or transmitting sexually suggestive objects, pictures, cartoons or posters;

Verbal conduct: making or using derogatory or provoking comments about or relating to an employee’s gender, sexual orientation or sexual activity, including epithets, slurs, sexually explicit jokes, or comments about an employee’s body or dress;

Verbal sexual advances or propositions;

Verbal abuse of a sexual nature, graphic verbal commentary about an individual's body, sexually degrading words used to describe an individual, suggestive or obscene letters, notes or invitations.

Continuing to ask an employee to socialize on or off duty after that person has indicated an unwillingness to do so;

Coerced sexual acts;

Physical conduct: touching, assaulting, impeding or blocking movements; or

Off-duty conduct that falls within the above definition and affects the work environment.

Please note that while this policy sets forth the Institution's goals of promoting a workplace that is free of harassment, including sexual harassment, the policy is not designed or intended to limit the Institution's authority to discipline or take remedial action for unacceptable workplace conduct, regardless of whether that conduct satisfies the definition of prohibited harassment, including sexual harassment. The Institution strives to ensure that all employees have a work environment that is free of discrimination and harassment.

Other Prohibited Harassment

In addition to prohibiting sexual harassment, the Institution prohibits unwelcome conduct, whether verbal or physical, that is based upon an employee's sex, pregnancy, race, color, religion, creed, ancestry, sexual orientation, gender identity or expression, age, physical disability, mental disability, national origin, genetic predisposition or carrier status, marital status, veteran or military status, or any other category protected by applicable federal, state, or local law. Such conduct is a form of discrimination and will not be tolerated. Some specific examples of unacceptable conduct that may constitute harassment include:

Epithets, slurs, insults or negative stereotyping with regard to a characteristic described above.

Acts or jokes that are hostile or demeaning, or are threatening or intimidating, with regard to a characteristic described above.

Written or graphic material that demeans, ridicules or shows hostility toward an individual or group because of a characteristic described above.

Responsibility

This policy extends to every employee at every level of the Institution's operations. Accordingly, harassment, sexual or otherwise, whether by an employee, fellow, supervisor/manager, or non-employee doing business with the Institution (whether of the same sex or opposite sex), will not be tolerated.

Harassment, sexual or otherwise, of any kind serves no legitimate purpose and has a disruptive effect on the ability to perform the job properly. The Institution takes allegations of discrimination and harassment very seriously, and will actively investigate all complaints. If it is determined that discrimination or harassment has occurred, management will take appropriate action against the offending person, up to and including termination of employment.

Complaint Procedure

The Institution's reporting procedure provides for an immediate, thorough and objective investigation of any harassment claim, appropriate disciplinary action against one found to have engaged in prohibited harassment, and appropriate remedies to any victim of harassment. An employee may have a claim of harassment even if he or she has not lost a job or some economic benefit.

Any employee who believes that he or she has been harassed, sexually or otherwise, or who has witnessed the harassment of others, should bring his or her concerns to the attention of management immediately in any of the following ways:

Report the conduct to your immediate supervisor/manager;

Report the conduct to your supervisor/manager's manager;

Report the conduct to the Associate Director of Human Resources at 202-939-1113 or the General Counsel at 202-939-1118;

Report the conduct to any member of management with whom the employee feels comfortable; or

Report the conduct to any other employee with whom the employee feels comfortable.

IMPORTANT NOTE: If the particular circumstances make a discussion with any of the above individuals inappropriate (for example, if the complaint involves the employee's supervisor/manager), you should not hesitate to immediately bring the matter to the attention of Human Resources or any other member of senior management.

The individuals listed above are also available to discuss any concerns or questions that the employee may have and to provide information to the employee about the Institution's policy on discrimination and harassment, sexual or otherwise, and its complaint process.

It is the Institution's policy that all such matters will be handled with appropriate care and discretion and will receive an immediate, thorough, objective, and complete investigation. When an employee brings a complaint to the attention of any member of management, Human Resources will be notified immediately and an investigation of the allegations will be undertaken promptly. The investigation will include interviews with the person bringing the complaint, the person alleged to have committed the conduct, and all persons with information regarding the matter. As soon as a determination is made, the results will be communicated to the complainant, the alleged harasser, and all others directly concerned.

If the investigation reveals that harassment has occurred, management will take remedial action commensurate with the circumstances. Such measures are designed to put an immediate stop to the harassment, as well as prevent its recurrence. If a complaint of harassment is substantiated, management retains the right to take whatever action it believes appropriate under the circumstances, up to and including termination of employment of the offending person.

Any employee who feels that he or she has been the subject of discrimination or that he or she has witnessed it in the workplace should follow the complaint procedures outlined above.

Protection Against Retaliation

Applicable state and federal law also prohibits retaliation against any employee by another employee or by the Institution for opposing the prohibited practices described in this policy or for reporting a complaint or filing a complaint with, or testifying, assisting, cooperating or participating in any manner in any investigation, proceeding or hearing conducted by, the Institution or a federal or state enforcement agency. An employee should report any retaliation as he or she would under the Complaint Procedure described above. Any report of retaliatory conduct will be immediately, objectively, and thoroughly investigated in accordance with the Institution's investigation procedure outlined above. If a report of retaliation is substantiated, appropriate disciplinary action, up to and including termination of employment of the offending person, will be taken.

Government Agencies

The Institution is committed to responding quickly and effectively to any report of discrimination or harassment, and hopes that all employees will feel comfortable coming forward and allowing us to pursue a resolution of the matter internally. We believe that we have created a flexible and fair complaint resolution process, and that we will be able to work together to avoid the unnecessary escalation of any situation involving harassment or discrimination for any employee.

Nonetheless, employees are free to file formal charges of discrimination or harassment with appropriate government agencies. These agencies serve as neutral fact finders and attempt to help the parties voluntarily resolve disputes. Available legal remedies may include hiring, reinstatement or upgrading of employees, back pay, actual damages, including emotional distress, and changes to employer policies and practices.

California

U.S. Equal Employment Opportunity Commission
Los Angeles District Office
Roybal Federal Building
255 East Temple Street, 4th Floor
Los Angeles, CA 90012 (800) 669-4000

U.S. Equal Employment Opportunity Commission
San Francisco District Office

350 The Embarcadero
Suite 500
San Francisco, CA 94105-1260 (800) 669-4000

California Department of Fair Employment and Housing
Los Angeles Office
1055 West 7th Street
Suite 1400
Los Angeles, CA 90017-2540 (800) 884-1684

California Department of Fair Employment and Housing
Oakland Office
1515 Clay Street, Suite 701
Oakland, CA 94612-1436 (800) 884-1684

District of Columbia

U.S. Equal Employment Opportunity Commission
Washington Field Office
131 M Street, NE
Fourth Floor, Suite 4NWO2F Washington, DC 20507-0100 (800) 669-4000

District of Columbia Office of Human Rights
One Judiciary Square
441 4th Street, NW
Suite 570N
Washington, DC 20001-2714 (202) 727-4559

Hawaii

U.S. Equal Employment Opportunity Commission
Honolulu Local Office
300 Ala Moana Boulevard
P.O. Box 50082
Honolulu, HI 96850-0051 (800) 669-4000

Hawaii Civil Rights Commission
830 Punchbowl Street, Room 411
Honolulu, HI 96813 (808) 586-8636

Illinois

U.S. Equal Employment Opportunity Commission
Chicago District Office
500 West Madison Street, Suite 2800
Chicago, IL 60661 (800) 669-4000

Illinois Department of Human Rights
James R. Thompson Center
100 West Randolph Street
Suite 10-100, Chicago, IL 60601 (312) 814-6200

Maryland

U.S. Equal Employment Opportunity Commission
Baltimore Field Office
City Crescent Building
10 S. Howard Street, 3rd Floor
Baltimore, MD 21201 (800) 669-4000

Maryland Commission on Civil Rights
6 Saint Paul Street, Suite 900
Baltimore, Maryland 21202-1631
(800) 637-6247

New York

U.S. Equal Employment Opportunity Commission
New York District Office
33 Whitehall Street, 5th Floor
New York, NY 10004 (800) 669-4000

New York State Division of Human Rights
One Fordham Plaza, 4th Floor Bronx, New York 10458-5885 (718) 741-8400

New York City Commission on Human Rights
40 Rector Street, 10th Floor New York, NY, 10006 (212) 306-7450

A copy of this policy will be provided to every employee, and extra copies will be available from Human Resources upon hire and will be distributed annually.

May 1, 2013

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 Chief Operating Officer, 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 alternatively, in the case of financial matters, to the 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.

The phone numbers are as follows:

Chief Operating Officer	202-939-1156
General Counsel	202-939-1118
Human Resources	202-939-1113
Director of Embryology	410-554-1221
Director of Geophysical	202-478-8910
Director of Global Ecology	650-462-1047 ext. 201
Director of Plant Biology	650-325-1521 ext. 203
Director of The Observatories	626-304-0204
President	202-939-1155
Chair of Audit Committee (Michael A. Duffy)	Please request contact information from Lara Budeit at lbudeit@carnegiescience.edu

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 President 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 Chief Operating Officer and 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

At all times during your employment, you have the right to terminate your employment. The Institution has the same right and may terminate your employment at any time, with or without cause. 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.

If you are considering leaving the Institution because something about your job is bothering you, talk it over first with your supervisor or other manager before taking the final step of resigning. The Institution wants to know about such conditions so that they may be corrected if they are within the Institution's control.

If you do resign, you are expected to give at least ten working days' notice to your supervisor. A letter of resignation is required at the time. You will receive your final paycheck in the timeframe appropriate under the state law applicable to your department. If you do not want to pick up your last paycheck, it will be mailed to you at the last address you provided the Institution. Checks will not be mailed or given to another person unless you give written approval.

All tools, keys, 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.