



# Personnel Memoranda

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## 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 on-line at <http://cit.hr.caltech.edu/policies/policies-main.html>. Also, a current copy of the Personnel Memoranda binder is available at the reference desk in the Millikan Library and the Human Resources Employee Services. 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.

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### **Gifts and Gratuities**

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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 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.

### **Grievances**

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Employee Relations Office x6375, PM 13

The Institute encourages you to discuss work-related problems with your immediate supervisor and, if necessary, with higher-level management to reach a satisfactory resolution.

If a satisfactory resolution cannot be reached after consulting with your management, or if you feel uncomfortable discussing the issue with management, you are encouraged to consult with the Employee Relations Office. Employee Relations will assist you and your management in preventing or resolving work-related concerns. The Ombuds Office also is available for consultation.

It is Caltech's objective to resolve grievances in a prompt and equitable manner. In the event a satisfactory resolution cannot be reached, you may file a written grievance consistent with the requirements of the Institute's grievance procedure. For details on the grievance procedure, contact the Employee Relations Office.



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### **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.

### **Leaves of Absence: Family Care and Medical Leave**

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

The Institute provides Family Care and Medical Leave (FMLA) of absence to eligible employees who require time off work due to their own serious health condition, to care for a family member with a serious health condition, for the birth, adoption, or placement of a foster child, or for military family leave for the care of a covered servicemember with a serious injury or illness, or due to a qualifying exigency arising out of the fact that the employee's spouse, child or parent has been called up to active duty. Certification is required.

FMLA provides that such leave be taken for a period not to exceed a total of 12 weeks in a 12 month period, or 26 weeks in a single 12 month period in the case of leave for the care of a covered servicemember with a serious injury or illness. An employee on FMLA leave may be paid for part or all of their leave time depending on the employee's sick leave and vacation accruals.

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The Department of Labor form on Employee's Rights and Responsibilities under the Family and Medical Leave Act can be found at:

<http://www.dol.gov/esa/whd/fmla/finalrule/FMLAPoster.pdf>

For more information on FMLA leaves or other leaves of absence, contact the Disability and Leave Administration Unit of Human Resources.

## **Length of Service**

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PM 31

Length of service is important to you because it determines your eligibility for certain benefits. Continuous service is not affected by military service within the limitations prescribed by law. Other unpaid leaves of absence of more than six months will move the continuous service date forward by the length of time beyond six months. Only time worked on a benefit basis, that is, 20 hours or more per week on a regular schedule, counts toward continuous service. Provided you are eligible for rehire, Institute policy assures you reinstatement of your continuous service date when rehire occurs within 12 months of a voluntary termination and for up to two years in the case of layoffs.

## **Patent Policy**

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PM 17

Caltech has certain responsibilities to see that inventions and copyrightable materials (including software) developed at the Institute are patented in order to protect and benefit the Institute and the public. All employees are required to sign a patent and copyright agreement at the time of employment. This agreement requires the assignment of inventions and certain copyrightable material that are developed in connection with actual or anticipated work or research for the Institute, or with the use of Institute facilities, or during hours of work for which the employee is compensated by the Institute.

Inventions and discoveries made by employees entirely on their own time, outside of Institute duties, and without using Institute facilities are not covered by this agreement.



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If you have any questions about Caltech's policies or procedures relating to intellectual property or would like to obtain a copy of the Patent and Copyright Policy, please contact the Office of the Intellectual Property Counsel.

### **Standards of Performance and Conduct**

PM 14

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.
- 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:

- Misconduct
- Insubordination
- Willful neglect

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- Dishonesty
- Falsification of records
- Deliberate damage to government or Institute property or the property of another
- Theft
- Fighting
- Threatening or committing physical violence against another person
- Bringing or being in possession of a weapon or other dangerous device on Institute property without authorization

## Terminations and Exit Interviews

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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.

Exit Interviews: In an effort to gather information regarding the workplace experiences of regular employees who are leaving Caltech, Employee Relations 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 Employee Relations. 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>. or you may go to the link below and fill out an electronic exit interview form.

<http://www.surveymonkey.com/s.asp?u=700021690981>