

Complaint Resolution Procedure

Purpose: To provide guidance on how to raise and promptly resolve complaints of discrimination, sexual or other harassment, or retaliation in violation of HHMI's Workplace Behavior or Recruitment & Hiring policies. This procedure may also be used at HHMI's discretion to resolve other serious concerns relating to personnel matters and other serious misconduct occurring at HHMI workplaces and events.

How to bring a complaint to management's attention

Step 1: Discuss the problem with one of the following:

- Your immediate supervisor
- Event Organizer or their designee (for HHMI event attendees at events with designated Event Organizers)
- HR Business Partner or another People & Culture representative

Or contact the HHMI external EEO hotline at 1-888-225-1189 or <https://www.redflagreporting.com/HHMI>. You may do this anonymously at your option.

If the problem is not resolved after you discuss the matter or raise the complaint as in step 1, or you are dissatisfied with the outcome of the discussion, or if for any reason you do not wish to discuss the matter with your supervisor, HR Business Partner or other People & Culture representative, or Event Organizer or their designee (i.e., if he or she is part of your concern), proceed to step 2.

Step 2: If the matter is not resolved at Step 1, you may raise the matter with:

- The Chief of People & Culture or their designee

Or contact the HHMI external EEO hotline at 1-888-225-1189 or <https://www.redflagreporting.com/HHMI>. Again, you may do this anonymously at your option.

HHMI Supervisor/Event Organizer Procedure – Informing People & Culture

Any HHMI supervisor, People & Culture representative, or Event Organizer or their designee (at HHMI events with designated Event Organizers) who:

- Receives a complaint of misconduct, which includes a complaint of discrimination, sexual or other harassment, or retaliation in violation of HHMI policies, or any other serious misconduct at HHMI workplaces, events or serious concerns relating to personnel matters, or
- Observes or otherwise becomes aware of a complaint or potential violation of HHMI policies against discrimination, harassment, or retaliation,

must inform either (1) the applicable HR Business Partner, or (2) the Chief of People & Culture or their designee.

As an HHMI supervisor, designated Event Organizer (or their designee) or People & Culture representative, you are required to raise the issue as provided in this section even if the complaint appears to have been resolved through informal discussion with the individuals involved. Failure to report complaints of violations of HHMI policies against discrimination, harassment, or retaliation may result in disciplinary action, up to and including termination. (In each case, designated Event Organizers and their designees are also HHMI supervisory-level employees).

Notwithstanding anything to the contrary in this policy, communication to or with the Janelia Ombudsman Director or with a Director, Diversity Equity & Inclusion, does not constitute notice of any complaints or claims against HHMI or its trustees, officers, employees or agents, and does not toll or affect any time limits by which notice of complaints or claims must be provided to HHMI or any of its trustees, officers, employees or agents. Employees communicating to or with the Janelia Ombuds Director or with a Director, Diversity, Equity & Inclusion, who wish to bring a complaint to the attention of HHMI management should report the complaint to the employee's manager, HR Business Partner, or other People & Culture Representative, or by contacting HHMI's external EEO hotline at 1-888-225-1189 or <https://redflagreporting.com/HHMI>.

People & Culture Procedure

A qualified HHMI representative assigned as outlined below, will review available and relevant information and conduct and document a timely investigation. HHMI's usual procedure is as follows:

The Chief of People & Culture will select an HR Business Partner or another qualified internal or external HHMI representative to investigate the complaint, in consultation with the Office of the General Counsel. If HHMI determines that the Chief of People & Culture is conflicted from leading the investigation, the Vice President and General Counsel will instead select a qualified internal or external HHMI representative to investigate the complaint.

The HR Business Partner, or other qualified HHMI representative selected to investigate the complaint, will review available and relevant information and conduct and document a timely investigation, in consultation with the Office of General Counsel, as necessary.

Reports of discrimination, sexual or other harassment, and/or retaliation will receive a fair, timely and thorough investigation that is designed to obtain the most complete understanding of the facts and information available.

HHMI will provide all appropriate parties the opportunity to provide information relevant to the investigation and will attempt to reach a reasonable conclusion based on the information collected.

The investigator will typically provide an investigation summary report to the Chief of People & Culture (or Vice President and General Counsel, in the event of a conflict).

At the conclusion of its investigation, HHMI will take further appropriate actions, if necessary, to resolve the complaint and any related workplace concerns. If HHMI finds that a policy has been violated or if misconduct is found, we will take appropriate corrective and remedial measures in a timely manner, up to and including termination of employees. Corrective and remedial measures for non-employees may include, for example, removal from HHMI premises or being barred from receipt of HHMI contracts or other grants or awards.

Confidentiality

Complaints of perceived harassment, discrimination, retaliation or other violations of HHMI policy will be kept confidential by HHMI to the extent possible. However, complete confidentiality is not guaranteed.

HHMI will act consistent with the need to gather facts, conduct an effective investigation, and take corrective action as necessary. Additionally, in some cases, HHMI management will need to inform representatives of host institutions, or others, of the matter.

No Retaliation

HHMI strictly prohibits and does not tolerate any form of reprisal or retaliation for good faith reporting of incidents that are believed to constitute discrimination, harassment, or retaliation in violation of HHMI policies, pursuing any such complaint, participating in the investigation or resolution of such a complaint (e.g., witnesses or observers), or testifying or assisting in any proceeding relating to such a complaint.

Retaliation against individuals who complain of discrimination, harassment (including but not limited to sexual harassment), retaliation in violation of HHMI's policies, or retaliation against individuals who participate in investigation or resolution of such a complaint, or who testify or assist in any proceeding under the law is prohibited. This no-retaliation policy applies whether a good

faith complaint of discrimination, harassment, or retaliation is well founded or ultimately determined to be unfounded.

No HHMI manager, supervisor, or other employee is authorized, or permitted, to retaliate or take any adverse employment action whatsoever against anyone for reporting incidents believed to be discrimination, harassment or retaliation in violation of HHMI policies, or for opposing any discriminatory, harassing or retaliatory practice in the workplace.

Any individual who feels he or she has been retaliated against in violation of this no-retaliation policy is responsible for reporting the retaliation to HHMI management, in the same manner as any other complaint of harassment or discrimination should be reported.

This procedure will not prevent, limit, or delay HHMI from taking disciplinary or other employment action against any individual, up to and including termination, or other corrective action, when HHMI concludes that disciplinary or other employment action or corrective action is appropriate.

Related Procedures, Forms and Policies

[Workplace Behavior Policy](#)

[Recruitment and Hiring Policy](#)

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