

D. HUMAN RESOURCES

The Institution's policies and procedures related to Human Resources are divided into four major sections, each with their own table of contents. The sections are:

- I. POLICIES, PRACTICES, AND BENEFITS
 - DISTRIBUTED TO ALL EMPLOYEES.
- II. PROCEDURES
 - PROCEDURES RELATED TO THE MANAGEMENT OF THE HUMAN RESOURCE FUNCTION
- III. CONFIDENTIAL EMPLOYEE REPORT POLICY
 - STATEMENT OF POLICY ENCOURAGING INDIVIDUALS TO REPORT ANY VIOLATION OF LAW OR SIGNIFICANT IMPROPRIETY
- IV. EQUAL EMPLOYMENT OPPORTUNITY AND TITLE IX COMPLIANCE

I. POLICIES, PRACTICES, AND BENEFITS

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.

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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, and worker's compensation. Temporary employees are, of course, eligible for social security and worker's compensation.

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

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SALARY AND HOURS

Pay Day

The Institution's payday 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

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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.

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

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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).

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.

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.

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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.

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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.

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Family and Medical Leave Act (FMLA)

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.

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 or medical leave.

Your FMLA leave may be taken intermittently or on a reduced leave schedule under certain circumstances. Leave because of birth or placement of a child for adoption or foster care may be taken intermittently or on a reduced schedule only if your director agrees. Partial leave to care for a family member's or your own serious health condition 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 any leave in excess of 30 days. The form may be obtained from your business office.

Requests for FMLA leave because of your own or a family member's serious health condition must be supported by a certification from the health care 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. The form can be obtained from your business office.

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 (as defined below). Family leave on account of the birth or placement of a child must begin within 12 months of the birth or placement.

Medical leave is available if you have a serious health condition, 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.

You are entitled to 16 weeks of unpaid medical leave and 16 weeks of unpaid family leave over a 24-month period (measured from the date your leave began). This benefit is derived from state law. Federal law also mandates that in any 12-month period you are entitled to up to 12 weeks of combined family and medical leave. For example, if you took 5 weeks of medical leave and 16 weeks family leave in the first year, you could also take up to 12 weeks of family or medical leave (or some combination thereof) in the second year.

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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 unpaid family and medical leave entitlement.

During a period of FMLA 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.

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

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.

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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.

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Vesting

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

Retirement Eligibility

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

Amount of Retirement Benefits

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

When you begin to receive your retirement annuity income, you may choose from among several payment options that provide a monthly income for your life, as well as survivor benefits to your designated beneficiary upon your death.

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

Death Before Starting Retirement Income

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

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

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.

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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.

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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.

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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

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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;

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- 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.

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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.

Sexual Harassment Statement

It is the policy of Carnegie Institution of Washington to provide a work environment free from sexual harassment and all forms of sexual intimidation and exploitation. The Institution expects a professional level of conduct from all of its employees and fellows. No employee or fellow, male or female, is to be subjected to unsolicited or unwelcome sexual overtures or conduct, either verbal or physical.

Sexual harassment does not mean occasional compliments of a socially acceptable nature.

Examples of sexual harassment include, but are not limited to, unsolicited, deliberate, or repeated:

- offensive sexual flirtations, advances, or propositions;
- verbal abuse of a sexual nature;
- graphic or degrading verbal comments about one's appearance;
- display of sexually suggestive objects or pictures;
- gross misconduct of a sexual nature; and
- demands for sexual favors accompanied by veiled or open promises of preferential treatment or by threats concerning one's employment status.

Supervisory staff members have an obligation to maintain a positive and productive work environment and are expected to halt any harassment by calling attention to this policy and, if necessary, by instituting direct disciplinary action.

Individuals who experience sexual harassment should make it clear to the offending party that such behavior is offensive and contrary to Institution policy. If the behavior continues, it should be brought to the attention of either one's supervisor, or department business manager, or director. The complaint may also be brought to the attention of the Manager of Human Resources and Insurance, located at 1530 P Street, N.W., Washington, DC 20005, phone number 202-387-6400. All complaints will be promptly and thoroughly investigated, and the confidentiality of all parties will be protected to the greatest extent possible. The Institution will not engage in any retaliatory action against an individual who makes a bona fide claim. When a situation involving sexual harassment is found to exist, the appropriate corrective action, including possible termination of employment of the offender, will be taken promptly.

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.

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Employees who submit such reports in good faith should have no concern regarding any retaliation on the part of management for their actions.

All such concerns should be in writing and forwarded in a sealed envelope marked “confidential” to either the Director of Administration and Finance or the Department Director. If the matter involves the conduct of the Director, the report may be delivered to the President or the Chair of the Audit Committee.

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. Investigations will include reasonable efforts to protect the identity of any employee who has submitted a report under this policy. If any violations of the law or other significant improprieties are revealed by the investigation, the Director will pursue corrective and/or disciplinary actions.

This is a summary statement of the Institution’s policy on confidential employee reporting. A complete copy is available separately on the website at D-III.

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.

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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.

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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.

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1. Human Resources and Benefits Reference Documents

The booklets titled “Policies, Practices, and Benefits” (one for employees and one for fellows) provide a summary guide to personnel policies, practices, and provisions of the Institution. Summary Plan Descriptions (SPD) and other brochures describe fully the provisions of the benefit programs. These booklets and brochures should always be consulted when questions arise or more information is needed.

2. Equal Opportunity and Vacancy Announcements

Carnegie Institution of Washington is committed to the national policy of fair treatment to 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.

When vacancies occur in support staff positions, priority is given to existing employees. Before external recruiting is conducted, an announcement listing the vacancy and qualifications for the position is posted in a conspicuous area frequented by employees. Support staff positions are to be held open for a minimum of two weeks to permit interested employees to apply.

Refer to the “Equal Employment Opportunity Policy” for more detail.

3. New Appointments

A Department may, at the discretion of the Director, use a form to obtain authority to hire an individual within the Department. All new hires are to be coordinated with the Business Office to assure the availability of resources.

All appointments of scientists within the organization require the approval of a Department Director and the President. All appointments of individuals to any Business Office require coordination with, and approval by, the Director of Administration and Finance, as well as the Department Director. The Department Director has authority to approve the hiring of staff at the Department level. All hiring is to be coordinated with the Human Resources Office to assure compliance with applicable laws and regulations.

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Background Checks

Background checks must be performed on applicants that may become new employees, excluding scientific staff.¹ This check must be done before making an offer of employment. The information from the background check is to be used in the same manner as other factors (such as reference checks) when deciding to make an employment offer.

Justifacts Credential Verification, Inc. (Justifacts) is the firm Carnegie uses for performing the background checks. There are many types of searches that can be performed (e.g. credit reports, criminal searches, driving records, professional licenses, social security search, etc.). The minimum search for each potentially new Carnegie employee will be one state criminal search and one credit report. Additional searches may be added for additional costs.

Each new prospective employee must complete and sign a waiver form in order for Justifacts to perform the required background check (copy attached).² The information from the waiver form is put into the Justifacts database by the Business Manager or a designee. The time period for the background check to be complete varies by state, but usually is 2 to 3 days. (The state of Virginia takes from one to four weeks and requires a special waiver form that needs to be notarized. The Business Manager may wish to substitute a county check in lieu of a state check for Virginia residents.)

If the completed report contains any adverse information, the Human Resources Office at P Street must be consulted regarding the effect of the adverse information on the proposed hiring decision. Carnegie's legal counsel may also be consulted. The applicant must be sent a pre-adverse action notice (copy available at business office), along with a copy of the summary of consumer rights under the federal Fair Credit Reporting Act (FCRA) (copy available at business office), and a copy of the report from Justifacts that contains the adverse information. The applicant has five days to review the report and to clarify any misinformation. If the decision stands not to hire the applicant because of information contained in then report, the applicant must be sent an adverse action letter (copy attached), along with another summary of consumer rights under the FCRA.

Background check information should be kept separate from the applicant's application or the employee's personnel file. You must keep the background check records for at least two years (the statute of limitations to sue under the FCRA). It is advisable to keep them for the duration of the individual's employment.

International background checks are available, but on a limited number of countries. They are: Australia, Bahamas, Brazil, Canada, Denmark, Finland, Guam, Norway, Puerto Rico, South Africa, and the U.S. Virgin Islands. Costs for international checks are

¹ For these purposes, scientific staff includes senior scientists, fellows, and associates.

² Notice requirements related to background checks may vary by State. Carnegie will amend all notices to assure compliance with state law.

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more than costs associated with domestic checks. Background checks for foreign applicants can only be for residents of one of the above listed countries.

All costs associated with background checks are the responsibility of each department. Each department user has a user name and password that is unique to that department. All billing from Justifacts goes directly to the department address associated with the user name and password.

New Employee Form

When a new employee is hired, the Payroll Office and the Human Resources Office need certain information in order to process the new employee data into the payroll system, and to enroll the new employee in the benefit programs. The “New Employee Form” is the method by which to do this. The New Employee Form provides space to report personal data, salary data, and benefit data, including a checklist of the policies and benefit books that must be distributed to the new employee, and the employment forms that must accompany the New Employee Form to the Human Resources Office.

A few comments about completing the New Employee Form:

- a. Be sure all personal data is correct. There must be a name, address, title, date of employment, and date of birth. A new employee cannot be paid unless there is a **correct** social security number on the Form.
- b. Indicate compensation as “salary” or “hourly.” Annual salary is the amount the employee will be paid for a 12-month period. For example, if the employee is paid \$15,000 for half-time work, put \$15,000 in the space provided for salary on the Form. Employees paid hourly, must submit time sheet and are paid only for hours worked.
- c. Indicate the number of hours scheduled to work in the space provided. If the employee is hired to work for a temporary period (defined as less than 6 months), indicate the expected termination date in the space provided.
- d. Race and sex must be indicated.
- e. All forms listed on the “Required Forms Attached” section must accompany the New Employee Form, unless otherwise indicated as “not applicable” (N/A) or “part-time” (P/T). **A new employee will not be processed in payroll unless all the required forms are attached to the New Employee Form.**
- f. ERISA regulations require certain benefit materials to be distributed to eligible employees within a certain time. For example, Summary Plan Descriptions must be distributed to new participants within 90 days after participation begins. By following the “Required Information” checklist, you are complying with the ERISA distribution rules.

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g. Scientist and scientific support staff must be given the research policies listed on the New Employee Form.

The Business Manager must sign and date the New Employee Form and send it, along with the required forms, to the Human Resources Office, where it is processed and delivered to Payroll within one hour of receipt. The Form and attachments must reach Payroll according to the payroll schedule in time for a specific payroll.

Rehired Employee

If an employee is rehired from a previous period of employment with Carnegie, the New Employee Form must be fully completed again, including all benefit forms and distribution of benefit books.

New Fellow Form

Completing the New Fellow Form is much like completing the New Employee Form. When a new fellow is appointed, the Payroll Office and the Human Resources Office needs certain information to enroll the fellow in payroll and health insurance. The New Fellow Form provides space to report personal data and stipend data, including a checklist of the policies and benefit booklets which must be distributed, and the appointment forms which must accompany the New Fellow Form.

A few comments about completing the New Fellow Form:

- a. Be sure all personal data is correct. There must be a name, address, start date, appointment end date, and date of birth. A new fellow (including aliens) cannot be paid unless there is a social security number, so make sure it is on the form and is correct.
- b. Indicate the method of stipend support and stipend amount. The stipend is always expressed as the amount the fellow will receive for the year, or for short-term fellows, the amount received monthly for a certain number of months.
- c. Race and sex must be indicated.
- d. Standard federal and state tax forms are not required for fellows, with few exceptions (see page five, Tax Treaties).
- e. All required forms must accompany the New Fellow Form, unless it is indicated otherwise. **A new fellow will not be processed in payroll unless all required forms are attached to the New Fellow Form.**
- f. There are laws and regulations governing benefit disclosure that requires certain material to be distributed to eligible individuals within a certain time. By

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following the “Required Information” checklist, you are complying with these distribution rules.

g. Fellows must receive the research policies listed on the New Fellow Form.

The Business Manager must sign and date the Form and send it to the Human Resources Office where it is processed and delivered to the Payroll Office. The Form and attachments must reach Payroll according to the payroll schedule in time for a specific payroll.

Reappointed Fellow

Generally, fellows are appointed for one-year terms that are usually renewed for another year or two. When a fellow’s appointment is renewed, a copy of the letter making the renewal must be sent to the Human Resources Office.

Volunteers

The use of volunteers should be kept to a minimum, however, if a volunteer is used, be sure he or she signs the following statement:

I understand that I am a volunteer for the Carnegie Institution of Washington, and that volunteers are not eligible for wages, stipends, worker’s compensation coverage, or benefits provided to paid employees and fellows. I also understand that there is no promise of employment with the Institution at the conclusion of my volunteer period.

It is the responsibility of the person using the volunteer to see that the statement is signed and submitted to the Business Office or Human Resources prior to any volunteer work being performed.

It is also critical that the names of volunteers, along with their schedules, are given to the Business Office or Human Resources in the event of an emergency.

4. Immigration Control

Purpose of the Act

The purpose of the Immigration Reform and Control Act is to remove the incentive for foreign nationals to come to the U.S. –the possibility for jobs. Thus, the Act specifically bars employers from hiring persons not authorized to work in the United States. It also places the burden on the employer to verify that each newly hired employee is authorized to work in the United States. Individuals appointed as fellows are exempt from this Act.

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Form I-9

The Business Manager must verify the identity and the right of each new employee to work in the United States, and attest that they have seen proof documents to this effect. This verification is done by completing the Form I-9. Acceptable proof documents are on the Form I-9. The completed Form I-9, along with copies of the proof documents, must accompany the New Employee Form to the Human Resources Office.

Time Limit for Completing Form I-9

The Form I-9 must be completed within 3 working days following the date of hire. If the employee is unable to produce documented proof of identity and the right to work in the United States within 3 days of hire, they must give the employer a receipt showing that they have applied for the documents. The proof document must be presented, and the Form I-9 completed, within 21 days of employment.

5. Exchange Visitor Program

J-1 Visa Sponsorship

Carnegie has been approved as a designated Exchange Visitor (EV) program sponsor and is authorized by the Department of State to sponsor the J-1 research scholar, short-term scholar and specialist categories. There are detailed regulations and procedures that govern the administration of the J-1 program. Only the basics of the program are outlined here. Detailed administrative procedures can be found in the “Immigration Procedures Handbook” in each Department’s Business Office.

The J-1 Visa

The J-1 visa category sponsored by Carnegie is used by foreign scholars to enter the U.S. as exchange visitors for the purpose of doing research in their respective fields. Admission to the United States on a J-1 visa allows the visa holder to receive wages or a stipend from Carnegie.

Please refer to the “Policy Statement on Eligibility for the J-1 and the H-1B Visas”, dated July, 2000.

General Procedure for Issuing the J-1 Visa

1. The Business Manager completes the EV information sheet which should also include any information on dependents that are accompanying the EV:
2. Send the information sheet, along with a copy of the employee’s or fellow’s appointment letter approved by the President, to Jackie Williams (Alternate Responsible Officer) in the Human Resources Office at P Street. The information on the sheet will be

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put into the SEVIS³ system and a DS-2019 form will be generated. If there are also dependents, a separate DS-2019 form will be issued for each dependent. The DS-2019 form will be signed by the Alternate Responsible Officer and forwarded directly to the EV in their home country.

3. As soon as the EV arrives at your department, notify Jackie Williams in the Human Resources office along with the **current U.S. address** of the EV. The arrival date and address are needed to validate the EV's program participation in the SEVIS system. If this is not done in a timely manner, the SEVIS system will label the EV as "invalid".

Change of Address Rules

Under the SEVIS regulations, all participants in the exchange visitor program must notify the ARO of any change in their U.S. address within 10 days of such change. If the ARO does not update the information within 21 days of receipt, revocation of the Exchange Visitor Program status will be in jeopardy.

Extension of Program Participation

The EV's participation in the program may be extended up to the limit of the permissible period of participation authorized for the specified program category. The research scholar program category is usually for a three-year period. Under a final rule, the program sponsor may extend this period an additional six months, provided the extension is necessary in order to permit the alien to complete a specific project or research activity. Prior DOS approval is not required. If you wish to extend an EV, send an e-mail to Jackie Williams in the Human Resources office at jwilliams@carnegiescience.edu with the new end program date and salary. A new DS-2019 form will be generated reflecting such extension and sent directly to the Business Manager for forwarding to the EV.

Transfer Procedures

1. The EV shall notify the current sponsor of the intention to transfer.
2. The current sponsor shall update the exchange visitor's record by processing a "transfer out" in SEVIS. The current sponsor must enter the name and program number of the transfer sponsor and the effective date of transfer. The "transfer out" process gives the transfer sponsor access to the SEVIS record of the EV.

³ SEVIS facilitates timely reporting and monitoring of international exchange visitors in the United States. SEVIS is an Internet-based application for electronically tracking and reporting on these exchange visitors in the U.S. SEVIS enables program sponsors to transmit electronic information to the Immigration and Naturalization Service and the Department of State throughout an exchange visitor's program in the U.S.

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3. The EV shall report to the transfer sponsor in a manner and at a time specified by the transfer sponsor, and shall provide updated U.S. address information.
4. The transfer sponsor shall validate the EV's participation in its program within 30 days of the effective date of transfer and update the EV's current U.S. address.

General Procedures for Traveling

When the J-1 visa holder plans to temporarily travel outside of the United States, send the DS-2019 form to the Human Resources office (Attn: Jackie Williams) about two weeks before the date of travel. The Alternate Responsible Officer (ARO) will confirm that the status of the J-1 visa holder is in good standing by signing and dating the "Travel Validation by Responsible Officer" section on the DS-2019 form and returning it to the Business Manager to forward to the visa holder. The visa holder uses the signed DS-2019 form to exit and re-enter the United States. The signature is valid for one year.

A Special Word About Health Insurance

The USIA requires every exchange visitor and his or her spouse and dependents to be covered by health insurance while participating in the exchange visitor program. The minimum coverage must be: medical benefits of at least \$50,000 per accident or illness; repatriation of remains in the amount of \$7,500; expenses associated with medical evacuation in the amount of \$10,000; and a deductible not to exceed \$500 per accident.

The program sponsor's obligation is limited to *informing* the exchange visitor that they and their accompanying spouse and dependents are required to be covered by insurance. The program sponsor is not required to pay for or provide for coverage, although they may choose to do so. Carnegie's health insurance program meets all the requirements. J-1 visa holders may participate in Carnegie's health plan as long as they are eligible to do so as outlined in Part V of this manual (Benefits Program – Eligibility for Participation). Through the Institution's general liability policy, all J-1 visa-holders are automatically covered for the required amount of repatriation and medical evacuation expenses.

A J-1 visa holder who *willfully* waives any health coverage may have his or her participation in the exchange visitors program terminated.

Changing Visa Status

Occasionally, a J-1 visa holder may change their visa category from a J to an H. If this is done, the Business Manager must report it immediately to the Human Resources Office and the Payroll Office. A change in visa category may have tax implications that the Payroll Office should be aware of.

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Program Termination

When the J-1 visa holder reaches the program limit for his or her stay, the Business Manager must complete the Termination of Visa Fact Sheet and send it directly to the Human Resources Office (Attn: Jackie Williams) for processing in the SEVIS system.

Tax Treaties

Some countries have a tax treaty with the United States and, in most cases, J-1 visa holders from these countries are not required to pay employment taxes for the first two years of their stay. J-1 visa holders categorized as fellows and claiming exemption from taxes must complete Form W-8BEN. J-1 visa holders categorized as employees and claiming exemption from taxes must complete Form 8233. For all J-1 visa-holders, complete the statement of residence for this country (call the Payroll Office for this form), and the substantial presence test form. Send all to the Human Resources Office along with the New Employee Form or New Fellow Form.

6. Benefits Program

The employee benefits section of this procedures manual is not intended to convey the detailed plan provisions of each benefit program; the plan SPDs and plan brochures are available for that purpose. You are urged to familiarize yourself with the individual plan documents and brochures, and to call the Human Resources Office if you have questions about any plan provisions.

Eligibility for Participation

Eligibility for participation in certain Carnegie's benefit plans depends upon an individual's 1) appointment category (employee or fellow), 2) hours scheduled to work on a regular basis, and 3) whether or not the individual is considered a temporary employee. Temporary is defined as appointed to work for a period of less than six months.

The following describes the benefit plans in which specific categories of employees and fellows are eligible to participate.

1. **Category - All Employees**
 - Supplemental Retirement Annuity Plan
 - FlexServe
 - Travel Accident Plan
 - Employee Assistance Program
 - Workers Compensation
 - State Disability Insurance (California only)
 - Credit Union (East Coast only)

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2. **Category** - All Employees – **except** individuals appointed on and after April 1, 1989 as a postdoctoral or predoctoral associate for purposes of training in his or her field of research whose employment is incidental to his or her graduate or postgraduate educational program
 - Retirement Plan

3. **Category** - Employees scheduled to work 20 or more hours per week on a regular basis and who are hired to work for a period of six or more consecutive months
 - Health Insurance
 - Life Insurance
 - Elective Life Insurance
 - Dental Insurance
 - Total Disability Insurance
 - Pre-Tax Premium Plan
 - Annual Leave
 - Sick Leave
 - Parental Leave
 - Holidays

4. **Category** - All Fellows
 - Travel Accident Plan
 - Employee Assistance Program
 - Worker's Compensation
 - Credit Union

5. **Category** - Fellows appointed for 20 or more hours per week on a regular basis and who are appointed for a period of six or more consecutive months.
 - Health Insurance
 - Dental Insurance
 - Sick Leave
 - Parental Leave

6. **Category** - All Visiting Investigators
 - Travel Accident Plan

 - Worker's Compensation (unless otherwise covered by their home institution)

Effective Dates for New Enrollments

The effective date for new enrollments is as follows:

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the date of employment

health insurance

retirement

state disability (CA only)

annual and sick leave

total disability

flexfund

travel accident

employee assistance program

worker's compensation

the first of the month which fall on or next follows the date of employment

dental insurance

group life insurance

the first of the month, provided the agreement form is signed and received before the payroll cut-off date, otherwise, the first of the following month

supplemental retirement annuity

for amounts in excess of \$30,000, the date determined by the insurance company following their review of the questionnaire, otherwise, if less than \$30,000, the first of the month following the date of employment

elective life insurance

Deductions for Benefit Coverage

Regular Deductions

Health Insurance, Dental Insurance, and Elective Life Insurance premium contributions are deducted one month in advance of the coverage (for example, July deductions pay for August coverage). FlexServe, Supplemental Retirement Annuity, State Disability Insurance (California only), and Credit Union deductions (or “reductions” as in the case

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of the Supplemental Retirement Annuity and FlexServe) are representative of the current pay period from which they are deducted.

There are no employee/fellow contributions for the Retirement Plan, Life Insurance, Total Disability Insurance, Travel Accident Plan, Employee Assistance Program, Worker's Compensation, Annual and Sick Leave, Parental Leave, or Holidays.

Retroactive Deductions

Retroactive deductions occur generally for two reasons:

- 1) New employee or fellow – Typically, there is a retroactive health, dental or elective life deduction in the first paycheck or stipend for a new employee or fellow. This is because health, dental, and elective life insurance contributions are deducted one month in advance of the coverage. For example, if an individual is hired on May 6, health coverage is effective May 6. The May 15 paycheck would include the retroactive deduction for May coverage plus the normal deduction for the May 15 paycheck (for coverage for the first half of June).
- 2) Correction of retroactive errors in benefit deduction amounts – Quarterly, the Human Resources Office conducts an audit of the benefit deductions for each employee and fellow. Occasionally, an incorrect deduction is found, and therefore a retroactive deduction or refund may be necessary to correct the problem. The Business Manager will be notified if this happens. If an incorrect benefit deduction is discovered by an employee, fellow, or Business Manager, he or she should immediately advise the Payroll Office or Human Resources Office.

Direct-Pay Fellows Premium Contribution Payments

When an individual is officially appointed as a Carnegie Fellow, and receives his or her stipend directly from the funding agency, thereby bypassing Carnegie's payroll system, Carnegie is unable to collect health or dental plan premium contributions because there is no stipend check generated by Carnegie from which to make a deduction. Therefore, the fellow must pay his or her share of the benefit premium contribution by personal check. It is preferred that payments of this kind be made quarterly and represent three months of coverage, however, monthly payments may also be made. Checks should be made payable to Carnegie Institution of Washington and mailed to the Human Resources Records Coordinator, who keeps track of amounts received and due. Each Business Manager having such a fellow in his or her department is expected to remind the fellow when premium amounts are due.

7. Changing Employment Conditions

There are many reasons for a change in employment conditions. Examples include (but are not limited to) changes in salary, tax exemptions, address, incorrect personal data, benefit plan participant, and special circumstance changes. Not all changes need to be accompanied by a Payroll Change Form.

The Human Resources Office must receive any changes which directly affect an individual's paycheck or stipend no later than the payroll cut-off date. This date is generally six working days prior to payday.

Salary and Stipend Changes

Generally, for most employees and fellows, salaries and stipends change once each July 1. For each employee and fellow having a salary or stipend change, a Payroll Change Form must be completed by the Business Manager, approved by the Director, and received by the Human Resources Office by the pre-established payroll cut-off date. For annual salary changes, the payroll cut-off date is different from the regular cut-off date. All Payroll Change Forms changing an individual's salary or stipend **must also be signed by the Department Director.**

"Mid-year" salary or stipend changes (those other than July 1 changes) must also be signed by the Department Director and reach the Human Resources Office by the payroll cut-off date that corresponds to the effective date of the salary change.

Benefit Plan Changes

Changes in benefit plan participation can be grouped into three categories - 1) changes allowed only by open enrollment, 2) changes allowed any time, and 3) no changes permitted.

1. Changes Allowed by Open Enrollment –

Health Insurance – Generally, enrollment after declining when first eligible, or adding eligible dependents (excluding "new" dependents), is allowed only during the annual Open Enrollment period (a two-to-three-week period in the month of June).

Announcement of the Open Enrollment period comes from the Human Resources Office. For employees and fellows making a change, the enrollment or change form should be sent to the Human Resources Office by the end of the Open Enrollment period. The effective date of coverage is the beginning of the new Plan Year (August 1). The Open Enrollment is timed so that retroactive deductions are not necessary; however, the deductions are one month in advance of the coverage (see "Deductions for Benefit Coverage" in Section VI).

(For more on health insurance changes, see "Changes Allowed Any Time" of this section.)

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Dental Insurance – Enrollment after declining when first eligible, or adding eligible dependents (excluding “new” dependents), is allowed only during the annual Open Enrollment period (a two-week period in the month of June). Announcement of the Open Enrollment period comes from the Human Resources Office. For individuals making a change, the enrollment or change card should be sent to the Human Resources Office by the end of the Open Enrollment period. The effective date of coverage is the beginning of the new Plan year (August 1). The Open Enrollment is timed so that retroactive deductions are not necessary; however, the deductions are one month in advance of the coverage (see “Deductions for Benefit Coverage” in Section VI).

FlexServe – Enrollment in FlexServe, or changes in the amount deposited is allowed only during the annual Open Enrollment period (a two-to-three week period in July). Announcement of the Open Enrollment period comes from the Human Resources Office. For employees enrolling in or making a change, the election form should be sent to the Human Resources Office by the end of the Open Enrollment period. The effective date of participation is the first day of the new Plan Year (August 1). Deductions begin with the first pay period following the effective date (August 15).

Payroll Change Forms are not required to accompany Open Enrollment changes. (For more on FlexFund changes, see “Changes Allowed Any Time” of this section).

2. Changes Allowed Any Time

Health Insurance – Limited circumstances exist that allow an individual to make health insurance changes outside of the Open Enrollment period. These circumstances are called “status changes” and include 1) change in the employee’s legal marital status, including marriage, divorce, legal separation, annulment, or spouse’s death; 2) a change in the number of the employee’s dependents, including birth, adoption, placement for adoption, or death of a dependent; 3) a change in employment status of the employee, spouse, or dependent, including the termination or commencement of employment, reduction or increase in the hours of employment, a switch between part-time and full-time work, commencement or return from an unpaid leave of absence, or a change in the location of the worksite; 4) instances in which a dependent satisfies or ceases to satisfy requirements for unmarried dependents, including the dependent exceeding the plan’s upper age limit, or gaining or losing student status; 5) a change in the residence of the employee, spouse, or dependent; 6) the entitlement to or loss of Medicare or Medicaid for the employee, spouse, or dependent; 7) a judgment, decree, or order resulting from a divorce, legal separation, annulment, or change in legal custody that requires change in the accident or health coverage for an employee’s child or foster child; and 8) a significant change in the cost or coverage of the employee’s plan and the plans of the employee’s spouse and dependents, including open enrollment periods in the plans of the spouse or dependents that are different from the open enrollment period of the employee’s plan.

The health care change must be made within 30 days of the family status change.

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When adding a new dependent, the enrollment form, accompanied by a Payroll Change Form, is sent to the Human Resources Office. To remove a dependent, or to drop coverage all together, only a signed letter from the employee, indicating the reason, is sent to the Human Resources Office.

The effective date of the health insurance change depends on the nature of the change. For example, a new spouse or child's coverage is effective as of the date of the marriage or birth. Retroactive deductions will be necessary. Removal of a dependent (for reasons other than attaining the plan's upper age limit) is effective the first of the month following the month that represents the month for which premiums are paid (for example, if deductions have been taken out of October payroll or stipend checks, coverage is inclusive of November and therefore ends December 1). The effective date for removal of a child who has reached the plan's upper-age limit is the end of the month in which the trigger birth date occurs. Depending on when the Human Resources Office was notified of the change, and in some cases, the circumstances surrounding the timing of the notification, a refund of premium may be in order. Because plan provisions vary from plan to plan and are subject to frequent change, please consult the benefits office before making a change.

FlexServe – Limited circumstances exist that allow an individual to make a change in his or her FlexFund deposit without waiting until the Open Enrollment period. Such circumstances are called “status changes” and include 1) change in the employee's legal marital status, including marriage, divorce, legal separation, annulment, or spouse's death; 2) a change in the number of the employee's dependents, including birth, adoption, placement for adoption, or death of a dependent; 3) a change in employment status of the employee, spouse, or dependent, including the termination or commencement of employment, reduction or increase in the hours of employment, a switch between part-time and full-time work, commencement or return from an unpaid leave of absence, or a change in the location of the worksite; 4) instances in which a dependent satisfies or ceases to satisfy requirements for unmarried dependents, including the dependent exceeding the plan's upper age limit, or gaining or losing student status; 5) a change in the residence of the employee, spouse, or dependent; 6) the entitlement to or loss of Medicare or Medicaid for the employee, spouse, or dependent; 7) a judgment, decree, or order resulting from a divorce, legal separation, annulment, or change in legal custody that requires change in the accident or health coverage for an employee's child or foster child; and 8) a significant change in the cost or coverage of the employee's plan and the plans of the employee's spouse and dependents, including open enrollment periods in the plans of the spouse or dependents that are different from the open enrollment period of the employee's plan.

The amount of the change for the deposit is limited. Therefore, please refer to the Plan's SPD for more information about this limited change opportunity.

If a change in an employee's FlexServe amount is in order, send the FlexServe change form to the Human Resources Office. A Payroll Change Form is not required.

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The effective date of the change is the next upcoming pay period, provided the change form is received by the

Human Resources Office by the payroll cut-off date that corresponds to the FlexServe change.

Supplemental Retirement Plan (SRA) – Beginning a new salary reduction agreement, and increasing or decreasing the amount of an individual’s supplemental retirement reduction is allowed once a calendar-quarter. There are no restrictions on the amount an individual is allowed to increase or decrease his or her contribution, provided that the total contribution limit for the year for that individual is not exceeded.

If an employee makes a change in his or her Supplemental Retirement Annuity reduction amount, send the CIW Salary Reduction Agreement with the new amount to the Human Resources Office. A Payroll Change Form is not required.

The effective date of the change is the first pay period of the month, provided the signed agreement is received before the first payroll cut-off date, otherwise, the first of the following month.

To change the beneficiary on an SRA contract, complete the TIAA CREF Change of Beneficiary Designation Form and forward it immediately to TIAA CREF.

Dental Plan - Limited circumstances exist that allow an individual to make dental insurance changes outside of the Open Enrollment period. These circumstances are called “status changes” and are the same circumstances as those described in the Health Insurance part of this section (marriage, divorce, birth, change of residence or workplace, etc.).

The effective date of coverage depends on what the change is. When adding a new dependent or new spouse, the effective date is the date of birth or marriage. Removal of a dependent is effective the first of the month following the month representative of the premiums paid to date for such dependent.

The dental plan change must be made with 30 days of the effective date of the triggering event.

When adding a new dependent, the enrollment form, accompanied by a Payroll Change Form, is sent to the Human Resources Office. To remove a dependent, or to drop coverage all together, only a signed letter from the employee, indicating the reason, is sent to the Human Resources Office.

Retirement Plan – Changes in a participant’s allocation of contributions among the TIAA CREF funds, or the transfer of accumulations between the funds may be made at any time by calling TIAA CREF at (800) 842-2252. Changes may also be made on-line at www.tiaa-cref.org.

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To change a participant's beneficiary designation, complete the TIAA CREF Change of Beneficiary Designation Form and forward it immediately to TIAA CREF at the address on the form. The effective date of the beneficiary change is the date the form is signed by the participant.

Group Life Insurance – The only change that can be made for life insurance is the beneficiary designation. To change the beneficiary, complete a new beneficiary designation form and send it to the Human Resources Office. It is stapled to the previous form. The beneficiary form with the most current date is the designation that is in effect at that time.

Elective Life Insurance – Changes in the value of the policy can be made during open enrollment. To change the beneficiary, complete a new beneficiary designation form and send it to the Human Resources Office. It is stapled to the previous form. The beneficiary form with the most current date is the designation that is in effect at that time.

3. No Changes – The following benefit plans require no change; there are no dependents to add or remove, no deductions to change, and no beneficiary information to file.

Travel Accident Plan	Annual Leave
Employee Assistance Program	Sick Leave
Total Disability Plan	Parental Leave
Worker's Compensation	Holidays
Pre-Tax Premium Plan	State Disability Insurance (CA only)

Personal Changes

Personal changes include (but are not limited to), such events or items as address change or tax status change. Depending on the change, additional forms may be required to be attached to the Payroll Change Form. For example, tax exemption changes must have a signed and dated W-4; all personal statistics changes must have a proof document attached. Address changes can be forwarded to the Human Resources Office by Payroll Change Form, or by e-mail.

Send the Payroll Change Form and any other required forms to the Human Resources Office.

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Special Circumstance Changes

Changing from Fellow to Employee or Visa Versa – In some cases, an individual’s status may change from fellow to employee or from employee to fellow. Following are the steps to take in such a case:

- a) prepare a Payroll Change Form terminating the “old” employee or fellow status (see “Terminating Employment”)
- b) prepare a New Employee Form or New Fellow Form for the new employee or fellow status (see “New Appointments”)
- c) send **both** the terminating Payroll Change Form and the New Employee Form or New Fellow Form to the Human Resources Office in the same envelope.

Be sure to check the space on the terminating Payroll Change Form that the individual is changing from fellow to employee or visa versa and that any existing health or dental coverage should not be terminated. Indicate in the space provided for health insurance and dental insurance on the back of New Employee Form or New Fellow Form that applications for such coverage are already on file.

For individuals changing from fellow to employee status, be sure to check the box on the New Employee Form that the individual is changing from fellow to employee. Also include a completed TIAA CREF Retirement Plan Application (except for PostDoc Associates), a Life Insurance beneficiary form, and any other optional benefit applications as necessary. It must also be checked-off on the New Employee Form that all the required Summary Plan Descriptions were given to the individual. The Form I-9 must also be completed. (Refer to “New Appointments” for information on how to complete a New Employee Form or New Fellow Form).

For individuals changing from employee status to fellow status, participation in benefit programs exclusively for employees (such as Retirement, Life Insurance, Total Disability, FlexServe, etc.) are terminated. Be sure to check the box on the New Fellow Form that the individual is changing from an employee to a fellow.

Leaves of Absence (except Annual Leave) – there are several types of leaves of absence, including family leave, sick leave, parental leave, unpaid leave, military leave, and sabbatical leave. Many of the leaves should be considered under the Family and Medical Leave Act (FMLA). The policies regarding each leave can be found in the booklet “Policies, Practices, and Benefits.” Here will be described the procedure to follow for such leaves.

For parental leaves, family leaves, sick leaves, and unpaid leaves in excess of 30 days, a Leave of Absence Form must be completed by both the employee and Business Manager, and mailed to the Human Resources Office. If the leave is because of pregnancy or illness, a completed Physician’s Statement of Disability must accompany each Leave of Absence Form. If the leave is for a non-medical reason, a detailed letter of explanation must accompany the Leave of Absence Form.

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To complete the Leave of Absence Form, indicate the employee's name, department, reason for the request, dates of the requested leave, and whether this request is an extension of a previously authorized leave. Also, indicate whether the leave is covered by the Family Medical and Leave Act (FMLA). Usually, in the case of maternity or illness, the beginning date of the leave should correspond with the date the physician indicates on the statement of pregnancy or illness as the beginning date of absence due to disability. The employee must sign and date the leave request.

The Business Manager determines the dates of paid leave and/or unpaid leave, by completing the bottom half of the Leave of Absence Form. First, determine the number of working days (Monday through Friday) of authorized leave as indicated by the Physician's Statement of Disability; put this number in the space provided. For leaves due to non-medical reasons, this figure should be the number of working days of approved leave. Next, indicate the number of sick leave and annual leave days available to the individual as of the beginning of the requested leave. Finally, convert the number of authorized days of absence into dates of paid sick leave, paid annual leave, paid parental leave, and/or unpaid leave (whichever applies), and put these dates in the spaces provided. For absences due to disability, make sure that the dates for paid sick leave do not exceed the number of days authorized by the physician. If the available number of sick days are used up and the employee is still disabled as certified by his or her physician, or if the employee is requesting days beyond the period of certified disability, available annual leave days, or unpaid leave may be used, but never to exceed the period of requested leave.

For non-medical leaves, only annual leave or unpaid leave may be used.

The Leave of Absence Form must be signed by the Business Manager and Department Director, and sent to the Human Resources Office. If the leave results in any unpaid time send a Payroll Change Form with the Leave of Absence Form, indicating the date the salary goes to "zero" for the unpaid portion of the leave.

Military leaves and leaves to pursue activity associated with or beneficial to the Institution's work (sabbatical leave), must be fully documented. Copies of all related correspondence, including the final letter of approval, with all dates and instructions regarding compensation, etc., are to be sent to the Human Resources Office. The Human Resources Office will prepare the Payroll Change Form accordingly and send a copy to the Business Manager. Leave of Absence Forms are not needed for sabbatical leaves.

8. The Fair Labor Standards Act

Payment of Overtime

Carnegie complies with all federal and state wage and hour 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 per week (for California employees, 8 hours per day or 40 hours per week).

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For overtime work, employees must obtain advance authorization from their supervisor before work begins. A supervisor may approve the payment of overtime, or (except for California employees) may require that an employee work fewer hours at some other time during the same week, so the total number of hours worked for the week does not exceed 40. Some departments (those with less than a 40-hour workweek), pay overtime for hours worked in excess of the employee's **normal** workweek; this is acceptable if the department wishes to do this.

Holidays that fall within a work week are considered "regular work days" for purposes calculating a 40-hour work week, whether or not work was actually performed. If an employee is required to work on a holiday, the hours he works on the holiday are paid as overtime (assuming that he works regular 8-hour days during the rest of the week).

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 per week (or in the case of California, over 8 hours per day or 40 hours per week). However, depending on circumstances and at the discretion of the director, exempt employees may be paid an extra 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.

To record overtime for purposes of payment, the employee must complete a timesheet indicating the overtime hours worked for that week. All timesheets must be signed by the employee and his or her supervisor. Send the timesheet to Payroll for processing.

Exemptions from overtime requirements depend on the nature of the responsibilities of the position.

Record Keeping Requirements

The Fair Labor Standards Act (FLSA) requires Carnegie, (like other employers), to maintain certain wage and hour records for each employee.

The following information must be kept for **all employees**, both exempt and non-exempt:

1. name in full and identifying payroll number (*found in personal and payroll records*)
2. home address (*found in personnel and payroll records*)
3. date of birth (if under age 19, need proof of age)(*found in personnel and payroll records*)
4. gender (*found in personnel records*)
5. occupation in which employed (*found in personnel records*)
6. time of day and day of week on which employees' workweek begins (*found on New Employee Form*)

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7. the regular hourly rate or other basis on which wages are paid in sufficient detail to permit calculation of wages for each pay period (*found in personnel and payroll records*).

In addition to items 1 through 7, the following records must also be kept for **all non-exempt** employees.

8. hours worked each workday and total hours worked each week (*each department has developed a method by which to record this information*)
9. total straight-time wages per pay period (*found in payroll records*)
10. total overtime pay in excess of straight-time pay (*found in payroll records*)
11. total additions to and deductions from wages each pay period, and the nature of the items making up the additions and deductions (*found in payroll records*)
12. total wages each pay period (*found in payroll records*)
13. date of each payment (*found in payroll records*)

No definite form of record keeping is prescribed. However, the records must be accurate, legible, and accessible for inspection. The payroll records listed above must be kept for three years after termination and are stored at the P Street location.

9. Pay Periods

Employees

Carnegie pays its employees on the 15th and the last day of each month. Should this day fall on a weekend or a holiday, the payday will be the nearest business day receding the scheduled date.

Carnegie paychecks are for actual periods. The paycheck received on the 15th is for work performed from the 1st through the 15th of the month. The paycheck received on the last day of the month is for work performed from the 16th through the last day of the month.

Employee W-2 forms are issued in January. P Street has until January 31st to put the forms in the mail.

Fellows

Carnegie Fellows are paid a stipend once per month on the last day of the month. Should this day fall on a weekend or a holiday, payday will be the closest business day before the scheduled date. The stipend payment is for the entire month.

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All Fellows must have a Social Security number. However, Social Security and payroll taxes are not withheld from Fellow stipends. It is the responsibility of the Fellow to file quarterly estimated tax returns and pay any applicable Social Security taxes. It is the responsibility of each foreign Fellow to comply with the tax laws of his or her home country and any tax treaties with the United States.

By January 31st of each year, Carnegie will issue each Fellow a Form 1099 or a Form 1042s indicating the stipend paid during the previous calendar year. Any tax questions should be directed to the Internal Revenue Service or to a personal tax advisor. The Institution cannot assume the liability of providing tax guidance.

10. Job Descriptions

Job descriptions clarify and confirm job responsibilities, provide information about knowledge, education, and skills needed for each job, and provide a basis for job evaluation and organizational structure. Job descriptions are also often used as supporting documents against complaints by establishing legal compliance with such government legislation as the Fair Labor Standards Act, the Americans with Disabilities Act, and others.

There are two types of job descriptions. The “specific” job description is a statement of all the duties and responsibilities assigned to one specific person. It is usually detailed and comprehensive, providing a good basis for job evaluation, training, and orientation. This type of job description requires an effort to keep it useful and up-to-date. The “generic” job description is written for a group of similar or near similar jobs, in broadly stated, general terms without identifying specific tasks and responsibilities. The generic job description is a useful tool for recruiting and organizational planning, but is not useful for job evaluation and other comparison purposes.

A job description must be on file for each employee. It is the responsibility of the employee to understand his or her job description and to speak to their supervisor if there are questions.

Written job descriptions are required at all departments.

11. Performance Reviews

A performance appraisal system is a useful tool for evaluating and developing an individual as well as pinpointing performance problems and developing a plan to correct them. Employees at all levels function better in an atmosphere where all are encouraged to perform well and are appraised fairly.

Scientific Staff Members

A hallmark of twentieth century science is its extraordinary rate of accumulation of sound knowledge and understanding. Individual scientists are thus profoundly challenged by

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changing ideas and methodologies throughout their working lifetimes. The expectation of the Carnegie Institution of Washington is that through its Departments individual scientists will find an atmosphere congenial to meeting this difficult challenge. The Institution's continuing potential for significant scientific and educational work, also depends on the quality and vitality of the staff. The Institution must be attentive to maintaining individual and collective scientific excellence, as well as flexibility. For these purposes, individual scientists, Department Directors, and the Institution must depend on constructive, critical, and discreet reviews of scientific work.

Department directors will make regular periodic reviews of the scientific work of each regularly appointed Staff Member. Newly appointed Staff members are reviewed no later than the fifth year after joining the Institution. At the discretion of the Director, subsequent reviews are expected to occur between the fifth and tenth year, but may be carried out earlier.

The Directors have broad discretion in determining the review process. Soliciting evaluations from Carnegie staff and other outside colleagues should be a component of the evaluation. In general, the review should focus on the originality and level of excellence of the Staff Member's research and his or her contributions to the Institution's education mission.

At the conclusion of the review, the Director notifies the President, in writing, of the review process and of its results, as well as the Director's conclusions. After consultation with the President, the Director will discuss the results of the review with the Staff Member. These conversations should be constructive, collegial, and forthright. The strengths and weaknesses of the Member's research program should be discussed. Typically, the result of the review is expected to be reaffirmation of the achievements and promise of the scientist. In those instances where the review points out significant concerns about the excellence and originality of the Staff Member's program, the Director may recommend a shift in scientific emphasis. In such instances, the Director and Staff Member should agree on an appropriate date for a subsequent review, generally within five years. Occasionally the concerns raised by a review will suggest to the Director that the Staff Member, Department, and Institution would benefit if the Staff Member moved to a different environment. In such instances, a timely departure date should be determined, taking into account the Staff Member's prospects and needs.

This review policy is not intended to discourage or replace informal discussions between a Director and a Staff Member regarding the Staff Member's research.

Technical and Support Employees

For technical and support employees, each department is responsible for developing a performance appraisal program that is best suited to the department's needs.

A performance review is written annually for each employee. The evaluation should address the following with regard to the employee's performance: work

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accomplishments, knowledge and skills, decision making and problem solving, ability to meet guidelines, and quality of work.

Employees who disagree with their evaluation may document their disagreement and attach it to the evaluation.

12. Workplace Issue Resolution

Carnegie seeks to establish and maintain standards of employee performance and conduct, as well as supervisory practices, which will support effective operations and promote staff morale. Such practices include an employee complaint procedure which incorporates administrative action when employee conduct or performance problems arise.

Corrective Action

Depending on the circumstances involved in each situation, Carnegie may choose to take corrective action involving any of the following steps, up to and including, immediate discharge.

Oral Warning. The employee may receive an oral warning as a result of performance related issues or inappropriate conduct. If the situation is not corrected within a reasonable period of time, as specified in the warning, the oral warning may be repeated or additional steps taken.

Written Warning. The employee may receive a written warning. If the situation does not become satisfactory within a reasonable period of time, as specified in the warning, or if other performance-related issues or inappropriate conduct occur, the employee may receive another written warning or additional steps may be taken.

Discharge. For performance-related issues or inappropriate conduct that Carnegie deems sufficiently serious or for continued failure to respond appropriately to prior corrective action, the employee may be discharged.

Complaint Resolution

Carnegie encourages open and honest communication between an employee and his supervisor. The employee and supervisor can resolve most conflicts and differences by directly confronting the issue and jointly exploring alternatives. However, any employee with a complaint about a supervisor or management action not otherwise resolved, may bring such complaint first to the attention of the supervisor who is immediately senior to the supervisor who took the action in question or to Human Resources. The employee may continue to bring the complaint successively to the attention of the most senior manager(s) until the matter is resolved.

13. Terminating Employment

Termination of employment or appointment with Carnegie Institution can be either voluntary or involuntary.

Voluntary Termination – Separation from service by reason of voluntary termination is when an employee or fellow elects to leave Carnegie for personal or career reasons. Examples of voluntary reasons include (but are not limited to) a new job, re-locating out-of-area with spouse, re-enrolling in school, and retirement. A letter of resignation is required, stating the reason for the voluntary termination, the last day of work, and a forwarding address for future Carnegie mail. Advance notice of two week (10 working days) is expected.

Involuntary Termination – Involuntary termination occurs when an employee or fellow leave Carnegie by reason not of their choosing. Examples of involuntary termination include (but are not limited to) reduction in force, poor performance, excessive absenteeism, and dishonesty.

Involuntary termination because of reasons such as poor performance and excessive absenteeism should be preceded by documented progressive discipline. Generally, but not without qualification, first offenses get oral warnings, second offenses receive written warnings, and continuing offenses (or serious first or second offenses) are punishable by suspensions or discharge. Objective, specific, detailed, and chronological documentation of every step of the disciplinary procedure is vital.

Termination Procedure

Once an employee or fellow has voluntarily resigned, or is involuntarily terminated, the Business Manager must send a Payroll Change Form to the Human Resources Office, completed as follows:

- a) The termination date is always the last day worked – so, if an individual's last day on the job is October 14, 2001 – the termination date for this individual is October 14, 2001.
- b) All accrued and unused annual leave due the terminating employee (fellows do not accrue annual leave) is indicated on the Payroll Change Form in the space provided – compensation for these days will be paid as part of the employee's final paycheck.
- c) Documentation indicating the reason for termination must be attached to the Payroll Change Form – examples of such documentation include a letter of resignation from a voluntary termination, or copies of the written warnings and termination notice for an involuntary termination.
- d) If the employee or fellow has changed their place of residence, the new address, if known, should be indicated on the terminating Payroll Change Form.

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- e) Send the terminating Payroll Change Form and related documents to the Human Resources Office as soon as the annual leave balance is known – the sooner the Human Resources Office receives the Payroll Change Form, the more likely benefit participation can be canceled without retroactive action or refunds. The Human Resources Office will forward the Payroll Change Form to the Payroll Office. It is important that the terminating Payroll Change Form reach the Payroll Office before the payroll cut-off date in which the termination is effective, otherwise, an incorrect paycheck or stipend may be issued.

Status of Benefits Following Termination

Upon receipt of a termination Payroll Change Form, the Human Resources Office sends the terminating employee or fellow a letter that describes the status of the benefit programs in which they are enrolled, as well as information about their right to continue in certain benefit plans under COBRA. Below are the dates by which participation and coverage terminates for each plan:

<p>Health Insurance Dental Insurance</p>	<p>Coverage remains in force through the month in which an individual terminates. Because deductions are withheld one month in advance of the coverage, and depending upon how soon the Human Resources Office is notified of the termination date, a premium refund may be appropriate as part of the last paycheck.</p> <p>An individual whose health or dental coverage ends (for any reason other than gross misconduct) is offered continuation of coverage for a limited period of time, paying the full premium plus 2%. This is called COBRA coverage and is described in the letter sent to each eligible individual advising them of their COBRA rights.</p> <p>The COBRA letter is sent within 14 days after the Human Resources office receives the terminating Payroll Change Form.</p> <p>If the employee or fellow elects COBRA coverage, payment of the COBRA premiums is coordinated between the eligible individual and the Human Resources Office – the Business Manager does not need to be involved in this process.</p>
<p>Group Life Insurance Elective Life Insurance</p>	<p>Participation or coverage under any of these plans ends on the individual’s date of termination. There are no deductions and therefore no refunds to be made.</p>

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<p>Total Disability Insurance</p> <p>Travel Accident Plan</p> <p>Employee Assistance Program</p> <p>Workers' Compensation</p> <p>Pre-Tax Premium Plan</p> <p>State Disability Insurance (CA only)</p> <p>Annual Leave, Sick Leave, and Holidays</p>	<p>The life insurance plan has a conversion provision which is made available to the individual when the termination letter describing benefit status is sent.</p>
<p>Flex Serve</p>	<p>Salary reductions end with the last paycheck. After termination, claims may be made for a limited period of time for eligible expenses incurred before the date of termination.</p> <p>Continuation of after-tax contributions is permitted, called COBRA coverage, to allow the individual to be reimbursed for eligible expenses incurred after the date of termination. Refer to the Plan's Summary Plan Description for more detail.</p>
<p>Retirement</p>	<p>If the terminating employee is not vested, CIW contributions end with the last paycheck and the account balance is forfeited. Forfeited contributions are held in a suspense fund to offset future contributions.</p> <p>If the terminating employee is vested (having been paid for at least 1,000 hours in the 12-consecutive month period beginning with date of employment), CIW contributions and participation end with the last paycheck; however, the account is not forfeited, but continues to participate in the performance of the funds chosen by the employee. Refer to the Plan's Summary Plan Description for more detail.</p>
<p>Supplemental Retirement Annuity</p>	<p>Salary reductions and participation end with the last paycheck. However, because the SRA is individually-owned and fully vested, participation continues. Refer the Plan's Summary Plan Description for more detail.</p>

14. Educational Assistance

It is Carnegie's policy to encourage the educational development of employees and to reimburse certain costs of educational courses successfully completed. Carnegie recognizes the advantages of offering such opportunities to those employees whom have already established an employment record with the Institution.

Eligibility guidelines:

1. All full-time employees, with at least 6 months of employment with the Institution, are eligible for educational assistance. The individual must be a full-time employee during the entire period of the course of study.
2. The direction of the study or class must either enhance the employee's current position, or enable the employee to become eligible for a more advanced position.
3. The educational requirements should not result in reduced job performance.

Each class must be taken for credit at an accredited college, university, vocational school, or organization providing continuing professional education or licensing, and must be limited to one of the following types of programs:

1. Program leading to an Associate's, Bachelor's, Master's, or PhD Degree, if the employee does not currently hold that degree.
2. Special study courses at accredited institutes of learning.
3. Acquisition or maintenance of a professional license or certificate.

Approved enrollment will be limited to two concurrent classes (neither during regular working hours), so as not to affect employee job duties.

Procedure

An "Educational Assistance Application" must be completed and submitted, along with a class description, to the Business Office or Human Resources before registering for any class. Registration deadlines should be indicated on the application. Any penalty for late registration (other than as a result of action by Carnegie) is not reimbursable.

The application will be discussed with the Director for consideration. A copy of the executed application form will be returned to the employee indication Carnegie's decision. This decision is subject to budget availability and funding.

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Reimbursement

Upon completion of a class, the employee must submit the official course grade received and proof of payment. Reimbursement will be made for tuition and textbooks required for the course. Payments that are made for library fees, transportation, parking, stationary supplies, or other special charges, are not reimbursable, except in cases where Carnegie has requested that the individual take the certain class.

In some instances, Carnegie may agree to prepay the fees for an individual. This will be determined on an individual basis.

All reimbursements, and how much, are subject to the availability of Carnegie funds.

Reimbursements will be made for the allowable costs based upon successful completion (generally a grade of C or better, to be determined at the discretion of the Director) of a class for which prior Carnegie approval has been obtained. The level of reimbursement will be determined on a case-by-case basis. However, if Carnegie has requested that the employee attend a class or workshop, Carnegie will pay the full cost of tuition, as well as the cost of all books and class material.

Should an individual who has received educational assistance terminate employment with Carnegie within one year of receiving such funds, the amount of the educational assistance received must be returned to Carnegie.

All taxes owed for educational benefits are the responsibility of the employee receiving the benefits. In some instances, the employee's wage and tax statement may be amended to include the amount of the educational assistance.

15. Notification Procedures

New Appointments and Payroll Changes

All new appointments and all payroll changes must be mailed, delivered, faxed, or e-mailed to the Human Resources Office so that the new appointment or change can be duly recorded in the Human Resources Information System. The Human Resources Office records the date and time the document is received, and delivers the item to the payroll office usually within one hour. The time of delivery to the payroll office is also recorded.

Notice of Death or Potential Long Term Disability

Death – If an employee or fellow dies while in active service with Carnegie, contact the Manager of Human Resources & Insurance immediately. There may be life insurance or travel accident claims to make, as well as retirement plan accumulations to process and

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beneficiaries to notify. Instructions regarding how to handle termination forms and other related matters will be given when the Human Resources Office is notified.

Long Term Disability – If it is suspected that an ongoing illness or medical condition may be severe enough for an employee to be absent from work for a period of at least six consecutive months, the Business Manager must notify the Manager of Human Resources & Insurance around the middle of the third month of disability. The employee may be eligible for long term disability benefits beginning with the first of the month following the six consecutive months of disability (refer to Your Group Long Term Disability Insurance Certificate for more details). Instructions regarding any further action will follow the notification to the Human Resources Office.

16. Worker's Compensation

All employees, fellows, and visiting investigators are protected by Carnegie's Worker's Compensation policy for claims arising from work-related injuries.

Required Posting

Notice of compliance with local Worker's Compensation laws is required to be posted in a conspicuous location frequented by all covered individuals. Typically, this location is a bulletin board, or similar arrangement, where important announcements or notices are displayed. Each year, following Carnegie's renewal of its Worker's Compensation policy, new posters are sent to each department with instructions for posting.

Accident or Injury Claims

A claim should be filed immediately when an accident or injury occurs that results in medical attention, or if there is a good chance the accident or injury could result in future medical attention.

Send the completed claim form, along with a short explanatory cover letter to:

Mr. Burke Hayes

B.F. Saul Insurance

7501 Wisconsin Avenue, Suite 1500

Bethesda, Maryland 20814

(phone) (301) 986-6323

A copy of the claim, as well as any appeals, suits, or other related events, should be mailed to the Manager of Human Resources & Insurance.

17. OSHA

OSHA (Occupational Safety and Health Act of 1970) requires each employer establishment to maintain a log of all recordable work-related injuries and illness. The OSHA Form #300 is used for this purpose. Instructions for completing the OSHA Form #300 are located on the back of the form. A portion of the form is required to be posted in a place or places where notices to employees are customarily posted. This copy must be posted no later than February 1, and must remain in-place until March 1. Send a copy of the completed Form to the Manager of Human Resources & Insurance.

18. Housing Assistance

Carnegie maintains a housing assistance program as a recruiting tool for newly appointed staff members. Refer to the “Policy Statement on Residential Assistance to Newly-Hired Staff” which is available at each department.

Responsibilities

It is the responsibility of the department to provide data and other information requested by banks and other agencies with regard to the housing assistance program for a newly-hired staff member. The department is also responsible for determining the Target Area (as described in the policy) and for gathering information about the average median sales price for single-family homes in the Target Area.

19. Required Posting

There are several notices that are required to be posted in areas frequented by employees. These notices pertain to 1) The Fair Labor Standards Act (FLSA); 2) The Family Medical and Leave Act (FLA); 3) Worker’s Compensation; 4) Equal Employment Opportunity (EEO); 5) Occupational Safety and Health Act (OSHA); 6) Sexual Harassment; 7) The Uniformed Services Employment Act and Reemployment Rights Act and; Compliance with Title IX.

All departments are required to have these notices posted. If a Business Manager is not sure if one or more of their posted material is up to date, call the Manager of Human Resources & Insurance for further guidance.

20. Liability and Property Insurance

Building Contents and General Liability

The Manager of Human Resources & Insurance should be notified if there is a substantial increase or decrease in the value of building contents, or a substantial increase in liability exposure. From time to time, it may be requested from the departments that updated estimates of the replacement value of building and contents be provided.

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Automobiles

The addition and deletion of any Institution-owned automobiles should be sent immediately to the Manager of Human Resources & Insurance. Please report the year, make, model, and serial number.

From time to time, a list will be requested of employees authorized to drive Carnegie vehicles, including their driver's license numbers and dates of birth. This information is used to check their driving records for any suspensions.

Transit

Quarterly, the departments will submit a list of items valued over \$1,000 that was shipped during the last quarter. This list will include the date of the shipment, a description of the item, places of origination and destination, the value of the item, and the method of transport (air, ocean, and/or ground).

If at any time, it is anticipated that one or more items or equipment from one department, valuing singularly or collectively over \$1,000,000, will be in transit at the same time on the same conveyance, call the Manager of Human Resources & Insurance before the shipment occurs so that extra coverage can be obtained before the actual move. The limit on the policy is \$1,000,000; therefore, we need to make sure the items in transit are adequately covered.

Claims Procedure

If a loss occurs, or if a situation exists that could result in a potential loss (such as notice of a lawsuit or similar event), notify the Manager of Human Resources & Insurance immediately, who will in turn notify the insurance company. Depending on the nature and severity of the loss or potential loss, a claims adjuster may be appointed to gather the facts.

21. Telephone and Computer Use

It is Carnegie's policy that only a limited number of personal phone calls shall be made from the workplace. If it is discovered that the employee is abusing their telephone privileges, they will be notified and it may result in disciplinary action.

Similarly, Carnegie's computers are to be used for work related matters. Employees may use computers and the internet for a limited amount of time for personal reasons, such as reading on-line newspapers during lunch and contacting relatives. If it is discovered that the employee is abusing this privilege, they will be notified and it may result in disciplinary action.

22. Time Sheet Policy

This policy applies only to individuals who complete time sheets.

Time sheets should be completed on a daily basis, in ink or in electronic form, by the employee, recording accurate times in and out, including any unpaid breaks. Time sheets must be signed and dated by the employee at the end of each two-week period as related to payroll, or within a few days of the end of the period. Multiple time sheets should not be completed on the same day for time worked in the previous several weeks. The employee's supervisor is responsible for reviewing the completed time sheet for accuracy and completeness, and signing and dating the time sheet indicating approval. Electronic signatures are acceptable.

Time sheets must be received in the payroll office of at P Street by the end of the semi-monthly "payroll cut-off" date which is established by the payroll coordinator. Time sheets received by the payroll office after the payroll cut-off date will be processed and paid in the following payroll period.

Falsifying a time sheet is a violation of the Institution's policies and procedures and is subject to disciplinary action, including termination of employment.

23. Policy Regarding Operation of A Vehicle

All employees driving a Carnegie vehicle or any other vehicle while conducting Carnegie business, including rented, borrowed, or personally owned vehicles:

- Shall comply with all federal, state, and local laws and regulations, including those laws and regulations governing the use of mobile technology devices such as cellular phones.
- Are prohibited from using hand held cellular phones or sending or reading text messages or emails while driving.
- Shall minimize the use of hands-free technology to make cellular phone calls, doing so only when absolutely necessary.

24. Youth Protection Policy

Carnegie Institution for Science has adopted the following policies to provide additional security for our First Light and Camp CASE program participants. These policies are primarily for the protection against verbal and sexual abuse (hereafter "abuse") of our youth participants; however, they also serve to protect our adult staff and volunteers from false accusations of abuse.

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Carnegie has a zero-tolerance policy for any abuse committed by any staff, volunteer, or third party. To help prevent abuse, the following practices are required.

Paired staff leaders. Two adult staff or one staff and a parent of a participant, or other adult, one of whom must be 21 years of age or older, are required on all trips and outings.

No one-on-one contact. One-on-one contact between adults and youth participants in private is not permitted. In situations that require personal conferences, the meeting is to be conducted in view of other adults and youths.

Buddy system. Each youth participant should be assigned a buddy during sponsored camp activities. In general, no child at a camp should go anywhere – to the restrooms, locker rooms, or other location – without his or her buddy.

Respect of privacy. Adult staff must respect the privacy of youth participants in situations that require changing clothes and taking showers at camp, and intrude only to the extent that health and safety require. Adults must protect their own privacy in similar situations.

Digital devices. It is inappropriate to use any device capable of recording or transmitting visual images in shower houses, rest rooms, or other areas where privacy is expected.

Separate accommodations. When camping or in a cabin, no youth is permitted to share the tent or room of an adult other than his own parent or guardian. It is strongly encouraged to have separate shower and restroom facilities for males and females. When separate facilities are not available, separate times for male and female use must be scheduled and posted for showers.

Report. Children are encouraged to report attempted or actual abuse to a parent or other trusted adult. This prevents further abuse and helps to protect other youth participants. Any adult staff or volunteer who has knowledge of expected abuse is responsible for reporting the matter to child protective services or a cognizant law enforcement agency. In general, you should get the facts, but do not interrogate. The appropriate authority should determine whether abuse has occurred. Also, report the incident to responsible officials at Carnegie.

In addition to younger children participating in camps, Carnegie will from time to time support high school interns under the age of 18 in summer or after-school programs at our scientific departments. These individuals are also covered by Carnegie's youth protection policy. Carnegie has a zero-tolerance policy for any abuse. A meeting between an adult and an intern should be conducted, to the extent practicable, in view of others. The reporting policy described above also applies to interns.

III. Confidential Employee Report Policy

Policy

It is the policy of the Carnegie Institution to encourage employees, acting in good faith, to report to management any breach or suspected 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. Employees who submit such reports in good faith should have no concern regarding any retaliation on the part of management for their actions.

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 Director of Administration and Finance, 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.

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The phone numbers are as follows:

Director of Administration and Finance	202-939-1118
Director of Department of Terrestrial Magnetism	202-478-8850
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	202-387-6404
Chair of Audit Committee (Susanne Nora Johnson)	212-902-2751

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 Director of Administration and Finance 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 Director of Administration and Finance informed of the progress in and outcome of the investigation. The Director of Administration and Finance 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

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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.

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D. HUMAN RESOURCES

IV. Equal Employment Opportunity Policy and Title IX Compliance

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CARNEGIE INSTITUTION OF WASHINGTON
EQUAL EMPLOYMENT OPPORTUNITY POLICY
March, 2012

I. OVERVIEW

Carnegie Institution of Washington (the "Institution"), incorporated by an Act of Congress approved on April 28, 1904, is a highly specialized organization engaged at the post-graduate level in both research and education in the physical and biological sciences. The Institution operates six Departments that, together with the Office of Administration in Washington, D.C., have approximately 402 employees and fellows, including 54 full-time Staff Members.

Each of the Institution's six operating Departments is headed by a Director. The President and the Director of Administration and Finance, together with the six Department Directors, constitute the primary operating officials of the Institution. A 27-member Board of Trustees provides overall direction, oversight, and review.

The six operating Departments¹ and their areas of focus are as follows:

The Observatories of Carnegie Institution of Washington, with headquarters in Pasadena and facilities at Mount Wilson in California and Las Campanas in Chile, carry out a program of astronomical study of the structure and dimensions of the universe and the physical nature, chemical composition, and evolution of celestial bodies.

The Department of Plant Biology in Stanford, California, devotes its attention to the study of photosynthesis, the physiological and biochemical adaptation of plants to environmental stress, and the physiology and biochemistry of plant growth.

The Department of Global Ecology in Stanford, California, studies the complicated interactions of earth's land, atmosphere, and oceans to understand how global systems operate.

The Geophysical Laboratory in Washington, D.C., conducts physiochemical studies of geological problems, with particular emphasis on the processes involved in the formation and evolution of the earth's crust and mantle.

The Department of Terrestrial Magnetism in Washington, D.C., conducts studies in astronomy, planetary science, cosmochemistry, geochemistry, and geophysics

The Department of Embryology in Baltimore, Maryland, is concerned with a better understanding of the mechanisms of differentiation, growth, and morphogenesis, and the manner in which these processes are coordinated as the fertilized egg is transformed into the functional adult in a variety of species.

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¹As used in this Statement, the term "Department" includes the staff of the Administration Building which has 37 employees, and the term "Director" includes the Director of Administration and Finance.

It is the policy of the Institution (the "Policy") to implement at the Institution the national policy against discrimination in employment on the basis of race, color, religion, sex, national or ethnic origin, age, disability, veteran status, marital status, sexual orientation, or any other basis prohibited by applicable law. The Policy covers all of the Institution's programs, activities, and operations, including administration of its educational programs, admission of qualified students as fellows, and employment practices and procedures. Under the Policy, all recruiting, employment, and promotion decisions, and all personnel actions -- including but not limited to compensation, benefits, transfers, layoffs and termination, training, education, tuition assistance, and recreational programs -- are made in accordance with applicable law. The Institution complies with equal employment opportunity requirements of applicable laws, regulations, and contract clauses.

The Institution periodically analyzes its personnel actions to insure compliance with the Policy. A copy of the Policy is available to the public at the Institution's offices, 1530 P Street, N.W., Washington, D.C., during regular business hours.

II. POLICY STATEMENT

The Policy is set forth in the following statement (the "Policy Statement")²:

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

Communication of the Policy to employees and applicants for employment is accomplished in the following ways:

- As required by applicable law, notices stating that the Institution is an equal opportunity employer are posted at the Departments and Institution headquarters, in particular at locations where interviewing and screening of applicants for employment are usually conducted.
- The Policy Statement is included on the first page of the Institution's employment application form, in all Institution policy and procedure manuals, and in all Institution newsletters and year books.
- Employees who make employment and other personnel-related decisions are given a copy of the Policy Statement to ensure that they are aware of its contents.
- When appropriate, meetings are scheduled with employees to communicate the elements of the Policy. Reference to the existence of the Policy is made in the Institution's personnel benefits and policy manual, which is given to new and prospective employees.
- The Policy Statement is annually published as a notice in newspapers of general circulation throughout the nation.

²The District of Columbia law adds "marital status, personal appearance, sexual orientation, family responsibilities . . . matriculation [and] political affiliation" as prohibited bases for discrimination. Maryland adds "marital status." California adds "ancestry" and "marital status." All three jurisdictions use alternatives to "disability:" "physical handicap" (D.C.), "physical or mental handicap" (Maryland), and "physical handicap [or] mental condition" (California).

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The term "disability" has superseded "handicap" in the federal Americans with Disabilities Act of 1990, although "handicap" remains the condition to which relevant provisions of the Rehabilitation Act of 1973 are applicable.

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- When private employment agencies are contacted with respect to candidates for any job opening at the Institution -- whether by letter, telephone, or personal visit -- they are informed that the Institution is actively seeking qualified minority, women, veterans, and disabled applicants.
- When any form of recruitment advertising is used, it states that the Institution is an equal opportunity employer. No advertisement states or suggests any racial or sexual preference.
- In its contracts, the Institution complies with equal employment opportunity requirements that are imposed by applicable law or regulation. The Institution's contracts either contain the full text of the Policy Statement or refer to it.
- Where possible, photographs of Institution employees in internal manuals and publications depict the diversity of the Institution's workforce.
- The Institution invites all applicants and employees who believe themselves to be disabled and covered by the Americans With Disability Act to identify themselves. This invitation is posted in a conspicuous place in each Department and in the Office of Administration.

III. COORDINATION OF POLICY

Because the Institution's Departments are geographically dispersed, responsibility for compliance with the Policy is decentralized.

The Directors of each Department are responsible for supervision of the administration of the Policy and ensuring compliance with the Policy at their locations. Their responsibilities also include serving as departmental liaison with local disabled, minority, women, and veterans organizations concerned with equal employment opportunities, periodic inspections by the Department staff, audits to ensure that the required notices are properly displayed, and that minority, female, veteran, and disabled employees of the department are afforded a full opportunity for transfers and promotions, including participation in Institution-sponsored education or training.

One individual staff manager of the Office of Administration provides overall policy direction, identification of problem areas, procedural guidelines, advice and service. This individual is the Manager of Human Resources and Insurance who monitors compliance with the Policy and, as needed, works with equal employment opportunity enforcement agencies and organizations concerned with equal employment opportunity issues. This Manager also develops procedures to ensure Institution-wide

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compliance with anti-discrimination laws, recommends procedures and practices necessary or desirable to carry out the Policy, and informs the President, the Director of Administration and Finance, and the Department Directors on the Institution's efforts to adhere to the Policy.

IV. POLICY DETAILS

A. Description of Personnel

Scientific Staff Members. The Institution has a staff of approximately 54 members who engage in scientific research and research training in the six operating Departments. Each scientific staff appointment is based on distinguished scientific achievement. The senior staff position is that of Staff Member, the Institution's equivalent of a university professorship. There are also staff positions denominated Staff Associate, Fellow, and Postdoctoral Associate in which other scientists assist and work with Staff Members.

Appointments to the staff are infrequent because of its small size and low turnover rate. The recruitment pool is limited because of the specialized scientific fields in which the Institution's work is done. When vacancies occur, the search for scientific staff members is conducted on a nationwide and, often, a worldwide basis.

Support Personnel. The work of the scientific staff is supported by a number of technicians, skilled in operating and maintaining specialized scientific research equipment at the six operating Departments. The Institution also employs other professionals, as well as, office and clerical workers, and service workers at the operating Departments and at the Administrative Building.

The support staff is small and turnover is low. Most support personnel are recruited from the area in which the recruiting Department is located.

B. Implementation of Policy

The Policy is implemented in the following ways:

- The Directors and other personnel who make decisions on hiring, placement, or promotion have been instructed by the President that all applicants are to be considered without regard to race, color, religion, sex, national or ethnic origin, age, disability, or veteran status.
- There is a continuing review of job qualifications. When a new job is created or an existing job becomes vacant, the proposed job functions and minimum qualifications for the job are reviewed by the Director to ensure that the functions and qualifications are valid requirements for the specific job and that the qualifications in themselves do not constitute inadvertent discrimination or inadvertently screen out qualified individuals.
- Regardless of their race, color, religion, national or ethnic origin, sex, age, disability, or veteran status, all employees have an equal opportunity to move into any available job for which they are qualified. There are no jobs at the Institution for which race, color, religion, national or ethnic origin, sex, age,

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disability, or veteran status is a bona fide occupational qualification.

- Rates of pay are substantially equivalent for all employees of a Department who perform essentially the same functions at the same level of responsibility and have essentially the same relevant experience.
- The Institution makes available the following non-salary benefits to its employees: retirement plan, health insurance, life insurance, total disability insurance, dental insurance, medical and dependent care reimbursement, annual leave, sick leave, parental leave, holidays, family leave, military leave, travel insurance, tuition reimbursement for selected work-related courses, and use of the Institution's recreation and parking facilities. These benefits are available equally for eligible employees regardless of race, color, religion, national or ethnic origin, sex, age, disability, or veteran status.
- When a scientific staff appointment is to be made at an operating Department, the Director may designate a Staff Member to canvas the scientific field and to identify qualified minority group or women candidates. The professional credentials of the persons so identified are considered in the selection process. The criteria for selection as a scientific staff member are distinguished scientific achievement and demonstrated potential for scientific research and for distinguished teaching at the post-graduate level. These criteria are applied to measure the credentials of each candidate. Qualified candidates are considered without regard to race, color, religion, sex, national or ethnic origin, age, disability, or veteran status.
- Whenever a position on the Institution's support staff is to be filled, priority is given to existing employees. To that end, before external recruiting is conducted, an announcement listing the vacancy and qualifications for the position is circulated internally. Support staff positions are held open for a minimum of two weeks to permit interested employees to apply. Employees interested in the position who are minimally underqualified but possess the potential to qualify are assisted to qualify by career counseling sessions.
- The placement of "help wanted" advertising includes, where practical, minority news media and women's interest media.
- The employee selection process and selection techniques are periodically reviewed to ensure freedom from bias and freedom from stereotyping individuals in such a manner as to limit their access to jobs for which they are qualified.
- Personnel processes are periodically reviewed to ensure that careful, thorough, and systematic consideration is given to job qualifications of known disabled applicants and employees.
- The Institution makes reasonable accommodation to the physical or mental limitations of an employee or applicant, unless such accommodation imposes an undue financial or business-related hardship on the Institution.

V. INTERNAL GRIEVANCE PROCEDURES

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Any employee or fellow believing they have been discriminated against on the basis of race, color, religion, sex, national or ethnic origin, age, disability, veteran status, or any other basis prohibited by applicable law, or who believes that, in some respect, Carnegie is not in compliance with equal employment opportunity and its regulations, may bring their concerns to the attention of the Supervisor or Department Director. The complaint may also be brought to the attention of the Institution's Director of Administration and Finance or the Manager of Human Resources and Insurance, both located at 1530 P Street, N.W., Washington, DC 20005, phone number (202) 387-6400.

All complaints will be thoroughly investigated and have prompt and equitable resolutions. The Institution will not engage in any retaliatory action against any individual who makes a bona fide claim. If a situation involving discrimination is found to exist, the appropriate corrective action will be made.

VI. MONITORING, AND REPORTING

A. Internal Reporting

The Departments are expected to maintain records of all placements, transfers, promotions, and terminations so as to assure nondiscriminatory practices. A summary report of such records, including a progress report of goals and objectives, is due upon request to the Office of Administration.

B. External Reporting

The Institution makes an annual employment data report to the Equal Employment Opportunity Commission.

VII. UTILIZATION ANALYSIS

Pursuant to the Policy and consistent with applicable equal employment opportunity principles, the Institution periodically analyzes the racial, ethnic, and sexual make-up of its workforce to determine the extent to which qualified minorities and women in the relevant labor market are represented at the Institution. To that end, the Institution performs a workforce and job group analysis to identify the number of minorities and women in each job group. Second, it assesses the availability of minorities and women with necessary job skills in the labor market areas where the Departments can reasonably expect to recruit new employees. The results of these two analyses are compared to determine if minorities and women are inappropriately underutilized at the Institution. "Underutilization" is defined as having fewer minorities and women in a particular job group than would reasonably be expected by their availability in the relevant labor market.

The dispersed locations of the Departments require that these analyses be generally performed by geographical region. The Office of Administration, the Department of Terrestrial Magnetism, and the Geophysical Laboratory, all located in Washington, D.C.,

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constitute one region for utilization analysis purposes. The Department of Plant Biology and the Department of Global Ecology (Palo Alto) constitute one region, and the Department of Embryology (Baltimore) and the Observatories (Pasadena) each represent separate regions.

A. Workforce Analysis

Each job title is listed as it appears in the personnel records, ranked from lowest paid to highest paid for each Department. For each job title, the number of male and female job-holders are indicated, as well as the number of male and female job-holders in specific minority groups.

B. Job Group Analysis

All job titles from the workforce analysis are combined into logical job groups that generally reflect EEO reporting categories. Job groups consist of job titles with similar position functions and responsibilities. For each job group, the numbers of male and female job-holders are indicated, as well as the numbers of male and female job-holders in specific minority groups.

The job groups for the Institution are shown below. Every job title from the entire workforce analysis is reflected in one of the job groups.

<u>EEO Category</u>	<u>Job Group</u>
Officials and Managers	Senior Management Scientific Management Upper Management Administrative Management Service Management
Professionals	Scientific Principal Scientific Scholar Accounting Professional Engineering Professional Publications Professional Systems Professional Education Professional Administrative Professional
Technicians	Scientific Technician Systems Technician Photographic Technician
Office and Clericals	Management Assistant Administrative Secretarial Accounting

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	Publications
Craftspersons (skilled)	Foreperson Instrument Maker
Service Workers	Maintenance

C. Availability Analysis

To determine the availability of minorities and women in the recruiting area who have the necessary job skills to perform the occupations in each job group, labor market information is collected from reports prepared by state and local employment security offices. Labor market information for job groups requiring recruitment on a national level are obtained from U.S. Census Bureau reports and other surveys compiled by scientific associations.

Part one of the availability analysis shows the raw data about the availability of minorities and women for each job group. Part two of the analysis converts the raw data to one overall availability ratio by considering the importance of the following eight factors:

- 1- the size of the minority and female population in the immediate labor area.
- 2- the size of the unemployed population of minorities and women in the immediate labor area.
- 3- the size of the minority and female workforce in the immediate labor area.
- 4- the availability of minorities and women having required skills in the immediate labor area.
- 5 - the availability of minorities and females having required skills in the national recruiting area.
- 6 - the availability of promotable and transferable minorities and women in the Institution's current workforce.
- 7 - the existence of training institutions capable of training persons in the required skills.
- 8 - the degree of training the Institution can reasonably undertake as a means of making all job groups available to minorities and women.

D. Underutilization Analysis

For each job group, the percentage of available minorities and women in the relevant recruiting area is compared with the current utilization percentage for minorities and women for each job group to determine if there is an underutilization of minorities and women in the Institution's workforce.

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Based on data collected in December 2011, and the census information utilized, in the Washington, DC/Baltimore area, there is an under-representation of women in Scientific Principals (2.07 persons), For minorities, there is also an under-representation Scientific Principals (.64 persons).

It is important to note that while pockets of underutilization exists, there are even more job groups where minorities and women are represented in numbers that equal or exceed the availability of the recruiting areas.

E. Measures to Address Underutilization

Because of the Institution's small size, the few number of individuals in specific locations that occupy each job group, and infrequent and unpredictable turnover, the Institution cannot set specific goals and timetables for addressing underutilization in any particular job group. However, as vacancies occur in any underutilized job group, the Institution makes good faith efforts to fill the vacancy with qualified racial and ethnic minorities or women. Any such vacancies are not filled on the basis of meeting fixed percentages of minorities or women in the Institution's workforce.

VIII. COMMUNITY ACTIVITIES

The Departments and the Institution's Office of Administration are expected to maintain close relationships and cooperate with community organizations, universities, and institutions whose equal employment opportunity objectives parallel those of the Policy. All Institution employees are encouraged to participate in community organizations and programs that deal effectively with motivation, education, and employment of minorities and women.

IX. COMPLIANCE WITH SEX DISCRIMINATION GUIDELINES AND GUIDELINES ON DISCRIMINATION BECAUSE OF RELIGION OR NATIONAL ORIGIN

A. The Institution complies with the Office of Federal Contract Compliance ("OFCC") guidelines on sex discrimination, set forth in 41 CFR Part 60-20.

The Institution promotes and assures equal employment opportunity to all persons employed or seeking employment, making all jobs available to all qualified employees, without regard to sex.

Advertisements for employment in newspapers or other media do not express a sex preference.

The Institution's personnel statements that refer to sex discrimination in any way indicate that there is no discrimination against employees on account of sex.

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The Institution makes no distinction in terms or conditions of employment, job availability, benefit programs, or wages on the basis of sex, marital status, or parental status.

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The Institution assures the right to any job that an employee or prospective employee is qualified to perform, without regard to state laws that are ostensibly designed to "protect" women from certain occupational hazards.

Leaves of absence for pregnancy, childbirth, related medical conditions or adoption are granted in accordance with the Institution's established parental and family leave policies. The Institution makes no distinction in terms or conditions of employment, leave policy, reinstatement following leave, or benefit programs on the basis of pregnancy, childbirth, related medical conditions or adoption.

When they exist, lines of seniority are not based on sex.

B. The Institution complies with OFCC guidelines on discrimination because of religion and national origin, set forth in 41 CFR Part 60-50.

It is the policy of the Institution to make reasonable accommodation for the religious needs of employees where such accommodation can be reasonably made consistent with the conduct of the Institution's business.

X. COMPLIANCE WITH TITLE IX OF THE EDUCATION AMENDMENTS OF 1972

A. Policy Statement

It is the policy of Carnegie Institution to comply with Title IX of the Education Amendments of 1972 and its regulations, which prohibit discrimination on the basis of sex in employment and admissions. Anyone who believes that, in some respect, Carnegie is not in compliance with Title IX and its regulations should contact the Office of Human Resources at (202) 939-1113.

B. The Title IX Compliance Officer

The Title IX Compliance Officer monitors Carnegie's efforts to meet requirements of the 1972 federal legislation that prohibits all forms of sex discrimination in educational institutions that receive federal funding. Questions regarding the application of Title IX should be directed to the Title IX Compliance Officer. The Title IX Compliance Officer for Carnegie Institution is The Manager of Human Resources and Insurance. This individual may be contacted at 1530 P Street, N.W., Washington, DC 20005, or by phone at (202) 939-1113, or by e-mail at ccanapp@pst.ciw.edu.

C. Grievance Procedure

Any employee or fellow, believing they have been discriminated against on the basis of sex, or believing that, in some respect, Carnegie is not in compliance with Title IX and its regulations, may bring their concerns to the attention of the Supervisor or Department Director. The complaint may also be brought to the attention of the Institution's Director of Administration and Finance or the Manager of Human Resources and Insurance, both located at 1530 P Street, N.W., Washington, DC 20005, phone number (202) 387-6400.

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All complaints will be thoroughly investigated and have prompt and equitable resolutions. The Institution will not engage in any retaliatory action against any individual who makes a bona fide claim. If a situation involving discrimination is found to exist, the appropriate corrective action will be made.