ANTI-HARASSMENT, BULLYING, DISCRIMINATION, AND RETALIATION POLICY
Anti-Harassment, Bullying, Discrimination, and Retaliation Policy

The Kavli Foundation is committed to providing a work environment that is free from harassment, bullying, discrimination and retaliation based on gender, gender identity and expression, transgender status, age, sexual orientation, marital status, pregnancy (which includes breastfeeding and conditions related to pregnancy, childbirth or breastfeeding), mental or physical disability, medical condition, genetic information, physical appearance, race (which includes traits historically associated with race, such as hair texture or protective hairstyles), color, ethnicity, national origin, citizenship status, ancestry, religious (including all aspects of religious beliefs, observance or practice, including religious dress or grooming practices) (or nonreligious) affiliation, military or veteran status, request for protected time off (such as pregnancy disability leave, sick leave, or family/medical leave, if applicable), politics or any other personal status or characteristic(s) protected by federal, state or local law (each a “protected characteristic”).

Any conduct which denigrates or shows hostility or aversion toward an employee because of their actual or perceived legally protected characteristic(s) or has the purpose or effect of unreasonably interfering with an employee's work performance, or creating an intimidating, hostile, or offensive work environment is prohibited.

This policy applies to all Kavli Foundation employees, and agents (which for the purposes of the Anti-Harassment, Bullying, Discrimination, and Retaliation Policy include: independent contractors, interns, volunteers, and any other individual acting on behalf of The Kavli Foundation), and prohibits harassment and discrimination in any form, including written, verbal, physical and visual harassment. Any employee whom the Foundation makes a reasonable and good faith determination has committed such a violation will be subject to appropriate disciplinary action as determined by the Foundation including, without limitation, verbal or written warnings, suspensions, mandatory training, or immediate termination of employment.

Anti-Harassment Policy

The Kavli Foundation does not tolerate harassment of any kind, including sexual harassment which may include unwelcome sexual advances, requests for sexual favors, or other unwelcome verbal or physical contact of a sexual nature. This and other forms of harassment, coercion or intimidation creates an offensive, hostile and intimidating working environment and prevents an individual from effectively performing the duties of their position. Any violation of this policy will subject the harasser to discipline, including termination. There will be no retaliation for anyone who in good faith alleges harassment.

Anti-Bullying Policy

The Kavli Foundation is also committed to providing all employees a healthy and safe work environment, this includes the in-office experience, work-related or sponsored functions and business while on work-related travel. The Foundation will ensure that procedures exist to allow complaints of bullying to be dealt with and resolved within the Foundation, without limiting any person’s entitlement to pursue resolution of their complaint with the relevant statutory authority. There will be no retaliation for anyone who in good faith alleges bullying.

Bullying is unwelcome or unreasonable behavior that demeans, intimidates or humiliates people either as individuals or as a group. Bullying behavior is often persistent and part of a pattern, but it can also occur as a single incident. It is usually carried out by an individual but can also be an aspect of group behavior (see “mobbing” below). Some examples of bullying behavior can include verbal communication (e.g., insults, abusive or offensive language, spreading rumors), manipulating the work environment (e.g., excessive demands, isolating people from normal work interaction) and psychological manipulation (e.g., setting people up for failure, stalking).
Context is important in understanding bullying, particularly verbal communication. There is a difference between friendly insults exchanged by long-time work colleagues and comments that are meant to be, or are taken as, demeaning. While care should be exercised, particularly if a person is reporting alleged bullying as a witness, it is better to be genuinely mistaken than to let actual bullying go unreported.

Mobbing is a particular type of bullying behavior carried out by a group rather than by an individual. Mobbing is the bullying or social isolation of a person through collective unjustified accusations, humiliation, general harassment or emotional abuse. Although it is group behavior, specific incidents such as an insult or a practical joke may be carried out by an individual as part of mobbing behavior.

**Anti-Discrimination Policy**

An applicant or employee’s protected status or characteristic(s) shall not adversely affect the individual’s employment opportunities with The Kavli Foundation. All employment-related decisions, including hiring, firing, promotion, demotion, job assignment, training, scheduling, transfer and compensation, shall be made without regard to an employee’s protected status or characteristic(s). Discrimination in any form will not be tolerated. The Kavli Foundation is committed to extending equal employment opportunities to all applicants and employees on the basis of individual merit and qualifications.

In addition, it is the policy of The Kavli Foundation to reasonably accommodate known disabilities to the extent required by law.

**Non-Retaliation Policy**

The Kavli Foundation is committed to protecting our employees from unlawful discrimination or retaliation as a result of their reporting information regarding, or their participation in investigations involving allegations of improper or unethical conduct or suspected violations of the applicable law or regulation of any jurisdiction, foreign or domestic, where The Kavli Foundation conducts its activities, or of Foundation policies, by any Foundation employee. Specifically, our policy is designed to prevent employees from being subject to disciplinary or retaliatory action by the Foundation because the employee has, in good faith:

- disclosed information to a representative of the Foundation where the employee has a reasonable belief that the information demonstrates a violation or possible violation of applicable law or regulation, or of Foundation policies;
- made a report, or disclosed information, to a representative of the Foundation regarding any activity or conduct that is suspect, questionable or may be contrary to any law or Foundation policy;
- provided information in connection with a governmental, regulatory or law enforcement investigation or proceeding filed or about to be filed, or otherwise assisted in any such investigation or proceeding, regarding any conduct that the employee reasonably believes involves a violation of applicable law or regulation;
- reported to a representative of the Foundation suspected conflicts of interest, self-dealing, unethical behavior, or concerns about the integrity or effectiveness of the Foundation’s internal controls, auditing function or accounting systems; or
- reported to a representative of the Foundation or a governmental agency unlawful harassment or discrimination.

If any employee believes that he/she has been subject to any discrimination or retaliation or other adverse action by The Kavli Foundation for making a report in accordance with this policy, he/she should report such discrimination or retaliation to Human Resources. If it is determined that an employee has experienced any improper employment action in violation of this policy, the Foundation will take appropriate corrective action.
Any employee who willfully files a false report, or who provides evidence which is known by the employee to be false or as to which the employee has no reasonable basis for believing the information to be true, will not be protected by this policy, and may be subject to disciplinary action, up to and including termination of employment.

**Procedure for Reporting Complaints of Possible Harassment, Discrimination, Bullying, or Retaliation**

The Kavli Foundation requires all employees, contractors and agents to immediately report any incidents of harassment or discrimination prohibited by this policy.

Reports under this policy may, at the employee’s option, be reported using any of the following channels:
- Ann Deno, Director of Human Resources at 424.353.8811
- The employee’s manager
- Any other senior management personnel

Confidentiality will be maintained to the fullest extent possible, consistent with the need to conduct an adequate investigation. In the course of any investigation, the Foundation may find it necessary to share information with others on a “need to know” basis.

Employees are to report their concerns using one or more of the channels specified above. The procedures set forth in this policy are specifically designed so that an employee can bypass a supervisor he/she believes is engaged in improper conduct. All reports, but particularly those that are anonymous, should be factual rather than speculative or conclusory, and should contain as much specific information as possible so that persons assigned to investigate the report are able to adequately assess the nature, extent and urgency of the allegations, and to conduct a fair and thorough investigation. If an anonymous complaint cannot be properly investigated because insufficient information has been provided, Human Resources will have no option but to close the matter. Therefore, it is critical that reports are as factual and specific as possible.

When such a report or complaint is received, the Foundation will act reasonably and in good faith to:
- Inform or confirm for the employee who may have been subject to harassment, discrimination, retaliation, or bullying prohibited by the policy of their right to complain about such conduct and to seek redress of such complaint(s);
- Promptly conduct an objective investigation of the alleged harassment, discrimination, retaliation, or bullying;
- Take efforts to maintain employee confidentiality to the extent practical;
- Make a reasonable and good faith determination about whether harassment, discrimination, retaliation, or bullying in violation of the policy occurred, and communicate this determination to the appropriate employee(s) involved in the report or complaint of such conduct; and
- Take effective remedial action if the Foundation has made a reasonable and good faith determination that harassment, discrimination, retaliation, or bullying in violation of the policy occurred, and communicate the taking of this action to the appropriate employee(s) involved in the report or complaint of such conduct.

In addition to notifying the Foundation about harassment, discrimination, retaliation or bullying complaints, affected employees also may direct their complaints to the Equal Employment Opportunity Commission (EEOC) or the comparable State agency, in California, the Department of Fair Employment and Housing (DFEH), which have the authority to conduct investigation of the facts. If the EEOC or State agency believes that a complaint is valid and settlement efforts fail, the EEOC or State agency may seek an administrative
hearing or file a lawsuit in court. Both the agencies and the courts have the authority to award monetary and nonmonetary relief in meritorious cases. The law protects employees against retaliation for filing a complaint with either the EEOC or State agency or otherwise participating in an investigation, proceeding, or hearing conducted by either agency.

If you have any questions regarding The Kavli Foundation Anti-Harassment, Bullying, Discrimination, and Retaliation Policy, please contact Human Resources.