# **RARE GENOMICS INSTITUTE** **VOLUNTEER HANDBOOK**

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INTRODUCTION

Welcome! As a volunteer of The Rare Genomics Institute, you are a valued member of a team effort. We hope that you will find your position with The Rare Genomics Institute rewarding, challenging, and productive.

There are several things that are important to keep in mind about this Handbook. First, it contains only general information and guidelines. It is not intended to be comprehensive or to address all the possible applications of, or exceptions to, the general policies and procedures described. For that reason, if you have any questions concerning eligibility for a particular benefit, or the applicability of a policy or practice to you, you should address your specific questions to Management. Also, if any provision in this Volunteer Manual be found to be unenforceable and invalid, such finding does not invalidate the entire Volunteer Manual, but only that particular provision.

Second, the procedures, practices, policies and benefits described here may be modified or discontinued from time to time. The Rare Genomics Institute reserves the right to modify, supplement, deviate from or rescind any of its policies, procedures, volunteer benefits or other terms and conditions of volunteer service or any provision of this Handbook at any time, with or without cause or notice, as it deems appropriate in its sole and absolute discretion. To be effective, any such changes must be in writing signed by the CEO and/or his or her designee. It is our intention to inform you of any changes when they occur.

Third, this Handbook is not an employment contract. Neither this Handbook nor any other Company document confers any contractual right; either expressed or implied, to remain in the Company's employ. Nor does it guarantee any fixed terms and conditions of your volunteer service. Your volunteer service is not for any specified or definite period of time and may be terminated at any time at the will of either you or the Company, with or without cause and with or without prior notice. No supervisor or other representative of the Company has the authority to enter into any agreement for volunteer service for any specified period of time or to make any agreement contrary to at will volunteer service except for the CEO of the Company and then only expressly in writing signed by him/her

Finally, some of the benefits described in this Handbook are covered in detail in official plan documents. You should refer to these documents for specific information, since this Handbook only briefly summarizes those benefits. Please note that the terms of the written plan documents are controlling to the extent there may be any differences between what is in this Handbook and what is set forth in the plan documents.

Throughout this Handbook, we ask you to consult with Management before proceeding on certain personnel or volunteer service-related matters. There are several reasons for this. It enables Management to help you with difficult personnel issues. Additionally, many practices that seem perfectly reasonable to you may, under certain circumstances, lead to legal issues. Additionally, Management personnel can offer professional support and assistance to help resolve your issues and concerns.

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### MISSION STATEMENT

The Rare Genomics Institute is a 501C3 charitable tax exempt non-profit volunteer organization dedicated to enabling genome sequencing to improve rare disease diagnostics, therapy, treatment, and accelerate cures. We are dedicated to establishing a new paradigm of patient-empowerment, through crowdfunding, cutting edge research, and personalized medicine by providing knowledge, human resources, capital, and scientific tools in collaboration with scientists from across the globe.

### VISION STATEMENT

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### MESSAGE FROM THE MANAGEMENT TEAM

We are very pleased to deliver The Rare Genomics Institute Volunteer Handbook. This Handbook represents many hours of hard work on the part of The Rare Genomics Institute’ Management and many others. Its contents have been the subject of much thought, discussion, and deliberation.

We strongly encourage you to carefully review this Handbook. Its provisions set the standard for the relationship between The Rare Genomics Institute and each of us as individual volunteers. For that reason, you should consider the Handbook as your first resource for any question you might have concerning that relationship.

We made every effort to integrate The Rare Genomics Institute’s core values into this Handbook, and to make its guidelines understandable. We intend to maintain the Handbook so that it continues to provide clear, up-to-date and understandable guidelines that reflect our values. Should you have any questions or comments, please share them with Management.

Welcome to The Rare Genomics Institute!

***Management***

# **The Rare Genomics Institute POLICIES**

## 

### EQUAL EMPLOYMENT/DISCRIMINATION FREE/HARASSMENT FREE WORKPLACE POLICY

The Rare Genomics Institute is committed to providing equal opportunities, without discrimination or harassment on the basis of race, color, sex, gender, gender identity, gender expression, age, disability, religion, religious dress, national origin, marital or veteran status, sexual orientation, ancestry, political belief or activity, cancer-related medical condition, genetic characteristics, mental or physical disability or any other category protected by law. All Company decisions, including but not limited to compensation, benefits, transfers, promotions, dismissals, Company-sponsored training and educational programs and any other terms and conditions of volunteer service will be made without regard to those factors. Further, The Rare Genomics Institute will not tolerate discrimination or harassment based on these or any other legally protected categories. Discrimination in violation of this policy will be subject to disciplinary action, up to and including termination.

DEFINITIONS OF HARASSMENT

Sexual harassment may include a range of behaviors and may involve individuals of the same or different gender. Depending on the circumstances, these behaviors may include, but are not limited to: unwanted sexual advances or requests for sexual favors; sexual jokes and innuendo; verbal abuse of a sexual nature; commentary about an individual's body, sexual prowess or sexual deficiencies; leering, catcalls or touching; insulting or obscene comments or gestures; display or circulation in the workplace of sexually suggestive objects or pictures (including through e-mail); and other physical, verbal or visual conduct of a sexual nature.

a. Sexual harassment is a form of discrimination and is unlawful under Title VII of the Civil Rights Act of 1964. For the purposes of this policy, sexual harassment is defined as unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when, for example: (i) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's volunteer service; (ii) submission to or rejection of such conduct by an individual is used as the basis for service decisions affecting such individual; or (iii) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

b. Harassment on the basis of any other protected characteristic is also strictly prohibited. Under this policy, harassment is verbal or physical conduct that denigrates or shows hostility or aversion toward an individual because of any characteristic protected by law and that: (i) has the purpose or effect of creating an intimidating, hostile or offensive work environment; (ii) has the purpose or effect of unreasonably interfering with an individual's work performance; or (iii) otherwise adversely affects an individual's volunteer opportunities.

Harassing conduct includes, but is not limited to: epithets, slurs or negative stereotyping; threatening, intimidating or hostile acts; denigrating jokes and display or circulation in the workplace of written or graphic material that denigrates or shows hostility or aversion toward an individual or group (including through e-mail).

INDIVIDUALS AND CONDUCT COVERED

These policies apply to all applicants, interns, and volunteers, and prohibit harassment, discrimination and retaliation whether engaged in by fellow volunteers, by a supervisor or manager or by someone not directly connected to The Rare Genomics Institute (e.g., an outside vendor, consultant or consumer).

Conduct prohibited by these policies is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings and business-related social events.

RETALIATION IS PROHIBITED

The Rare Genomics Institute prohibits retaliation against any individual who reports discrimination or harassment or participates in an investigation of such reports. Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy and, like harassment or discrimination itself, will be subject to disciplinary action up to and including termination.

COMPLAINT PROCEDURE - REPORTING AN INCIDENT OF HARASSMENT, DISCRIMINATION OR RETALIATION

The Rare Genomics Institute supports the concept of direct resolution between parties through open communication. In that spirit, we urge volunteers to discuss issues openly with one another. And, while the Company’s commitment to open resolution holds true for all situations, including issues of harassment or discrimination, it is imperative that all such issues are brought to the attention of Company Management.

The Rare Genomics Institute strongly urges the reporting of all incidents of discrimination, harassment or retaliation, regardless of the offender's identity or position. Individuals who believe they have experienced conduct that they believe is contrary to The Rare Genomics Institute’ policy or who have concerns about such matters should file their complaint, preferably in writing, using the process outlined below:

* The volunteer should bring the situation to the attention of their immediate supervisor, who will then notify a Management representative
* If the volunteer is not comfortable discussing the situation with their immediate supervisor, they should bring the situation to the attention of a member of the Management.
* The Rare Genomics Institute’ Management will promptly investigate

IMPORTANT NOTICE: Volunteers who have experienced conduct they believe is contrary to this policy have an obligation to take advantage of this complaint procedure. A volunteer’s failure to fulfill this obligation could affect his or her rights in pursuing legal action.

Early reporting and intervention have proven to be the most effective method of resolving actual or perceived incidents of harassment. Therefore, while no fixed reporting period has been established, The Rare Genomics Institute strongly urges the prompt reporting of complaints or concerns so that rapid and constructive action can be taken.

The availability of this complaint procedure does not preclude individuals who believe they are being subjected to harassing conduct from promptly advising the offender that his or her behavior is unwelcome and requesting that it be discontinued. Volunteers also have the right to contact the Equal Employment Opportunity Commission, the Department of Fair Employment and Housing and/or a comparable state Agency.

THE INVESTIGATION

Any reported allegations of harassment, discrimination or retaliation will be investigated promptly. The investigation may include individual interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or may have other relevant knowledge.

Confidentiality will be maintained throughout the investigatory process to the extent consistent with adequate investigation and appropriate corrective action.

RESPONSIVE ACTION

Misconduct constituting harassment, discrimination or retaliation will be dealt with appropriately. Responsive action may include, for example, training, referral to counseling and/or disciplinary action such as warning, reprimand, withholding of a promotion or pay increase, reassignment, temporary suspension without pay or termination, as The Rare Genomics Institute believes appropriate under the circumstances.

If a volunteer making a complaint does not agree with its resolution, the volunteer may appeal to The Rare Genomics Institute’ CEO. If the volunteer does not agree with the CEO’s resolution, the volunteer may appeal to The Rare Genomics Institute’ Board of Directors.

Individuals who have questions or concerns about these policies should contact Management.

Finally, these policies should not, and may not, be used as a basis for excluding or separating individuals of a particular gender, or any other protected characteristic, from participating in business or work-related social activities or discussions in order to avoid allegations of harassment. The law and the policies of The Rare Genomics Institute prohibit disparate treatment on the basis of gender or any other protected characteristic, with regard to terms, conditions, privileges and perquisites of volunteer service. The prohibitions against harassment, discrimination and retaliation are intended to complement and further these policies, not to form the basis of an exception to them.

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### AMERICANS WITH DISABILITIES ACT POLICY

The Rare Genomics Institute is committed to complying with all applicable provisions of the Americans With Disabilities Act (“ADA”), and state law prohibiting employment discrimination based on disability. It is the Company’s policy not to discriminate against any qualified volunteer or applicant with regard to any terms or conditions of employment because of such individual’s disability or perceived disability or known record or history of a disability, so long as the applicant or volunteer can perform the essential functions of the job. Consistent with this policy of nondiscrimination, the Company will provide reasonable accommodations to a qualified individual with a disability, as defined by the ADA or applicable state law, who has made the Company aware of his or her disability, provided that such accommodation does not constitute an undue hardship on the Company.

Volunteers with a disability who believe they need a reasonable accommodation to perform the essential functions of their job should contact Management. The Rare Genomics Institute encourages individuals with disabilities to come forward and request reasonable accommodation.

PROCEDURE FOR REQUESTING AN ACCOMMODATION

On receipt of an accommodation request, Management will meet with you to engage in an interactive process to discuss and identify the precise limitations resulting from the disability and potential accommodations that The Rare Genomics Institute might make to effectively overcome those limitations.

The Rare Genomics Institute will determine the feasibility of the requested accommodation considering various factors, including whether the accommodation will cause The Rare Genomics Institute an undue hardship.

The Rare Genomics Institute will inform the volunteer of its decision on the accommodation request or on how to make the accommodation. If the accommodation request is denied, volunteers will be advised of their right to appeal the decision by submitting a written statement explaining the reasons for the request. If the request on appeal is denied, that decision is final.

Please note, applicable federal and state law does not require organizations to make the best possible accommodation, to reassign essential job functions, or to provide personal use items (i.e., eyeglasses, hearing aids, wheelchairs etc.).

A volunteer or job applicant who has questions regarding this policy or believes that he or she has been discriminated against based on a disability should notify Management. All such inquiries or complaints will be treated as confidential to the extent permissible by law.

### ALCOHOL AND DRUG FREE WORKPLACE POLICY

The Rare Genomics Institute is committed to maintaining a policy that provides for a safe and healthful work environment that is free of alcohol or other substance abuse.

The use, manufacture, purchase, sale, offer for sale, distribution or possession of any illegal drugs or controlled substances on The Rare Genomics Institute’ premises is prohibited, as is being under the influence of illegal drugs or controlled substances upon reporting to work, while working or on duty or while on The Rare Genomics Institute property or in a The Rare Genomics Institute vehicle.The possession of a Proposition 215 medical marijuana card will not insulate you from negative consequence for violating the provisions of this policy.

Reporting to work or working while under the influence of alcohol is also prohibited. Any volunteer who is using prescription or over-the-counter drugs that may impair the volunteer’s ability to safely perform the job, or affect the safety or well-being of others, must notify a supervisor of such use immediately before starting or resuming work.

The Rare Genomics Institute reserves the right to conduct searches of The Rare Genomics Institute property or volunteers and/or their personal property, and to implement other measures necessary to deter and detect abuse of this policy.

(CA or OR Only) The possession of a state approved medical marijuana card will not insulate you from negative consequences for violating the provisions of this section.

Violation of this policy is considered gross misconduct and may result in immediate termination of volunteer service.

Any volunteer who has information concerning possible violations of The Rare Genomics Institute’ Alcohol and Drug Free Workplace policy should contact Management.

The Rare Genomics Institute encourages volunteers with drug or alcohol problems to obtain treatment. Notwithstanding such problems, volunteers are subject to dismissal if the problems persist and they are unable to perform their jobs satisfactorily.

### TECHNOLOGY AND FACILITY USAGE POLICIES

The Rare Genomics Institute’ computer systems and other technical resources are provided by the Company to advance the business of the Company and are to be used only in the pursuit of the Company’s business. The Company reserves the right to monitor or review the use of its computer and other technical resources, and any information contained within these systems or resources. If, during the course of your volunteer service, you perform or transmit work on the Company’s computers, cell phones or other technical resources, your work may be accessed and subject to the review, use and monitoring by others.

You may only access files and programs that you have permission to enter. Unauthorized download and/or installation of software, (including games and messaging programs), review of files, dissemination of passwords, the creation or use of passwords not authorized by the Company, damage to systems, removal of files, removal of programs or improper use of information contained in the computer system is prohibited. Computers may be used for home work assignments in times other than those recorded as work on timecard, however, Management reserves the right to inspect any computer, cell phone records, and no rights of privacy are conferred to any volunteer in regards to content stored on any The Rare Genomics Institute equipment.

As a volunteer of The Rare Genomics Institute, you are expressly prohibited from use of the Company’s equipment for non-Company related purposes, without the authorization of your supervisor. However, no personal right of privacy of a volunteer exists in any file contained within or transmitted by the Company’s computers.

The use of The Rare Genomics Institute’ electronic communication, E-mail, cell phones etc. in any manner that may be disruptive, offensive to others, or harmful to morale is also specifically prohibited, including but not limited to the display or transmission of sexually explicit images, messages and cartoons, as well as the use of any ethnic slurs or communication that may be construed as harassment or disparagement of others. The use of E-mail, cell phones or other devices, by individuals, to solicit or proselytize others for commercial ventures, religious or political causes, outside organizations or other non-job related solicitations is prohibited. Searches of E-mail, cell phone records, may be conducted without advance notice in order to ensure that the purpose of this technology, i.e., to facilitate transmittal of business-related information, is being upheld.

The Rare Genomics Institute property such as laptops, desktops, cellular telephones, office telephones, etc., are not to be used for illegal activities. All Company owned equipment, provided to volunteers, remains the property of The Rare Genomics Institute, and must be surrendered to the Company upon request. Volunteers who are provided a The Rare Genomics Institute phone number may use the phone for personal reasons only in the case of an emergency. Invoices and other documentation related to this type of equipment are the property of the Company and may be reviewed and used for purposes the Company considers appropriate.

Failure to comply with the policies stated above may be grounds for disciplinary action, up to and including termination of service.

~~BYOD (BRING YOUR OWN DEVICE) POLICY [long form]~~

~~The Rare Genomics Institute grants its volunteers the privilege of working remotely and using technology to share information and connect with teams.~~

~~This policy is intended to protect the security and integrity of The Rare Genomics Institute’s data and technology infrastructure. Limited exceptions to the policy may occur due to variations in devices and platforms.~~

~~The Rare Genomics Institute volunteers must agree to the terms and conditions set forth in this policy in order to be able to connect their devices to the company network.~~

~~Acceptable Use~~

~~The Company defines acceptable business use as activities that directly or indirectly support the business of Idomeneo Enterprises.~~

~~Devices are subject to the Company’s Video and Audio Recording, Confidentiality, Driving Safety, Overtime.~~

~~Devices may not be used at any time to:~~

* ~~Store or transmit illicit materials~~
* ~~Store or transmit proprietary information~~
* ~~Harass others~~

~~Volunteers may access their The Rare Genomics Institute eMail via a POP3 or IMAP account. No access to other company systems will be permitted.~~

*~~Devices and Support~~*

~~Smartphones including iPhone, Android, Blackberry and Windows phones; tablets including iPad and Android; and wearable devices such as Google Glass are allowed. All devices must be set to vibrate or silent mode while on Company premises.~~

~~Volunteers may not use any device to take pictures, videos, audios or any other manner of recording, during working time, without the express permission of the CEO and all parties involved.~~

~~Subject to federal and state requirements, the company will not reimburse the volunteer for any charges or fees associated with personal devices.~~

*~~Security~~*

~~Devices must be password protected using the features of the device and a strong password is required to access the company network.~~

~~The company’s strong password policy is: Passwords must be at least six characters and a combination of upper- and lower-case letters and numbers. The device must lock with a password or PIN if idle for a minimum of five minutes.~~

~~The company reserves the right to disconnect eMail access without notification.~~

~~The volunteer assumes full liability for risks including, but not limited to, the partial or complete loss of company and personal data due to an operating system crash, errors, bugs, viruses, malware, and/or other software or hardware failures, or programming errors that render the device unusable.~~

~~Use of personal mobile devices is subject to the Company’s Technology and Facility Usage, Confidentiality, Anti-Harassment, Non Discrimination, Driving Safety, Overtime and other applicable policies. Also keep in mind, federal and/or state privacy regulations apply.~~

~~The Rare Genomics Institute reserves the right to take appropriate disciplinary action, up to and including termination, for noncompliance with this policy.~~

E-MAIL, VOICE MAIL AND TEXTING POLICY

E-mail and voice mail systems are supplied for business use only and any electronic records maintained on a The Rare Genomics Institute system are considered Company records and the property of The Rare Genomics Institute. You should be aware that, under the circumstances described in those sections password protection can be circumvented and messages read. Information contained on these systems is subject to review; Company Management may override your voicemail, email, or cell phone password and review your messages if deemed necessary in the best interests of the Company. Additionally, searches of these systems may be conducted without advance notice in order to ensure that the purpose of these technologies, i.e., to facilitate transmittal of business-related information, is being upheld.

TAPE RECORDING POLICY

It is a violation of The Rare Genomics Institute policy to record conversations with a tape recorder or other recording device unless prior written approval is received from your supervisor or a member of Management and all parties to the conversation knowingly and expressly give their consent as evidenced on the recording.

The purpose of this policy is to eliminate a chilling effect on the expression of views that may exist when one person is concerned that his or her conversation with another is being secretly recorded. This concern can inhibit spontaneous and honest dialogue especially when sensitive or confidential matters are being discussed. Secretly tape-recording confidential communications is illegal.

### SOCIAL MEDIA POLICY

As a volunteer, the use of social media also presents certain risks and carries with it certain responsibilities. To assist you in making responsible decisions about your use of social media, we have established these guidelines for appropriate use of social media.

This Policy applies to all Social Networking while off duty. Nothing in this policy will be interpreted to limit or interfere with your rights under Section 7 of the National Labor Relations Act.

The term Social Networking includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else’s web log or blog, journal or diary, personal web site, social networking or affinity web site, web bulletin board or a chat room, whether or not associated or affiliated with The Rare Genomics Institute, as well as any other form of electronic communication. The same principles and guidelines found in The Rare Genomics Institute policies and apply to your activities online. Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved. Keep in mind that any of your conduct that adversely affects your job performance, the performance of fellow associates or otherwise adversely affects members, customers, suppliers, people who work on behalf of The Rare Genomics Institute or [xxxCompany}’s legitimate business interests may result in disciplinary action up to and including termination.

KNOW AND FOLLOW THE RULES

Carefully read these guidelines and the Discrimination & Harassment Prevention Policy, and ensure your postings are consistent with these policies. Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may subject you to disciplinary action up to and including termination.

BE RESPECTFUL

Always be fair and courteous to fellow associates, customers, members, suppliers or people who work on behalf of The Rare Genomics Institute. Also, keep in mind that you are more likely to resolve work related complaints by speaking directly with your co-workers or by utilizing our Open Communication Policy than by posting complaints to a social media outlet. Nevertheless, if you decide to post complaints or criticism, avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening or intimidating, that disparage customers, members, associates or suppliers, or that might constitute harassment or bullying. Examples of such conduct might include offensive posts meant to intentionally harm someone’s reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion or any other status protected by law or company policy.

BE HONEST AND ACCURATE

Make sure you are always honest and accurate when posting information or news, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that you know to be false about The Rare Genomics Institute, fellow associates, members, customers, suppliers, people working on behalf of The Rare Genomics Institute or competitors.

Post only appropriate and respectful content

* Maintain the confidentiality of The Rare Genomics Institute trade secrets and private or confidential information. Trades secrets may include information regarding the development of systems, processes, products, know-how and technology. Do not post internal reports, policies, procedures or other internal business-related confidential communications.
* Respect financial disclosure laws. It is illegal to communicate or give a “tip” on inside information to others so that they may buy or sell stocks or securities. Such online conduct may also violate the Insider Trading Policy.
* Do not create a link from your blog, website or other social networking site to a The Rare Genomics Institute website without identifying yourself as a The Rare Genomics Institute associate.
* Express only your personal opinions. Never represent yourself as a spokesperson for The Rare Genomics Institute. If XXX is a subject of the content you are creating, be clear and open about the fact that you are an associate and make it clear that your views do not represent those of The Rare Genomics Institute, fellow associates, members, customers, suppliers or people working on behalf of The Rare Genomics Institute. If you do publish a blog or post online related to the work you do or subjects associated with The Rare Genomics Institute, make it clear that you are not speaking on behalf of The Rare Genomics Institute. It is best to include a disclaimer such as “The postings on this site are my own and do not necessarily reflect the views of The Rare Genomics Institute.”

USING SOCIAL MEDIA AT WORK

Refrain from using social media while on work time or on equipment we provide, unless it is work-related as authorized by your manager or consistent with the Company Equipment Policy. Do not use The Rare Genomics Institute email addresses to register on social networks, blogs or other online tools utilized for personal use.

RETALIATION IS PROHIBITED

The Rare Genomics Institute prohibits taking negative action against any associate for reporting a possible deviation from this policy or for cooperating in an investigation. Any associate who retaliates against another associate for reporting a possible deviation from this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

MEDIA CONTACTS

Associates should not speak to the media on The Rare Genomics Institute’s behalf without contacting the Corporate Affairs Department. All media inquiries should be directed to them.

FOR MORE INFORMATION

If you have questions or need further guidance, please contact your HR representative.

Failure to comply with this policy may lead to discipline, up to and including termination.

### CONFIDENTIALITY POLICY

All The Rare Genomics Institute financial data, or other non-public proprietary company information are confidential and volunteers must, therefore, treat all matters accordingly. This type of The Rare Genomics Institute confidential information, including without limitation, documents, notes, files, records, oral information, computer files or similar materials may be removed from The Rare Genomics Institute’ premises without permission from The Rare Genomics Institute except in the ordinary course of performing duties on behalf of The Rare Genomics Institute.

Volunteers must not disclose any confidential information, purposefully or inadvertently (through casual conversation), to any unauthorized person inside or outside the Company.

Volunteers who are unsure about the confidential nature of specific information may ask their supervisor for clarification. Volunteers will be subject to appropriate disciplinary action, up to and including dismissal, for revealing information of a confidential nature.

Nothing in this policy will be interpreted to limit or interfere with your rights under Section 7 of the National Labor Relations Act.

Volunteers are required to sign a Confidentiality Agreement prepared by the Company as a condition of their volunteer service. Any breach of this policy will result in disciplinary action up to and including immediate termination. The Rare Genomics Institute also reserves the right to take appropriate legal action.

### CONFLICT OF INTEREST POLICY

BASIC POLICY

Management will review actual and potential conflicts of interest and may determine a conflict of interest exists or does not exist, take appropriate corrective action or authorize exceptions

Although Management may adopt any appropriate action, it will generally direct such individual either to give up the conflicting interest or not to represent The Rare Genomics Institute in situations where the conflict exists or might develop. Management may also advise such individual to continue to represent The Rare Genomics Institute, under the direction of his/her supervisor.

If an individual is involved in any situation described below under Conflict of Interest Situations, he/she must report the relevant details in a memorandum to his/her supervisor or to a member of Management. The supervisor and Management will treat all reports as confidential. The failure to report the situation or its relevant details is cause for dismissal.

CONFLICT OF INTEREST SITUATIONS

The examples listed below do not constitute an all-inclusive list of conflicts of interest. They are intended to illustrate the kinds of situations that might represent conflicts of interest. Individuals have a responsibility to report the potential conflicts of interest, even if they are not mentioned below (see the definitions at the end of this policy).

Conflicts of interest can involve the following:

(1) Outside work: This includes either **employment** or, in some cases, charitable work, if it would interfere with the volunteer’s job performance; if the volunteer serves in a position of responsibility for any company that provides similar services, or organization that routinely shares and/or refers clients to The Rare Genomics Institute *(e.g*., as an officer, director, volunteer, partner or consultant); or if the content of the work or the organization’s activities or operations is actually or potentially in conflict with the volunteer’s duties at The Rare Genomics Institute or with The Rare Genomics Institute’ policy, goals, or business. The most common forms of conflict of interest are to do freelance work for a company that provides similar services or to use The Rare Genomics Institute material, information or property for outside work.

(2) Outside directorships: This includes board membership of any company that is in conflict with The Rare Genomics Institute. There is no limit on the number of boards on which a volunteer may serve if The Rare Genomics Institute has requested such volunteer to so serve. A volunteer may join the board of any number of family-owned companies without prior approval, so long as participation does not interfere with the volunteer’s work in any way. As a matter of policy, The Rare Genomics Institute encourages their volunteers to serve on the boards of professional associations, public institutions or other not-for-profit organizations, so long as this service does not interfere with the volunteer’s regular work.

(3) Inside information: Inside information, for purposes of these guidelines, consists of confidential corporate information regarding the operations of The Rare Genomics Institute or any customer or supplier of either to which a volunteer has gained access through his or her business duties. Such information may be of crucial value to The Rare Genomics Institute and should not be disclosed to outsiders without the approval of senior management. In addition, the buying or selling of securities based on such non-public information, as well as its disclosure to third parties for such purpose may constitute a violation of federal and state securities laws, for which criminal penalties may be imposed.

(4) Gifts: Acceptance by a volunteer or any member of the volunteer’s immediate family of cash, gifts or services having a cumulative value greater than $150 in any one year, directly or indirectly, from or on behalf of, any organization that provides similar service to The Rare Genomics Institute or with which The Rare Genomics Institute does (or may reasonably be expected to do) business is deemed a conflict of interest. Although meals, drinks and entertainment are not subject to this restriction, no volunteer or any member of the volunteer’s immediate family should accept such entertainment on a scale that might appear to obligate the recipient.

(5) Holding an investment or ownership interest in any business publicly held corporations that are suppliers or consumers: Ownership of securities in any organization that is a consumer or supplier of The Rare Genomics Institute and that is listed on any national securities exchange or traded in the over-the-counter market is deemed a conflict of interest, if the volunteer and all members of the volunteer’s immediate family in the aggregate own either:

* 1% or more of any class of securities of such organization, or
* securities of such organization having an aggregate market value of the greater of $35,000.

(6) Holding an investment or sustained ownership interest in a privately held corporation that is a consumer or supplier of The Rare Genomics Institute: ~~Holding any investment or any ownership interest, either direct or indirect, or receipt of income from, any organization that is not publicly held and is a consumer or supplier of The Rare Genomics Institute is deemed a conflict of interest.~~

(7) Influencing business transactions: The Company prohibits any volunteer from participating in, approving or attempting to influence others at The Rare Genomics Institute to approve any transaction for goods, services, or other items if:

* the volunteer or a member of the volunteer’s immediate family produced or participated in the creation or production of the goods or services, or
* the volunteer or a relative of the volunteer has an interest, ownership share or holds an executive position in the organization with which The Rare Genomics Institute is doing business.

(8) Transactions with consumers: Derivation of any personal gain (other than compensation from The Rare Genomics Institute) by a volunteer or any member of the volunteer’s immediate family from any actions taken or not taken in the capacity of a The Rare Genomics Institute volunteer or from any transaction between The Rare Genomics Institute and any consumer of The Rare Genomics Institute may violate The Rare Genomics Institute policy.

In addition, if a The Rare Genomics Institute volunteer has an immediate family member or relative who is a volunteer of a consumer, the The Rare Genomics Institute volunteer should make his/her supervisor aware of that situation.

DEFINITIONS

Immediate family: A member of the immediate family of a volunteer is his/her spouse, domestic partner or companion and any relative of the volunteer, spouse, domestic partner or companion who lives in the volunteer’s household.

Relative: A relative of a volunteer includes members of the volunteer’s immediate family, the volunteer’s child, parent, aunt, uncle, niece or nephew, cousin (or the spouse/domestic partner of any of the foregoing) and the child, parent, aunt, uncle, or cousin (or the spouse/domestic partner of any of the foregoing) of the volunteer’s spouse/domestic partner.

Organization: An organization means any person, firm, corporation, partnership or other entity, all agents and representatives of any organization, and, if the organization is a corporation, all parents and subsidiaries of that corporation, and all corporations that have the same parent as that corporation.

### INTELLECTUAL PROPERTIES AND COPY RIGHTS

All The Rare Genomics Institute volunteers must be aware that The Rare Genomics Institute retains legal ownership of the product of their work. No work product created while employed by The Rare Genomics Institute using The Rare Genomics Institute time, resources, equipment, supplies, facilities or trade secrets or relating to The Rare Genomics Institute’ business or research or development or the work performed by the volunteer for The Rare Genomics Institute can be claimed, construed, or presented as property of the individual, even after volunteer service by The Rare Genomics Institute has been terminated or the relevant project completed. This includes written and electronic documents, audio and video recordings, and also any concepts, ideas, or other intellectual property developed for The Rare Genomics Institute, regardless of whether the intellectual property is actually used by The Rare Genomics Institute. Although it is acceptable for a volunteer to display and/or discuss a portion or the whole of certain work product as an example in certain situations (*e.g.,* on a résumé), one must bear in mind that information classified as confidential must remain so even after the end of service, and that supplying certain other entities with certain types of information may constitute a conflict of interest. In any case, it must always be made clear that the work product is the sole and exclusive property of The Rare Genomics Institute. Contract workers must be particularly careful in the course of any work they discuss doing, or actually do, as a potential conflict of interest.

### VOLUNTEER PROTECTION (WHISTLEBLOWER) POLICY

If any volunteer reasonably believes that some policy, practice, or activity of The Rare Genomics Institute is in violation of law, a written complaint must be filed by that volunteer with the Executive Director or the Board President.

It is the intent of The Rare Genomics Institute to adhere to all laws and regulations that apply to the organization and the underlying purpose of this policy is to support the organization’s goal of legal compliance. The support of all volunteers is necessary to achieving compliance with various laws and regulations. A volunteer is protected from retaliation only if the volunteer brings the alleged unlawful activity, policy, or practice to the attention of the CEO and provides the CEO with a reasonable opportunity to investigate and correct the alleged unlawful activity. The protection described below is only available to volunteers that comply with this requirement.

The Rare Genomics Institute will not retaliate against a volunteer who in good faith, has made a protest or raised a complaint against some practice of The Rare Genomics Institute, or of another individual or entity with whom The Rare Genomics Institute has a business relationship, on the basis of a reasonable belief that the practice is in violation of law, or a clear mandate of public policy.

The Rare Genomics Institute will not retaliate against volunteers who disclose or threaten to disclose to a supervisor or a public body, any activity, policy, or practice of The Rare Genomics Institute that the volunteer reasonably believes is in violation of a law, or a rule, or regulation mandated pursuant to law or is in violation of a clear mandate of public policy concerning the health, safety, welfare, or protection of the environment.

# **WORKING AT The Rare Genomics Institute**

### RECRUITING AND HIRING

HIRING

When hiring new volunteers, The Rare Genomics Institute strives to recruit and select the best qualified applicants for volunteer service on the basis of qualifications, experience, abilities, and other characteristics necessary to competently perform each specific job assignment.

Background checks will be made on all candidates prior to their being placed. The extensiveness of the background check will be dependent on the position being applied but typically consists of three (3) professional references.

When appropriate and feasible, The Rare Genomics Institute will announce available positions to current volunteers before considering external candidates. Volunteers selected from within the Company will be required to participate in the application and interview process and meet all qualifications.

Upon completion of 90 days service, your supervisor will review your performance. If The Rare Genomics Institute finds your performance satisfactory and decides to continue your volunteer service, it will advise you of any improvements expected from you.

REHIRES

When a former volunteer of The Rare Genomics Institute is re-selected, he/she is given appropriate credit for prior service.

### JOB CANDIDATE REFERRAL POLICY

The Rare Genomics Institute is always looking for talented individuals and appreciates recommendations made by existing volunteers.

### INTRODUCTORY PERIOD OF SERVICE

The first 90 days of your active volunteer service are considered an introductory period. During this period, your performance on the job is evaluated to determine your skills and qualifications. At the end of this 90-day period, your immediate supervisor generally completes a 90-day evaluation. This is an evaluation to determine how you are adjusting to your new position, and to the Company. In some instances, the introductory period may be extended.

After successful completion of the introductory period, you will become a regular full-time or part-time volunteer and will become eligible for various volunteer benefits. The Company will continue to evaluate your performance following the introductory period and throughout your volunteer service.

During your volunteer service with the Company, you remain at-will. Satisfactory completion of the introductory period does not alter the at-will nature of your service with the Company.

### EMPLOYMENT CATEGORIES

The Rare Genomics Institute is a 501C3 charitable tax exempt non-profit volunteer organization, and all staff are volunteers.

INACTIVE STATUS

Volunteers who are on any type of leave of absence, work-related or non-work-related, that exceeds four months will be placed on inactive status.

### Volunteer HOURS

BASIC POLICY

As a The Rare Genomics Institute volunteer, your workweek must be flexible to meet the needs of your department’s work schedules and deadlines.

The standard work schedule for full-time, regular volunteers is a minimum of 5-hours per week. The normal hours of engagement may vary according to each department’s needs.

MEAL AND REST PERIODS

Volunteers receive a 30-minute meal break before they complete five (5) hours of work when working six (6) hours or more. A volunteer may waive his/her meal break if six (6) hours of work (or less) will complete the day’s work, and the volunteer voluntarily agrees to waive their right to a meal period. Volunteers working more than 10 hours are subject to a second meal break. Volunteers must punch out and in for meal periods, whether or not they leave the premises. The Company will not impede or discourage volunteers from taking their meal break. If you think you have been impeded or discouraged from taking a meal or rest break, please notify a member of management immediately.

Volunteers are allowed a 10-minute rest period for every four hours of work or major portion thereof. Volunteers may not leave the premises during the rest period. Rest periods may not be combined with lunch breaks, used to shorten the working day in any other manner or accrued (i.e., a volunteer may not “carry over” a morning break in order to have a 20-minute afternoon break).

Your supervisor will oversee the scheduling of meal and rest periods.

TIMEKEEPING REQUIREMENTS

All non-exempt volunteers are required to record time worked for record keeping purposes. All time sheets and time logs must be submitted to the tracking program on a weekly basis.

# **TIME AWAY FROM The Rare Genomics Institute**

### ATTENDANCE, PUNCTUALITY AND DEPENDABILITY

Because The Rare Genomics Institute depends heavily upon its volunteers, it is important that volunteers attend meetings and scheduled assignments as scheduled. Dependability, attendance, punctuality, and a commitment to task completion is essential to our success. We ask that volunteers notify his/her supervisor as far in advance as possible, if he/she expects to be late or absent from meetings.

### HOLIDAYS

The Rare Genomics Institute observes 11 holidays per year as follows:

New Year’s Day

Martin Luther King Jr. Day

President’s Day

Memorial Day

Independence Day

Labor Day

Columbus Day

Veteran’s Day

Thanksgiving Day

Christmas Day

New Year’s Day

Please note The offices for the Rare Genomics Institute will also be closed from December 25th, through January 8th.

### BEREAVEMENT LEAVE

In the unfortunate event of a death in the immediate family, a leave of absence will be approved with the team lead and Human Resource staff.

For this purpose, immediate family is defined as:

Spouse

Domestic Partner

Child

Step-child

Child of Domestic Partner

Parents (including in-laws), step-parents

Siblings, step-siblings

Grandparents

Grandchildren

Volunteers should make Management aware of their situation.

# **DEVELOPMENT AND COMPENSATION**

### PERFORMANCE DEVELOPMENT AND EVALUATION

BASIC POLICY

The Performance Evaluation system is one of the main tools at the heart of The Rare Genomics Institute’s efforts to give feedback to volunteers, provide recognition of their efforts and encourage volunteers to be involved in their own professional development. Our performance review process sets standards against which all volunteers are evaluated and at the same time accommodates the needs and objectives of each volunteer. Built into the process is an opportunity for volunteers to respond to their evaluations. At The Rare Genomics Institute, every volunteer is entitled to, and expected to receive, an annual performance review and evaluation. These annual reviews are completed within the first three months of each calendar year (January through March). In addition, new volunteers, and current volunteers in new positions, are given an evaluation at the end of their 90-day review period in their new position.

THE PROCESS

The Rare Genomics Institute’ Performance Evaluation process is a structured system in which your supervisor evaluates how successful you have been in performing your job responsibilities during the prescribed period of time. This evaluation serves as the basis for your performance rating, which is tied to your merit increase. It helps in establishing future responsibilities and objectives, and provides groundwork for discussion and planning regarding your future advancement and development.

It is the supervisor’s responsibility to make the final evaluation, but you are encouraged to provide volunteer feedback via the “volunteer Comments” section of the Performance Management form.

While there are specific time frames for the separate components of the Performance Evaluation process, it is also an ongoing process. Throughout the year, it is expected that you and your supervisor conduct regular feedback sessions in which you evaluate your accomplishments against goals, talk about the feasibility of deadlines, etc.

The results of a Performance Evaluation conversation should be documented, using the Performance Management form. Both you and your supervisor include written comments on the evaluation and both of you sign the form. Your signature does not imply agreement with the evaluation; it is simply acknowledgment of having read and discussed the evaluation and other information on the form, and of having participated in the process. Take advantage of your opportunity for written input; it is one way of ensuring that your point of view is heard.

As a The Rare Genomics Institute volunteer, you are evaluated on the basis of:

* What you do: The degree to which you fulfill your responsibilities and accomplish your objectives.
* How you do it: Your exercise of skills (organizational, communication, interpersonal, problem-solving, etc.) required to accomplish your objectives and responsibilities.

### PERFORMANCE DEVELOPMENT

Basic Policy

The Performance Development system is one of the main tools at the heart of The Rare Genomics Institute’s efforts to give feedback to volunteers, provide recognition of their efforts and to get volunteers involved in their own development. It sets standards against which all volunteers are evaluated and at the same time accommodates the needs and objectives of each volunteer. Built into the process is an opportunity for volunteers to respond to their evaluations. At The Rare Genomics Institute, every volunteer is entitled to, and generally will receive, an annual performance review and evaluation.

The Process

The Rare Genomics Institute’s Performance Development system is a structured system in which your supervisor evaluates how successful you have been in performing your job responsibilities during the prescribed period of time. This evaluation serves as the basis for your performance rating, which is tied to your merit increase. It helps in establishing future responsibilities and objectives, and provides groundwork for discussion and planning regarding your future advancement and development.

It is the supervisor’s responsibility to make the final evaluation, but you are encouraged to provide volunteer feedback via the “volunteer Comments” section of the Performance Development form. While there are specific time frames for the separate components of the Performance Development process, Performance Development is also an ongoing process. Throughout the year, it is expected that you and your supervisor conduct regular feedback sessions in which you evaluate your accomplishments against goals, talk about the feasibility of deadlines, etc.

The results of the Performance Development conversation should be put down in writing, using the Performance Development form. Both you and your supervisor include written comments on the evaluation and both of you sign the form. Your signature does not imply agreement with the evaluation; it is simply acknowledgment of having read and discussed the evaluation and other information on the form, and of having participated in the process. Take advantage of your opportunity for written input; it is one way of ensuring that your point of view is heard.

As a The Rare Genomics Institute volunteer, you are evaluated on the basis of:

* What you do: The degree to which you fulfill your responsibilities and accomplish your objectives.
* How you do it: Your exercise of skills (organizational, communication, interpersonal, problem-solving, etc.) required to accomplish your objectives and responsibilities.

Separate meetings may be held for your Salary Review and your Performance Review. That is because, although the evaluation of your performance is a major factor in determining your salary, Performance Development has an important developmental aspect, which can get lost if the Performance Review is too closely linked to determination of your merit increase.

The Performance Development Form

The Performance Development form is the tool that is used to record the discussion held during the Performance Development process.

If your situation changes—*e.g.,* you are promoted or transferred, your supervisor leaves, the department is reorganized—your supervisor will consult with the appropriate Management volunteer to discuss how to handle your Performance Development evaluation.

Performance Rating Guidelines

The performance ratings used for Performance Development (described below) correspond to numerical performance ratings used for salary planning purposes. The range of categories (Meets Expectations, Exceeds Expectations, Below Expectations, etc.), allows supervisors to reflect more accurately the differences in performance among volunteers.

In assessing which of the following performance ratings is appropriate for you, your supervisor will weigh the relative importance of your different duties. If, for example, key duties are being performed well while other less important duties are not, your supervisor will take that into account.

The performance ratings for Performance Development, accompanied by their corresponding numerical ratings, are as follows:

Number Ratings Categories

1. *Clearly Outstanding* • Performance consistently meets all job requirements.

1. Displays exceptional mastery of position requirements.
2. Takes on complex or difficult projects and handles them independently.
3. Shows unusually high initiative, strong teamwork, good judgment and is a self-starter.

2. *Exceeds Expectations* • Performance consistently meets all job requirements and regularly exceeds requirements.

1. Displays strong mastery of position responsibilities and teamwork.
2. Takes on extra projects and tasks independently.

3. *Meets Expectations* • Performance consistently meets all job requirements.

1. Consistently displays mastery of position responsibilities and teamwork.
2. Takes on extra projects with limited supervision.

4. *Below Expectations* • Performance meets some job requirements.

1. Does not consistently display mastery of job responsibilities.
2. Areas of weakness have been or will be identified and communicated.

5. *Unsatisfactory* • Performance fails to meet key job requirements.

1. Unable to carry out key job responsibilities.
2. Areas of weakness have been identified and communicated.
3. Continued volunteer service is at risk.

Retention Of Forms

Once the Performance Development form has been filled out after the initial Performance Development meeting, the volunteer and his/her supervisor should each keep a copy in a file.

Once the Year-End Performance Development form (including the overall performance rating) is completed and signed by you and your supervisor, it is reviewed and signed by your supervisor’s manager. Complete copies should be retained by you and your supervisor, with a copy sent to HR.

Confidentiality

The information on a volunteer’s Performance Development form is confidential and should not be revealed except in the context of a legal business need. Any request to review such files must be discussed with Management.

### PROMOTIONS / TRANSFERS

The Rare Genomics Institute encourages its volunteers’ growth and development as a way of continuing to attract and retain the best people available.

PROMOTIONS FROM WITHIN

While not a policy in the strictest sense, promoting from within is usually the first route taken at The Rare Genomics Institute. Hiring supervisors normally consider candidates from within the department first, then from elsewhere within the Company (through the job posting procedure) and then search outside. Positions up to and including the level of director will be distributed to all staff.

Circumstances will, of course, arise where the Company, in consideration of its business and operational needs and with the approval of Management may decide not to follow the job posting procedures or the promotion-from-within process. The Company, therefore, reserves the right in its sole discretion to deviate from the job posting procedure or the promotion-from-within process whenever it deems it appropriate.

If you are interested in a posted job, you should contact the head of the department or supervisor for the open position.

IMPLEMENTING PROMOTION FROM WITHIN

Promotion from within should be carried out with consideration to all involved: the volunteer seeking (or being sought for) a promotion; the volunteer’s current and prospective supervisors; and the other qualified volunteers interested in the opening.

Typical PM positions are made available to volunteers after 90 days of service. Manager positions are available after six (6) months of service, and Director/VP positions are made available after one (1) year of service.

The Performance Development system is used by Management to remain current on your goals and skills. At the point of serious consideration, prospective supervisors and hiring executives have access to a volunteer’s performance reviews and ratings through Management.

### WARNING PROCEDURE

The following warning/progressive disciplinary procedure does not alter the at-will relationship governing all The Rare Genomics Institute volunteers, and The Rare Genomics Institute reserves the right in its sole discretion to terminate any volunteer’s service at any time without previous warning or disciplinary action. In dealing with a volunteer’s unsatisfactory performance, there are a series of progressive, disciplinary steps available to Management if Management believes that the volunteer’s work may improve, avoiding the dismissal of the volunteer.

WARNING PROCEDURE STEPS

The steps in the warning procedure, in summary, are as follows:

(1) Informal discussions with the volunteer: Discussion should be constructive and specific. The volunteer should be able to ask questions and make comments. The supervisor should provide suggestions and direction.

(2) Initial Performance Warning: This is a full, specific and constructive discussion of the problem, setting a date by which the volunteer is expected to meet departmental standards or face further disciplinary action up to and including immediate dismissal. This meeting is documented on the volunteer warning form.

(3) Second Performance Warning: This is a second full, specific and constructive discussion, stating that the work is unsatisfactory, indicating in what ways it is unsatisfactory and specifying a final date by which the volunteer must improve or face dismissal. The documentation should be accompanied by another conversation with the volunteer explaining clearly why the work is inadequate (or not improved enough) since the initial performance warning.

(4) Dismissal.

PERSONNEL ACTIONS FROM VOLUNTEERS ON WARNING

* No volunteer may receive a salary increase while on initial or second performance warning.
* If a volunteer on warning is to be transferred, the hiring executive should be informed by the volunteer and/or the current supervisor about the warning and the reasons for it.
* The initial or second performance warning period does not constitute a guarantee or commitment of volunteer service for a specific period of time. If the volunteer fails to demonstrate, in the opinion of his/her supervisor, significant and immediate improvement at the beginning of the warning period and/or sustained significant improvement and progress at any point during the warning period, Management may shorten or terminate the warning period and proceed with the next step or move to immediate dismissal.

WHEN WARNING PROCEDURES ARE NOT APPROPRIATE

When Management deems either that progressive disciplinary steps will not have an effect on the individual’s performance or that the needs of the department or The Rare Genomics Institute so require, the warning procedures will not be applied and the volunteer will be terminated without warning.

In addition, the policies relating to the warning procedure do not apply to the following:

* Volunteers with less than 12 months’ service;
* Volunteer with significant managerial or creative responsibilities;
* Volunteers with access to confidential information;
* Volunteers guilty of gross misconduct;
* Volunteers guilty of gross negligence;
* Volunteers for whom the warning procedure is inappropriate, as described above; or
* Interns.

GROSS NEGLIGENCE

Gross negligence is the commission of an act or the omission of an act exhibiting reckless disregard for the business consequences to The Rare Genomics Institute of that act or any gross default.

GROSS MISCONDUCT

Gross misconduct includes, but is not restricted to, unauthorized possession, use of or disclosure of confidential information; abuse of benefits through false representations; submitting doctored receipts for reimbursements for medical, entertainment or travel expenses or for expenses never really incurred or incurred for non business purposes; forging one’s supervisor’s signature to anything; falsification of any reports or Company records or documents; concealing mistakes; violation of The Rare Genomics Institute’ policy on conflict of interest; acceptance of gifts from suppliers; stealing supplies or equipment; destroying Company property; obtaining one’s supervisor’s signature under false or fraudulent circumstances; abusive or violent behavior; the use of alcohol while representing The Rare Genomics Institute, either on site or off site, that adversely affects the individual’s ability to perform services; the illegal use or sale of drugs or controlled substances on The Rare Genomics Institute’ premises or while engaged in any business-related function or that adversely affects the individual’s ability to perform services; absence without leave from the business and affairs of The Rare Genomics Institute for any unreasonable period of time; the commission of any act of unlawful harassment or any other act having the potential to expose The Rare Genomics Institute to civil or criminal penalties; or the willful or habitual disobedience or neglect of any of the reasonable orders or directions or policies of the Management of The Rare Genomics Institute or officers of The Rare Genomics Institute or of one’s duties.

DISCIPLINARY ACTION

The CEO and the charged volunteer’s department head shall determine, in their absolute discretion, the appropriate disciplinary action, if any, in response to such allegations. Such discipline may include warning, restitution, suspension without pay, and/or termination. Application of these outcomes is at the discretion of the CEO.

### OPEN COMMUNICATION/CONFLICT RESOLUTION POLICY

The Rare Genomics Institute promotes an atmosphere in which volunteers can talk freely with co-workers and members of Management. Volunteers are encouraged to openly discuss any problems directly with the person or with their supervisor so appropriate action may be taken. The Rare Genomics Institute is interested in developing good communication and conflict resolution skills in all volunteers.

At some time, you may have a complaint, suggestion, or question about your job, your working conditions, or the treatment you are receiving. The Rare Genomics Institute’s intention is that these good-faith complaints, questions, and suggestions be resolved in an equitable manner. We suggest that you follow these steps:

* When you have an issue with someone in the Company, including anyone in Management, we strongly encourage you to go to that person directly and see if you can resolve the concern together.
* If the issue still remains, or if this is uncomfortable for you, please bring your concern to your immediate supervisor who will work with you to find the information or to have any conversations necessary to bring resolution to the situation.
* The next step, if the issue persists, would be to bring your question or concern to a member of Management, either verbally or in writing. This person will again assist you in gathering any information or having any conversations needed in order to resolve the concern.
* Finally, you may bring your concerns or questions to the CEO, who will investigate and help you arrive at a solution or explanation.

We encourage you to address your concerns through the process outlined above as soon as possible after you recognize the issue or question. It is also important to complete the process even though this procedure, which we believe is important for both you and The Rare Genomics Institute, cannot guarantee that every problem will be resolved to your satisfaction. The Rare Genomics Institute values your observations and encourages you to freely raise issues of concern, in good faith, without the fear of retaliation. If you have any questions about this process, please contact Management.

### LICENSE

All licensed and registered clinical personnel (Ph.D., LCSW, MFCC, RN, LVN, Physician's Assistant, etc.) are responsible for the renewal of their licenses and must furnish proof of their current license to Human Resources for insertion into their personnel files.

If continuing education is a requirement for renewal of licensure, all costs and time requirements are the responsibility of the volunteer. Education is to be completed during non-working hours and is not paid time. Additionally, the cost of classes/seminars is not a reimbursable expense.

Staff is advised to keep Human Resources advised regarding any change in license status or academic credentials.

### LEGAL ISSUES/CONTACT

CONTACT WITH OUTSIDE ATTORNEYS

The Rare Genomics Institute volunteers must avoid all contact with outside attorneys representing adverse parties except where such contact is protected by law. This applies to any attorney or person working for an attorney who calls, writes, or otherwise approaches a The Rare Genomics Institute volunteer on behalf of any person, organization, or other party involved in litigation against The Rare Genomics Institute or any of its affiliated companies, as well as against any volunteer of The Rare Genomics Institute or affiliated companies. Volunteers should clear any response to any outside attorney with The Rare Genomics Institute’ CEO, even if that person claims to represent The Rare Genomics Institute. The CEO will verify any attorney’s claim to represent The Rare Genomics Institute before any information is given out.

Nothing in this policy will be interpreted to limit or interfere with your rights under Section 7 of the National Labor Relations Act.

SUBPOENAS

The Rare Genomics Institute is required to respond to subpoenas for volunteer information. The affected volunteer will be informed before The Rare Genomics Institute releases any information.

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ACCEPTANCE OF SERVICE

The Rare Genomics Institute Management maintains guidelines concerning the acceptance of service (the receiving of court documents) by The Rare Genomics Institute volunteers. For further information, call Management.

### MEDIA CONTACTS

Volunteers may be approached for interviews or comments by the news media. Only individuals designated by the CEO may represent The Rare Genomics Institute in comments to reporters and other media representatives on The Rare Genomics Institute policy or events relevant to The Rare Genomics Institute.

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### PERSONNEL RECORDS

Management maintains a personnel file on each volunteer, containing documentation of the person’s salary history, changes of status and other information relating to his/her volunteer service.

Any volunteer has the right to examine his/her personnel file and to include in it a document expressing his/her opinion on information contained therein.

RELEASE OF INFORMATION

Personnel files are confidential. They are released only to:

* The volunteer or his/her designee;
* The volunteer’s supervisor;
* The supervisor of the department for which the volunteer is applying;
* Other executives in the volunteer’s department to whom the volunteer’s supervisor is in a direct line of report; or
* Such other parties as required by law or with the consent of the volunteer.

If you wish to view/make copies of your personnel records, contact Management and they will arrange for your access to the documents.

VOLUNTEER NAMES AND ADDRESSES

The Rare Genomics Institute is required by law to keep current all volunteers’ names and addresses. Volunteers are responsible for notifying The Rare Genomics Institute in the event of a name or address change.

## 

PRIVACY

The Rare Genomics Institute Management, and all The Rare Genomics Institute volunteers should respect the personal privacy of other The Rare Genomics Institute volunteers. Personal information should be protected in the same manner as the Company’s confidential information. Disclosing confidential information about a fellow volunteer without his or her permission may be viewed as gross misconduct or gross negligence. Some of the categories of information which should be carefully guarded include the following:

* A volunteer’s home address, phone number and age
* Performance evaluations
* Personnel or medical records
* Any other information which might be sensitive or damaging to another volunteer’s reputation

Do not give any confidential information about a fellow volunteer to outside attorneys who contact you, without the volunteer’s permission. This policy applies not only to attorneys and other persons employed with lawsuits against The Rare Genomics Institute, but also to any representatives of parties involved in litigation against The Rare Genomics Institute staffers (e.g., divorce, bankruptcy, etc.). Any attempt at contact should be broken off immediately with an explanation that you can give no answers. The person about whom the inquiry was made should be informed immediately. If the case involves The Rare Genomics Institute, you may also notify Management.

Please also keep in mind, The Rare Genomics Institute reserves the right to access any file/information/data or other items located on or in The Rare Genomics Institute property. Nothing in these privacy guidelines is meant to prohibit The Rare Genomics Institute’ ability to review or retain such files/information/data or other items.

MAINTAINING PRIVACY OF PROTECTED HEALTH INFORMATION - HIPPA

In compliance with the Health Insurance Portability and Accountability Act (HIPAA), The Rare Genomics Institute has adopted policies and procedures regarding uses, disclosures and requests for protected health information.

The Rare Genomics Institute is committed to ensuring the privacy of protected health information and at all times shall comply with the requirements of HIPAA. The Rare Genomics Institute’s volunteers must ensure that appropriate steps be taken to protect the privacy of all protected health information as set forth in the company’s policies and procedures.

MAINTAINING PRIVACY OF PERSONAL RECORDS

In your absence and in the course of business, it may be necessary for an assistant or supervisor to retrieve business files from your work area. Therefore, it is advisable to keep personal files clearly marked and separate from business files.

MAINTAINING PRIVACY OF BUSINESS RECORDS

Supervisor/Personnel Access

It is assumed that personnel may need to access the offices, computers, and business materials/documents of those volunteers they support, and vice versa, as part of routine business. However, even in these cases, it is recommended that both parties agree upon exactly what should or should not be done, to avoid any unexpected intrusion. This exception does not apply to other co-workers—even members of the same department—only to direct support personnel. Co-workers should contact direct support personnel if they require access to another volunteer’s business materials.

VOLUNTEER PROPERTY

A volunteer’s personal property, including but not limited to packages, purses, and backpacks, may be inspected upon reasonable suspicion of unauthorized possession of The Rare Genomics Institute property.

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# **LEAVING The Rare Genomics Institute**

### RESIGNATION

When a volunteer decides to leave for any reason, Management would like the opportunity to discuss the resignation before final action is taken. The Rare Genomics Institute often finds during this conversation that another alternative may be better. If, however, after full consideration the volunteer decides to leave, it is requested, but not required, that the volunteer provide the Company with a written four-week advance notice period (bear in mind that vacation days should not be included in the four-week notice period).

### JOB ELIMINATION

BASIC POLICY

Whether or not to eliminate jobs or to change or merge job functions, and also which jobs to eliminate is the purview of the Management and takes into account who among the people in the department are best able to do the work. Seniority may also be a relevant factor. If restructuring our operations or reducing the number of volunteers becomes necessary, The Rare Genomics Institute will provide notice in compliance with applicable state and federal regulations.

Job elimination policies apply in the following situations: when a division, department or function is eliminated; when there is an intention to reduce the number of positions in a department; when functions are merged, and, as a result, fewer people are required to do the work; or when functions change so markedly (which may not be limited to layoffs) that the remaining job constitutes a new job and new hiring procedures would apply; or when fewer people in one type of job are needed, even if more people in another type are needed.

In general, The Rare Genomics Institute will make a reasonable effort to place a job-eliminated volunteer elsewhere in the organization if the Company deems the volunteer suitable and qualified for the position.

Exit interview: The appropriate Human Resources Volunteer conducts an exit interview with each volunteer leaving the Company. ).

Mutual Trial Period

If a volunteer whose job is eliminated is transferred to or finds another job at The Rare Genomics Institute, the first three months are considered a mutual trial period. If the volunteer resigns at any time during those three months, the volunteer will still receive any remaining portion of the previously determined separation pay. The supervisor may terminate the volunteer without using the warning procedures at any time during those three months with separation pay. The trial period may be extended by mutual agreement. Once the trial period is over, the warning, dismissal and separation pay policies will apply. Nothing in this section is intended to, nor should it be construed to, alter the at-will relationship governing all volunteers at The Rare Genomics Institute.

### DISMISSALS

Every The Rare Genomics Institute volunteer has the status of "at-will," meaning that no one has a contractual right, express or implied, to remain in The Rare Genomics Institutes’ service. The Rare Genomics Institute may terminate a volunteer’s service, or a volunteer may terminate his/her service, with or without cause, and with or without notice, at any time and for any reason. No supervisor or other representative of the Company has the authority to enter into any agreement for volunteer service for any specified period of time, or to make any agreement contrary to the above except for the CEO of the Company and then only expressly in writing.

The following guidelines may be applied at the discretion of The Rare Genomics Institute’ Management:

IMMEDIATE DISMISSALS - MISCONDUCT

Any volunteer whose conduct, actions or performance violates or conflicts with The Rare Genomics Institute’ policies may be terminated immediately and without warning.

The following are some examples of grounds for immediate dismissal of a volunteer:

* Breach of trust or dishonesty
* Conviction of a felony
* Willful violation of an established policy or rule
* Falsification of Company records
* Gross negligence
* Insubordination
* Violation of the Anti-Harassment and/or Equal Employment Opportunity Policies
* Time card or sign-in book violations
* Undue and unauthorized absence from duty during regularly scheduled work hours
* Deliberate non-performance of work
* Larceny or unauthorized possession of, or the use of, property belonging to any co-worker, visitor, or consumer of The Rare Genomics Institute
* Possession of dangerous weapons on the premises
* Unauthorized possession, use or copying of any records that are the property of The Rare Genomics Institute
* Unauthorized posting or removal of notices from bulletin boards
* Excessive absenteeism or lateness.
* Marring, defacing or other willful destruction of any supplies, equipment or property of The Rare Genomics Institute
* Failure to call or directly contact your supervisor when you will be late or absent from work
* Fighting or serious breach of acceptable behavior
* Violation of the Alcohol or Drug Policy
* Theft
* Violation of the Company's Conflict of Interest and/or Confidentiality Policy
* Conducting business for another employer during their scheduled The Rare Genomics Institute working hours

This list is intended to be representative of the types of activities that may result in disciplinary action. It is not exhaustive, is not intended to be comprehensive and does not change the at-will relationship between the volunteer and the Company.

### REFERENCE CHECKS

All inquiries regarding a current or former The Rare Genomics Institute volunteer must be referred to Management.

Should a volunteer, supervisor or manager receive a written request for a reference, he/she should refer the request to Management for handling. No one at The Rare Genomics Institute may issue a reference letter to any current or former volunteer or Independent Contractor without the permission of Management.

Under no circumstances should any The Rare Genomics Institute volunteer, supervisor or manager release any information about any current or former The Rare Genomics Institute volunteer over the telephone. All telephone inquiries regarding any current or former volunteer of The Rare Genomics Institute must be referred to Management.

In response to an outside request for information regarding a current or former The Rare Genomics Institute volunteer, Management will furnish or verify only a volunteer’s name, dates of volunteer service, job title and department. No other data or information regarding any current or former The Rare Genomics Institute volunteer, or his/her volunteer service with The Rare Genomics Institute, will be furnished unless the volunteer authorizes The Rare Genomics Institute to furnish this information in writing that also releases The Rare Genomics Institute from liability in connection with the furnishing of this information or The Rare Genomics Institute is required by law to furnish any information.

# **ACKNOWLEDGEMENT OF RECEIPT**

### RECEIPT FOR VOLUNTEER HANDBOOK

I acknowledge that I have received a copy of the The Rare Genomics Institute Volunteer Handbook. I agree to read it thoroughly, including the statements in the introduction describing the purpose and effect of the Volunteer Handbook. I agree that if there is any policy or provision in the Handbook that I do not understand, I will seek clarification from Management.

I understand that The Rare Genomics Institute is an "at will" company and, as such, volunteer service with The Rare Genomics Institute is not for a fixed term or definite period and may be terminated at any time at the will of either party, with or without cause, and with or without prior notice. No supervisor or other representative of the Company has the authority to enter into any agreement for volunteer service for any specified period of time, or to make any agreement contrary to at will volunteer service except for the CEO or his or her designee of the Company and then only expressly in writing signed by him/her.

In addition, I understand that this Handbook states The Rare Genomics Institute’ policies and practices in effect on the date of publication. I understand that nothing contained in the Handbook may be construed as creating a promise of future benefits or a binding contract with The Rare Genomics Institute for benefits or for any other purpose. I also understand that these policies and procedures are continually evaluated and may be amended, modified or terminated by the Company at any time but only in writing signed by the Founder/EVP or his or her designee.

Please sign and date this receipt and return it to the CEO.

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Print Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_