



Personnel Memoranda

Employees' Guide to Caltech

Personnel Memoranda

In addition to the Institute Policies, Caltech maintains other important policies that are documented as Personnel Memoranda (PMs), which can be accessed online at <http://cit.hr.caltech.edu/policies/policies-main.html>. Also, a current copy of the Personnel Memoranda binder is available at Human Resources. Some of the most commonly referred to PM's are summarized below.

All staff should be familiar with all Personnel Memoranda including those listed below.

Conflict of Interest and Outside Employment

PM 9-3

Employees must not use their Caltech positions for private gain for themselves or for persons with whom they have personal, business, or financial ties. As representatives of Caltech, employees must avoid any actions that could reasonably be expected to adversely affect, or to give the appearance of adversely affecting, the independence and objectivity of their judgment, interfere with the timely and effective performance of their duties and responsibilities, or discredit the Institute.

Consistent with the Institute's conflict of interest policy, employees are permitted to engage in outside employment, consulting, or business activities provided that no actual or potential conflict of interest or appearance of such conflict exists and that the activity does not adversely affect their ability to perform their jobs. For further information regarding approval of and restrictions on outside employment, refer to Personnel Memorandum 9-3.

Employees should also consider the impact that outside activities may have on their personal health, endurance, and job effectiveness. The Institute holds all employees to the same standards of performance and scheduling demands, and cannot make exceptions for employees who are engaged in outside activities.

Gifts and Gratuities

Caltech prohibits Caltech employees from offering or giving gratuities to any employee of the government with the intention of obtaining favorable treatment under a government contract or grant. The government may infer intent to obtain favorable treatment when a gratuity is offered.

As a Caltech employee, you must not solicit or accept from any interested party any gratuity or other thing of value for yourself or your family, friends, and associates when such behavior could affect, or reasonably be interpreted by others as affecting, your impartiality as a



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representative of the Institute. You should be particularly careful not to place yourself in the position of accepting a gratuity when you are involved in any phase of procurement.

Problem Resolution Policy and Process

Employee and Organizational Development x6382, PM 13

The Institute encourages open communication between employees and managers. Supervisors or higher level management will make a reasonable effort to resolve concerns brought to them in a timely manner. No employee will be retaliated against for using or participating in the Institute's problem resolution process in good faith. Human Resources is available to assist employees and managers involved in any work related problem or concern.

The problem resolution process provides employees with a way to discuss and address work related concerns or problems involving the interpretation and application of Institute policies and procedures.

For some complaints, there may be a specific complaint procedure that applies. For example, concerns and problems which relate to issues such as unlawful harassment, discrimination, retaliation and equal opportunity employment should be raised using the specific complaint and appeal procedures outlined in these policies.

For details on the problem resolution procedure, contact Employee & Organizational Development at extension 6382.

Leaves of Absence: Personal Leave

Disability & Leave Administration Unit, x8382/5740, PM 25

Employees may request personal leaves of absence without pay for such purposes as education and public service.

Leaves of Absence: Disability and Pregnancy-Related Disability Leaves

Disability & Leave Administration Unit, x8382/5740, PM 26

Leaves of absence may be granted to employees when they are unable to work because of illness or injury. This includes employees unable to work because of pregnancy, childbirth, or related medical conditions.

An employee on disability leave or a pregnancy-related disability leave may be paid for part or all of the time on such leave, depending on the employee's sick leave and vacation accruals.



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Leaves of Absence: Family Care and Medical Leave

Disability & Leave Administration Unit, x8382/5740, PM 26

The Institute provides leaves of absence to eligible employees who require time off work due to their own serious health conditions, to care for a family member with a serious health condition, or for the birth, adoption, or the placement of a foster child.

The Family Medical Care & Leave Act (FMLA) and the California Family Rights Act (CFRA) require covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for certain family and medical reasons. The twelve (12) month period is calculated forward from the date the employee begins the leave. The employee must return to work when the condition or conditions that necessitates the leave no longer exist and the employee is released to return to work by the employee's health care provider. Failure to return to work when the original, extended or other approved leave expires may be considered a voluntary resignation.

An employee on Family Care and Medical Leave may qualify for paid leave, unpaid leave or a combination of paid and unpaid leave depending on the employee's accrued sick leave and vacation time.

Terminations

PM 14

Employees whose terminations are initiated by Caltech will be given notice consistent with the terms of their separation. Additional information about terminations is available in the Institute's Personnel Memoranda. PM 14 includes information about voluntary and involuntary terminations, rehires, probation, severance and layoffs.

Employees are expected to meet acceptable standards of conduct and performance. Satisfaction of these standards not only promotes productivity and efficiency, but also helps to ensure a pleasant, safe, cooperative and productive work environment.

The following are examples of unacceptable conduct or performance; they represent some of the types of actions for which employees may be disciplined, up to and including discharge for cause. These examples, however, do not cover all the types of performance or conduct that are considered unacceptable.

- A violation of computer and/or network security by a Caltech employee
- A violation of safety or security practices
- Absence from work for three consecutive workdays without the employee notifying his or her supervisor, or a pattern of unacceptable attendance over a period of time.



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- A violation of the Institute's substance abuse policy
- Unlawful discrimination and/or harassment
- Violation of any Caltech policy or procedure
- Engaging in unprofessional or discourteous conduct toward others
- Overall poor work performance; missing deadlines, inaccurate work product, etc.

Certain types of conduct are considered so serious that, depending on the circumstances, they may result in immediate discharge for cause. Examples of such conduct include, but are not limited to, the following:

- serious misconduct of any kind;
- insubordination;
- willful neglect;
- engaging in a fraudulent or dishonest act;
- falsification of records, including timekeeping records;
- deliberate damage to the Institute's property or the property of another;
- theft including, but not limited to, unauthorized taking, removal, or possession of funds or property belonging to the Institute or a fellow employee;
- unauthorized charges against the Institute's accounts;
- conviction of or pleading guilty or no contest to a felony;
- fighting, and/or threatening or committing physical violence against another person;
- bringing or being in possession of a weapon or other dangerous device on the Institute's property without authorization;
- a violation of the substance abuse policy;
- a violation of computer and/or network security by an employee of the Institute, including but not limited to unauthorized access, intrusion into, use or corruption of, interference with, disruption or slowdown of service with respect to the Institute's automated information systems or information, or attempts thereto. In addition, the employee may be held financially responsible for any damages that may result. For further information, please see Institute Policy on Acceptable Use of Electronic Information Resources;
- a violation of safety or security policies or practices;
- a violation of business ethics policy or practices;
- accessing/downloading pornographic material;
- a violation of the Institute's policies; and
- any statement or representation made by an employee in the course of discussions or negotiations leading up to employment with the Institute proves to have been materially false or misleading.

Exit Interviews: In an effort to gather information regarding the workplace experiences of regular employees who are leaving Caltech, Employee & Organizational Development will attempt to schedule an exit interview with employees who are departing voluntarily. Employees who are transferring or are discharged may request an exit interview with an



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Employee & Organizational Development Consultant. Exit interviews are not mandatory but are considered an important way to identify how Caltech can maintain a positive and productive environment for its employees. An exit interview form is available on the Human Resources website at <http://cit.hr.caltech.edu/HRForms/default.htm>