

2020–21

Caltech Catalog

California Institute of Technology

Pasadena, California 91125

(626) 395-6811

September 2020

The mission of the California Institute of Technology is to expand human knowledge and benefit society through research integrated with education. We investigate the most challenging, fundamental problems in science and technology in a singularly collegial, interdisciplinary atmosphere, while educating outstanding students to become creative members of society.

While every effort has been made to ensure this catalog is accurate and up to date when published, changes affecting the content of the catalog may occur during the year. Accordingly, the Institute reserves the right to correct or change its policies, rules, regulations, requirements for graduation, course offerings, and any other contents of this catalog at any time, including, but not limited to, admission, registration, tuition and fees, attendance, curriculum requirements, conduct, and academic standing. Current versions of Institute policies can be accessed at hr.caltech.edu/services/policies.

In light of the COVID-19 pandemic and its impact on Caltech, the Institute must maintain the flexibility to adapt programs, policies, and on-campus operations for the 2020-21 academic year to meet the needs of the community. For the most up-to-date information on the Institute's response to the global health crisis, visit coronavirus.caltech.edu.

You can view the Caltech Catalog online at catalog.caltech.edu. Please note that the contents of websites that link to online course entries are not part of the official catalog.

Catalog updated March 23, 2021.

Cover: Lance Hayashida

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ACADEMIC CALENDAR

2020-2021

First Term 2020

September 16–18 (tentative)
International student orientation

September (see website for dates)
New student check-in and orientation for undergraduates

September 21-25
New student check-in and orientation for graduate students

September 24
Undergraduate Academic Standards and Honors Committee—1 p.m.

September 29
Beginning of instruction—8 a.m.

October 16
Last day for adding courses and removing conditions & incompletes

October 21
Faculty meeting—2 p.m. to 3 p.m.

October 28–November 3
Midterm examination period

November 9
Midterm deficiency notices due—9 a.m.

November 18
Faculty meeting—noon to 1 p.m.

November 18
Last day for dropping courses, exercising pass/fail option, and changing sections

November 19–December 4
Registration for second term, 2020-21

November 26–27
Thanksgiving (Institute holiday)

December 4
• Last day of classes
• Last day to register for second term, 2020-21 without a \$50 late fee

December 5-8
Study period

December 9– 11*
Final examinations, first term, 2020-20

December 11
End of first term, 2020-21

*First due date for final examinations

December 12–January 3
Winter recess

December 16
Instructors' final grade reports due—9 a.m.

December 25
Christmas (Institute holiday)

December 24, 28–31
Special release days and floating holiday

Second Term 2021

January 1
New Year's Day (Institute holiday)

January 4
Beginning of instruction—8 a.m.

January 5
Undergraduate Academic Standards and Honors Committee—9 a.m.

January 20
Martin Luther King Day (Institute holiday)

January 22
Last day for adding courses and removing conditions & incompletes

February 3–9
Midterm examination period

February 15
Presidents' Day (Institute holiday)

February 16
Midterm deficiency notices due—9 a.m.

February 24
Last day for dropping courses, exercising pass/fail option, and changing sections

February 25
Faculty meeting—noon to 1 p.m.

February 25–March 10
Registration for third term, 2020-21

March 10
• Last day of classes
• Last day to register for third term, 2020-21, without a \$50 late fee

March 11-14
Study period

March 15–17*
Final examinations, second term, 2020-21

March 17
End of second term, 2020-21

March 18–28
Spring recess

March 22
Instructors' final grades due—9 a.m.

Third Term 2021

March 29
Beginning of instruction—8 a.m.

March 30
Undergraduate Academic Standards and Honors Committee—9 a.m.

April 16
Last day for adding courses and removing conditions and incompletes

April 28–May 4
Midterm examination period

May 10
• Midterm deficiency notices due—9 a.m.
• Last day for seniors to remove conditions and incompletes

May 14
Last day for admission to candidacy for the degrees of Master of Science and Engineer, and for scheduling an examination for the degree of Doctor of Philosophy

May 19
Last day for dropping courses, exercising pass/fail option, and changing sections

May 20–June 4
Registration for first term, 2021–22, and for summer research

May 28
• Last day of classes—seniors and graduate students
• Last day for presenting theses for the degrees of Doctor of Philosophy and Engineer

May 31
Memorial Day (Institute holiday)

May 29–June 1
Study period for seniors and graduate students

June 2–4*
Final examinations for seniors and graduate students, third term, 2020–21

June 4
• Last day of classes—undergraduates
• Last day to register for first term, 2021–22, without a \$50 late fee

June 5–8
Study period for undergraduates

June 7
Instructors' final grade reports due for seniors and graduate students—9 a.m.

June 9
Curriculum Committee—10 a.m.
Faculty meeting—1 p.m.–2 p.m.

June 9–11*
Final examinations for undergraduates, third term, 2020–21

June 11
Commencement—10 a.m. End of third term, 2020–21

June 16
Instructors' final grades due for undergraduates—9 a.m.

June 23
Undergraduate Academic Standards and Honors Committee—9 a.m.

July 5
Independence Day (Institute holiday)

Summer Term 2021

June 14
Summer Term begins

September 3
Summer Term ends

September 6
Labor Day (Institute holiday)

First Term 2021–2022

September 15–17
International student orientation

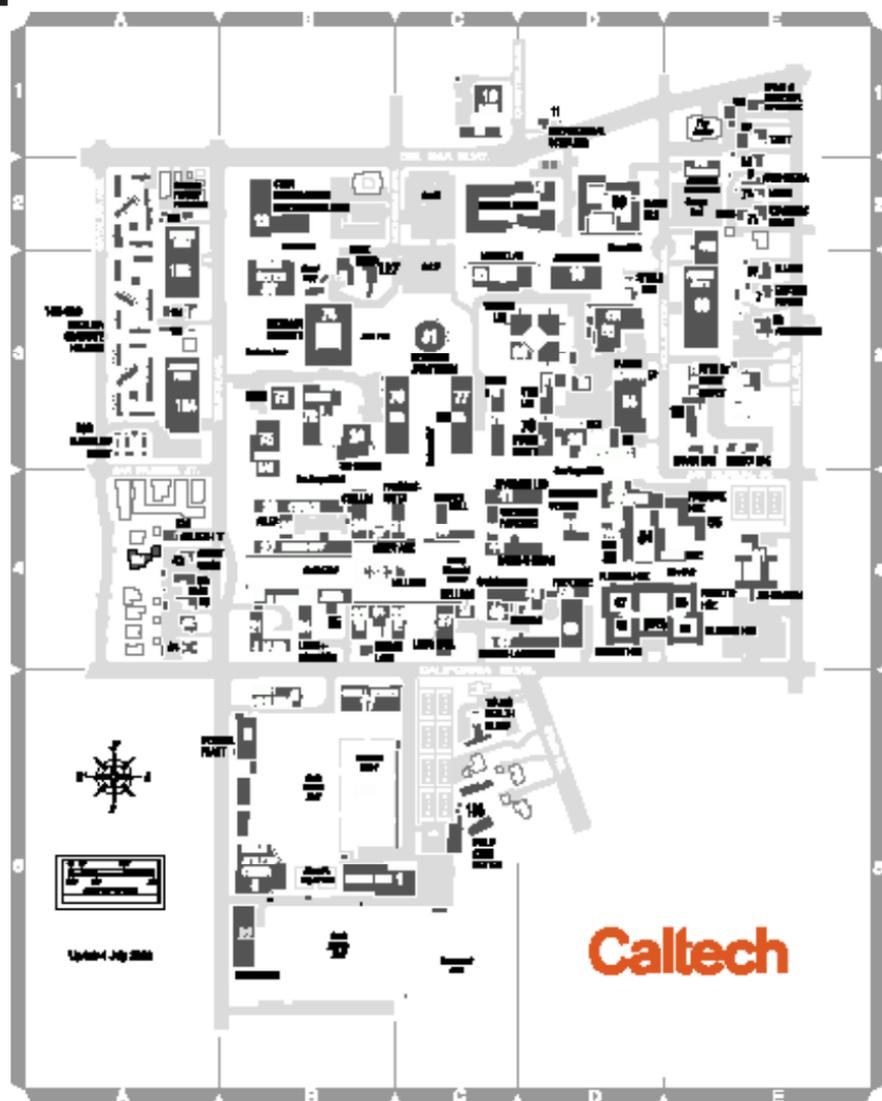
September 19–26
New student check-in and orientation for undergraduates

September 20–24
New student check-in and orientation for graduate students

September 23
Undergraduate Academic Standards and Honors Committee—1 p.m.

September 27
Beginning of instruction—8 a.m.

*First due date for final examinations



Caltech Campus Building Directory

355 S Hall (Office of Institutional Experience)	355	E1	Biomechanics Laboratories	47	D4
359 S Center (International Student Services)	11	B1	Facilities	53	B3
376 S Hall (Center for AI) (MCC 1)	67	E3	Frontiers Laboratory	10	B4
387 S Hall (Watershough House)	88	E3	Frosting House	57	B4
388 S Hall Academic Health	9	E2	Galvanic	25	B4
388 S Hall (Johns House)	70	E2	Galvanic Laboratory	44	D4
395 S Hall (Biological Communications) (West) (MCC) (West)	71	E2	Geophysical Laboratory	45	D4
396 S Hall (Student-Faculty Programs)	122	A2	Geophysics Center	51	B4
396 S Hall (Student House)	87	E2	Geology Maps	125	A3
398 S Hall (Johns House)	94	E3	Geosystems/Facilities Management Maps	34	B3
399 S Hall (Climate Paper House)	7	E3	Information Management Systems & Tools (IMST)	39	E1
399 S Hall (Student House)	121	A3	Jaguarium Laboratory	39	B3
399 S Hall (Biological Architecture & Functional AM)	39	E3	Kerman Laboratory	45	D4
416 S Hall Arts	120	E3	Kent Center	127	B3
416 S Hall (Open House/Caltech TV)	126	A4	Kent Laboratories	78	D3
416 S Hall (Small Student Living & Security)	39	A4	Kellogg Facilities Laboratory	28	D4
425 S Caltech	221	A4	Kendall Annex	230	B4
425 S Hall (U.S. Biological Survey)	39	A4	Kendall Laboratories	27	B4
425 S Hall (Fitzhugh House/AM)	35	A4	LBN	39	B3
424 S Hall (International Office)	42	A4	Leah Hall of Math and Physics	37	D4
425 S Hall (Small House & Tool Complex)	35	A4	Leah-Holmes Laboratory	24	B4
Allen Laboratory	38	B4	Liquid House	54	B4-E5
Assembly Center for Info Art and Tech	95	B3	Make House	39	E3
Annex Laboratory	25	B4	Manit Laboratory	79	B3
Altman	39	E5	Millman Library	22	B4
Army House	39	B3	Moss Laboratory	39	E3
Banker Hall	77	E2	Neuroscience Architecture Laboratory (NACL)	22	B5
Bardeen Astrophysics	34	E3	North Laboratories - South	23	B4
Bardeen Biological Biology Labs (BBB)	75	E3-E3	North Laboratories - North	21	B4
Bardeen Institute	74	B3	Nguyen Laboratory	72	B3
Becklin Astrophysics	14	E2-E2	Page House	57	B4
Becker House	39	E5	Parking Milestone 1 (North Wilson Annex)	123	A3
Benson Athletic Center	3	B5	Parking Milestone 2 (North Wilson Annex)	124	A3
Benson House	38	E3	Parking Milestone 3 (Caltech Annex)	125	B5
Benson Laboratories	74	B3	Parking Milestone 4 (JPL/Caltech Annex)	35	E3
Bridgman Annex	24	B4	Parsons-Slater Hall of Architecture	21	B4
Bridgman Laboratory - East	282	B4	Parent-Health Laboratory	70	B3
Bridgman Laboratory - West	289	B4	Reese Astrophysics	77	E3
Broad Hall	382	E3	Resolving Center	125	B2
Broad Center for the Biological Sciences	35	B3	Robotic House	59	E5
Brown Symposium	1	B5	Robotic House	55	E5
Building 16 (CVI & Climate)	15	E1	Robotic Mobile Field	388	E3
Burghes Court (BBN Open Project)	120	A3	Robygar Lab for Chemistry and Clean Eng	29	B3
Caltech Center for Autonomous and Adaptive Systems	17	B5	Rowland Packard Library	43	D4
Caltech Childrens Center	128	E5	South Biological Building Complex (SBBCC)	128	B4
Campus Building Map	125	A3	Spaulding Lab, Center, Center, Spaulding Lab	41	D4
Caltech Robotics Building	359-320	A2-A3	Spaulding, Center (North Spaulding Building)	5	B5
Center Engineering Division (CED)	35	B3	Stable Laboratory	31	B3
Center for Systems Computing	143	E2	Student Activities Center	128	B4
Center Field (West, Open & Cooling House)	5	B5	Student Services, Center for (SSC)	39	E3
Chandler Living Hall (Chandler Club)	12	B4	Synthesizer	49	B4
Chem Neuroscience Research Building	35	B2	Tanaka/Robygar & Research Symposium	32	B3
Chemistry Laboratory	39	B4	Terrestrial Architecture & Functional AM	39	E3
Chemistry Laboratory	39	B4	Wilson Laboratories	35	E3-B3
Cherry Hall	49	D4	Young Health and Counseling Center	5	E5
Cherry House	12	B4			

Section One

8

General Information



General Information

INTRODUCTION

Caltech, founded in 1891, is a world-renowned science and engineering institute that marshals some of the world's brightest minds and most innovative tools to address fundamental scientific questions and pressing societal challenges.

Caltech is small in size, but prizes excellence and ambition. Its students receive an education that is notable for its rigorous curriculum, close collaborations with faculty, and small class sizes.

Students graduate from Caltech prepared to become world leaders in science, engineering, academia, industry, and public service. Graduates are well trained in their ability to identify, analyze, and solve challenging problems within and across science and engineering disciplines, and are prepared to apply and communicate their expertise broadly throughout their professional careers.

An independent, privately supported institution, Caltech also manages the Jet Propulsion Laboratory (JPL) for NASA, and Caltech also owns and operates the Seismological Laboratory, more than 50 research centers and institutes, and a global network of astronomical observatories, including the Palomar and W. M. Keck Observatories; the Institute also co-founded and co-manages the Laser Interferometer Gravitational-wave Observatory (LIGO).

The Institute's extraordinary faculty, students, postdoctoral scholars, and staff produce transformative breakthroughs in fields ranging from quantum science and engineering to bioinformatics and the nature of life itself, from human behavior and economics to energy and sustainability. Caltech faculty and alumni have earned national and international recognition, including 39 Nobel Prizes.

Caltech is also an integral part of Pasadena. Together with JPL, it is the city's largest employer and a source of programs that benefit the entire community.

To learn more about Caltech, visit caltech.edu/about.

MISSION

The mission of the California Institute of Technology is to expand human knowledge and benefit society through research integrated with education. We investigate the most challenging, fundamental problems in science and technology in a singularly collegial, interdisciplinary atmosphere, while educating outstanding students to become creative members of society.

EDUCATIONAL PHILOSOPHY & LEARNING OUTCOMES

Caltech provides an outstanding education that prepares students to become world leaders in science, engineering, academia, industry, and public service. The Institute aims for these educational outcomes:

- Graduates can analyze, synthesize, and communicate ideas.
- Graduates demonstrate integrity, personal and professional responsibility, and respect for others.
- Bachelor of Science graduates can identify, analyze, and solve challenging problems within and across science and engineering disciplines.
- Bachelor of Science graduates can apply their analytic skills to other areas of knowledge and understand issues important in our society.
- Master of Science graduates can apply advanced knowledge in a specialized area in preparation for their professional careers.
- Doctor of Philosophy graduates can independently identify, analyze, and solve fundamental research problems with breadth and depth.

HISTORICAL SKETCH

In September of 1891, Pasadena philanthropist Amos G. Throop (pronounced Troop) established Throop University, the institution that would eventually become Caltech.

Throop University opened its doors with 31 students and a six-member faculty. Throop might have remained simply a good local school had it not been for the arrival in Pasadena of astronomer George Ellery Hale. The first director of the Mount Wilson Observatory, Hale became a member of Throop's board of trustees in 1907, and began molding the school into a first-class institution for engineering and scientific research and education.

Hale would be joined later by chemist Arthur A. Noyes and physicist Robert A. Millikan. These three scholars set the school on the course it continues to follow to this day. By 1920, the school was renamed the California Institute of Technology, and the enrollment was nine graduate students and 359 undergraduates, with a faculty of 60; a decade later there were 138 graduate students, 510 undergraduates, and a faculty of 180. At the present time there are nearly 1,000 undergraduates, 1,200 graduate students, and some 300 professorial faculty and more than 550 postdoctoral scholars.

Caltech has more than 24,000 living alumni all over the world, many of them eminent in their fields of engineering, science, law, medicine, academia, and entrepreneurship.

Caltech's divisional structure, which began to coalesce in 1926, today comprises the Division of Biology and Biological Engineering (BBE); the Division of Chemistry and Chemical Engineering (CCE); the Division of Engineering and Applied Science (EAS); the Division of Geological and Planetary Sciences (GPS); the Division of the Humanities and Social Sciences (HSS); and the Division of Physics, Mathematics and Astronomy (PMA). To learn more about Caltech's history and the people behind the Institute's success, visit archives.caltech.edu.

EDUCATION AND RESEARCH

Students at Caltech work toward undergraduate and graduate degrees alongside their intellectual equals in an academic environment that emphasizes interdisciplinary teamwork, critical thinking, mutual support, and a deep understanding of core concepts and principles across fields.

Caltech students, faculty, and postdoctoral scholars are addressing fundamental scientific questions and pressing societal challenges. Together, they are expanding our understanding of the universe, shifting paradigms, launching new fields, and inventing the technologies of the future.

Caltech is home to more than 50 research centers and institutes. Some 90 percent of Caltech undergraduates participate in research during their time here.

UNDERGRADUATE PROGRAMS AND RESEARCH

Caltech offers undergraduates 28 majors (called “options”) and 13 minors across the six academic divisions. The most popular options are computer science, chemical engineering, electrical engineering, mechanical engineering, and physics. Caltech also offers interdisciplinary programs in applied physics, biochemistry, bioengineering, computation and neural systems, control and dynamical systems, environmental science and engineering, geobiology and astrobiology, geochemistry, and planetary astronomy.

The Institute offers the opportunity for qualified students to engage in research early in their careers under the supervision of a faculty member. There are four principal avenues for undergraduate research: the senior thesis, the Summer Undergraduate Research Fellowships (SURF) program, research courses for academic credit, and research for pay under a faculty member’s grant or contract.

The senior thesis involves original research under the mentorship of a faculty member, an effort that develops research, writing, and presentation skills that together provide an excellent preparation for future graduate studies and/or professional life.

The SURF program provides continuing undergraduate students the opportunity to work on an individual research project in a tutorial relationship with a mentor, usually a member of the Caltech/JPL research community, but occasionally a faculty member at another college or university. The work is carried out during a 10-week period in the summer, after which SURF students submit a written report describing the project, methods, and results of their work.

Most options offer undergraduate research courses in order to encourage research participation; students should consult listings and descriptions of opportunities.

Learn more about undergraduate programs and research at admissions.caltech.edu.

GRADUATE PROGRAMS AND RESEARCH

Students can enroll in Master of Science, Degree of Engineer, Doctor of Philosophy, BS/MS, and MD/PhD degree programs; the majority of graduate students are enrolled in the PhD program.

The academic work of the Institute is organized into six divisions: Biology and Biological Engineering (bbe.caltech.edu); Chemistry and Chemical Engineering (cce.caltech.edu); Engineering and Applied Science (eas.caltech.edu); Geological and Planetary Sciences (gps.caltech.edu); Humanities and Social Sciences (hss.caltech.edu); and Physics, Mathematics and Astronomy (pma.caltech.edu).

Graduate study at the Institute is divided further into a number of individual graduate options (degree programs), which are supervised by those professors whose interests and research are closely related to the area of the option. Entering graduate students are admitted into one of these options. The most popular options for graduate work are chemistry, physics, electrical engineering, and biology. Learn more at gradoffice.caltech.edu.

ACADEMIC PARTNERSHIPS

Caltech maintains an array of external partnerships with other institutions in Southern California. These partnerships provide pre-med students with opportunities to work in area hospitals and train with practicing clinicians; allow students to participate in ROTC through a joint program with USC; and offer a 3/2 dual degree for students from 13 select liberal-arts colleges. Caltech undergraduate students can cross-register at Occidental College and Art Center College of Design, and the Institute maintains relations with research partners such as the Scripps Institution of Oceanography at UCSD. Undergraduate students can also study abroad in Cambridge, Copenhagen, Edinburgh, London, Paris, or Melbourne during their junior or senior years. For graduate students, joint programs between Caltech and both the USC Keck School of Medicine and the UCLA David Geffen School of Medicine grant MD/PhD degrees.

FACULTY RESEARCH

The contributions of Caltech's faculty have earned national and international recognition. Caltech was elected to the Association of American Universities (AAU) in 1934 and remains a research university with "very high" research activity, primarily in STEM fields. Research is central to Caltech, and the Institute manages approximately \$325 million in sponsored awards annually. Its largest federal funding agencies are the National Aeronautics Space Administration (NASA), National Science Foundation (NSF), Department of Health and Human Services, Department of Defense, and Department of Energy. Caltech faculty are highly productive in the fields of applied physics, astronomy and astrophysics, biology, biochemistry, biological engineering, chemical engineering, computer science, geology, mechanical engineering, and physics. More than 37 percent of faculty are members of the National Academy of Sciences, Engineering, and Medicine and/or are fellows

of the American Academy of Arts and Sciences—the highest percentage of any faculty in the country with the exception of Rockefeller University. Caltech receives more invention disclosures per faculty member than any other university in the United States.

POSTDOCTORAL AND SENIOR POSTDOCTORAL SCHOLARS

More than 550 early-career scientists and engineers conduct research at Caltech as postdoctoral scholars. In addition, JPL hosts postdoctoral scholars whose studies cover many aspects of Earth, planetary, astrophysical, and technology research. All scholars work under the supervision of professorial faculty members or JPL researchers.

RESEARCH CENTERS AND INSTITUTES

Research centers and institutes across campus bring together scientists and engineers to collaborate and add innovative and diverse perspectives to tackle society's most pressing challenges. Among those centers and institutes are:

- the Tianqiao and Chrissy Chen Institute for Neuroscience at Caltech, which seeks to deepen our understanding of the brain and how it works;
- the Beckman Institute, which develops methods, instrumentation, and materials for fundamental research in chemistry and biology;
- the Kavli Nanoscience Institute, which advances cross-disciplinary research in the areas of nanoscience and nanotechnology;
- the Donna and Benjamin M. Rosen Bioengineering Center, which encourages intensive, fruitful collaborations between bioengineering researchers;
- the Resnick Sustainability Institute, which fosters advances in energy science and technology through research, education, and communication.

Learn more about Caltech's research centers and institutes at caltech.edu/research/centers-institutes.

ON-CAMPUS ACADEMIC RESOURCES

Center for Teaching, Learning, and Outreach (CTLO)

The Center for Teaching, Learning, and Outreach (CTLO) supports Caltech's multifaceted educational efforts, including the design and instruction of undergraduate and graduate courses and curricula, formal and informal student learning, and educational outreach partnerships with K–12 teachers and students. The CTLO is committed to advancing evidence-based, inclusive practices through our programs and services, and to fostering innovation based on this foundation, CTLO focuses on:

Instructor Support: Supporting effective course design and teaching methods for university faculty and teaching assistants (TAs). Topics

regularly addressed through individual consultations, training programs, workshops, and courses include in-class techniques, choice and use of instructional technologies, feedback on teaching, and discipline-based educational research.

Student Learning: Fostering opportunities for students to grow as teachers, mentors, and leaders. In addition to advising students on teaching and outreach-related projects, CTLO oversees the Caltech Project for Effective Teaching (CPET), a graduate student-led community offering seminars and Certificates of Interest and Practice in University Teaching, and collaborates with the undergraduate Academics and Research Committee (ARC) on course improvements, course ombuds, and other initiatives.

Educational Outreach: Helping faculty and students to develop K-12 outreach programs, including collaborations with schools and districts in Pasadena and Greater Los Angeles. CTLO assists faculty on grant proposals with educational components, convenes educational outreach coordinators from across Caltech's divisions, runs signature educational outreach programs for K-12 students and teachers during the summer and year-round, and serves as an interface for partner organizations offering K-12 opportunities at Caltech.

Learn more at ctlo.caltech.edu.

Hixon Writing Center (HWC)

The Hixon Writing Center (HWC) promotes excellence in writing and communication. The HWC operates on the premise that writing is a mode of discovery and learning as well as a tool for communication, and thus strong writing skills are fundamental to inquiry, learning, and success across disciplines.

The HWC works actively with Caltech students, faculty, and the Caltech community. The HWC offers students the opportunity to meet with professional and peer tutors to discuss works-in-progress; these sessions help students accomplish short-term goals while they also promote the acquisition of skills that are valuable for long-term success. The HWC regularly holds presentations and workshops on communication-related topics that interest our students. HWC staff members are available to consult with Caltech faculty and TAs about best practices for incorporating, designing, and responding to writing assignments in courses across all disciplines. Finally, the HWC sponsors events and creates resources that support campus-wide discussions about the roles writing and communication play in teaching, learning, and research in science and engineering.

The HWC is a part of the Division of the Humanities and Social Sciences, and it is funded in part by a generous donation from Alexander P. and Adelaide F. Hixon. Learn more about current support and programming at writing.caltech.edu.

Libraries

The Caltech Library advances the Institute's mission to expand human knowledge by catalyzing information discovery and sharing. The Library maintains extensive research collections, a variety of study spaces, state-of-the-art knowledge-management platforms, and a user-focused program of instruction and outreach.

The Sherman Fairchild Library (SFL) is the main library on campus. SFL is open every day until midnight and offers a range of collaborative and private study spaces including five bookable group study rooms and the TechLab, which houses several 3-D printers. Laptops, Kindles, and electronic kits can be borrowed through the Library's eDevice lending program. All textbooks assigned for courses are available for short-term use through the Library's Course Reserves service. The Library's interlibrary loan service, DocuServe, is located on the first floor of SFL. Users can obtain books and articles not owned by Caltech Library at no charge and typically within 24 hours.

SFL is complemented by three branch libraries: Humanities and Social Sciences (Dabney), Astrophysics (Cahill), and Geology (North Mudd). In addition, the Lookout, a flexible collaboration and study space with large displays is available on the 9th floor of Millikan.

The Library's digital repository of research by Caltech authors includes CaltechTHESIS.

Visit the Library's website, library.caltech.edu, to access library collections and services or request research assistance from the Library.

Archives and Special Collections

The Caltech Archives and Special Collections facilitate understanding of Caltech's role in the history of science and technology, and of the research and lives of its faculty, staff, and students. The Archives collect, organize, preserve, exhibit, and make available for research the papers and other materials that document this history, both tangible and virtual. Collections include the personal and professional papers of Caltech faculty and alumni; Caltech records, publications, and websites; scientific instruments and other artifacts; photographs; fine art; and rare books from the Scientific Revolution to the present. These collections are available to both the Caltech community and outside researchers; contact the Archives at 626-395-2704 or archives@caltech.edu to arrange an appointment. More information, including guides to many collections and digital access to some, can be found at archives.caltech.edu.

JET PROPULSION LABORATORY

Founded by Caltech faculty in 1936 and located six miles from campus in La Cañada Flintridge, the Jet Propulsion Laboratory (JPL), which is managed by Caltech for NASA, is the leading U.S. center for robotic space exploration. JPL's 6,500 employees are tightly connected to the campus research mission and together enable the Institute to push the frontiers of space and Earth science. JPL is currently responsible for conducting NASA's missions for approximately two dozen spacecraft

and 10 instruments employed in active missions, including the Mars Science Laboratory, Juno, Aquarius, GRAIL, and NuSTAR, all of which are pioneering new approaches for space exploration. Caltech and JPL engage in collaborations and joint appointments of faculty, lecturers, and visitors. Learn more at jpl.nasa.gov.

STUDENT LIFE

UNDERGRADUATE STUDENT RESIDENCES

Seven of the undergraduate student residences are situated on either side of the Olive Walk near the southeastern end of the campus. The original four—Blacker, Dabney, Fleming, and Ricketts—were built in 1931 from the plans of Mr. Gordon B. Kaufmann, in the Mediterranean style to harmonize with the adjacent Athenaeum. The other three, designed by Smith, Powell and Morgridge, were completed in 1960, and are named Lloyd, Page, and Ruddock.

Each of these seven residences is a separate unit with its own dining room and lounge, providing accommodations for between 65 and 100 students, depending on the facility. Each has its own elected officers; a long history of shared governance gives students a great deal of influence over their living environments. Residential life coordinators (RLCs) are specially trained full-time university employees, specializing in college student development, community building, counseling, and crisis intervention. The RLCs supervise the resident associates (RAs) on programming and overall student wellness. The RLCs also assist Housing with the management and daily operations of the residences. Each residence has one or more RA, who are typically graduate students. Mail is delivered daily to the student mailboxes. Students should use their mailbox number, California Institute of Technology, Pasadena, CA 91126, to facilitate handling of mail at the campus post office. For more information, please visit housing.caltech.edu.

Avery House

Made possible by a gift from trustee R. Stanton Avery, this undergraduate residence and innovative residential complex was designed by Moore, Ruble, Yudell, and completed in September 1996. Located at the north end of the campus, Avery has an RLC, two RAs, two faculty apartments, and rooms for about 136 undergraduates. Its dining facilities, meeting rooms, lounges, and library are designed to encourage informal faculty-student interaction and to attract all members of the campus community to join in this interaction. Avery hosts programs and social events that facilitate involvement between residents and faculty in residence.

Bechtel Residence

Established in the fall of 2018 and located at the northeast edge of campus, the Bechtel Residence is the first residence to open on campus since 1996. With the opening of Bechtel, the Institute is able, for

the first time, to provide on-campus housing to all undergraduates for the duration of their academic career. Bechtel is named in honor of Caltech life trustee Stephen D. Bechtel, Jr., the founder of the S. D. Bechtel Foundation.

The 95,000-square-foot residence is a multigenerational residence open to all undergraduates with: 211 student bedrooms arranged as singles and in suites; six RA and one RLC apartments; and two faculty-in-residence apartments. Bechtel was intentionally designed to provide the community with the greatest flexibility to maximize space as well as to encourage broader interaction, engagement, and residential life programming among residents. The facility includes three kitchens; eight common areas/study rooms; six laundry rooms; a 400-seat dining hall and servery; and support spaces.

STUDENT RESOURCES AND ACTIVITIES

Hameetman Center

The Hameetman Center, which opened in 2019, is a new campus center built on the site of the former Winnett Student Center. The Hameetman Center replaces Winnett as Caltech's central community gathering place. The 24,000-square-foot two-story center is named in honor of the Hameetman Foundation and Caltech trustee Fred Hameetman (BS '62) and his wife, Joyce, who provided the initial funding to initiate the design of the reimagined campus hub. It features a large public lounge, an expanded Red Door Marketplace, the Caltech Store, music rehearsal facilities, student club rooms, a multipurpose room, and a conference room. The rehearsal facility is made possible thanks to a gift from Emeritus Professor of Theoretical Physics Steven Frautschi and his wife, Mie.

Residential Experience

The Office of Residential Experience (ORE) has responsibility for the oversight of Caltech's residential programs, including programs carried out in the undergraduate houses, graduate student residences, and the Bechtel and Marks-Braun communities. The ORE works collaboratively with the Residential Life Coordinators, Resident Advisors, the Interhouse Committee, and other groups to ensure that student leaders in all our residential communities are trained and that there are programs in place to support their development. This is part of the shared governance that is central to the Caltech residential experience. The residence experience also includes member of the faculty who live in the undergraduate residences. The Faculty in Residence (FIR) Team establishes an academic life and culture in Bechtel and Avery House. FIRs bridge the classroom experience by hosting regular conversations over dinner and develop specialized academic programming, which can include: extracurricular activities, tours and excursions, cooperative community service projects, special events, and guest speaker programs.

All residences and houses, including all their activities and programs, are expected to comply with Institute policies, Student Affairs policies,

and the Caltech Code of Conduct. Potential Policy or Code of Conduct violations by a house or residence will be referred to the Caltech Routing committee. If the Routing Committee determines that the incident(s) is part of a Residential or House program or activity, it will be referred to ORE for further action. In this case, the Assistant Vice President for Student Affairs and Residential Experience (AVP) or designee, will either (a) manage the situation directly with the community so the concerns can be addressed, or (b) initiate an investigation into the incident. If an investigation is conducted, the investigators will report their findings to the AVP who will make a decision concerning whether any violations occurred and any consequences that may be imposed. The decision of the AVP may be appealed to the Vice President for Student Affairs within 10 days of the decision.

During the investigation, the AVP can suspend activities of the house or residence until further notice if deemed necessary for the health, safety, or the other benefit of the community. A range of outcomes may be considered as consequences to the house or residence if the group is found to have engaged in a policy violation. Possible sanctions including community education and/or suspension of the activity or event. Examples of events that warrant a response include an unregistered event or party, mistreatment of members, and hazing. If the potential situation also includes a potential policy violation involving an individual student(s), the student(s) will be referred to the appropriate Dean's office and may be subject to disciplinary action.

The Student Activities Center

The SAC is located in the basement of the south undergraduate housing complex and is open for student use 24 hours a day. The SAC provides office space for the officers of the undergraduate student government, working space for student publications, rehearsal space for musical activities, and space for many other student-oriented functions.

Whether students are interested in music, publications, student government, gaming, photography, or simply finding a room for their group to meet in, the SAC will probably have what is needed. The center also houses the South House laundry room and has several club rooms, a small library, a shop, and a movie screening room—most are open 24 hours.

Faculty-Student Relations

Faculty-student coordination and cooperation with regard to campus affairs are secured through the presence of students on faculty committees, by faculty-student conferences, and by other mechanisms.

Freshman Advisers

Each member of the freshman class is assigned a faculty adviser and is a member of a small advising group. The adviser follows the freshman's progress and provides advice on any questions or problems that the freshman may have.

Option Advisers

Each member of the three undergraduate upper classes is assigned an option adviser, a faculty member in the option in which the student is enrolled. The adviser takes an interest in the student's selection of courses and progress toward a degree, and, eventually, in assisting the student toward satisfactory placement in industry or in graduate school. Normally, the association between student and adviser is established before the beginning of the sophomore year and continues through graduation.

Athletics, Physical Education, & Recreation (APER)

Caltech supports an extensive program of competitive athletics. As a member of NCAA Division III and the Southern California Intercollegiate Athletic Conference, Caltech participates in intercollegiate competition in 20 sports—10 each for men and women. All teams compete during a regular season, with many also competing or qualifying for the conference tournament in their respective sport. Individual scholar-athletes and teams distinguishing themselves can earn the privilege of participating in NCAA regional and national championships.

Caltech also sponsors vigorous club sports programs and intramural competition. Club sports include Ultimate Frisbee, volleyball, badminton and soccer. Intramural competitions are contested by residence house teams in several sports, including soccer, dodgeball, kickball, Ultimate Frisbee, basketball, volleyball, and floorball. Approximately 25 percent of Caltech undergraduates participate in intercollegiate athletics and over 80 percent participate in some form of organized athletic competition each year.

Outdoor athletic facilities include a brand-new turf mixed-use baseball and soccer field, a second natural grass mixed-use field, an all-weather running track, eight tennis courts, and two 25-yard, eight-lane swimming pools. Indoor facilities include two full-size gymnasiums; four racquetball courts, two squash courts; a 5,000-square-foot weight room, satellite weight room and more than 55 pieces of cardio-respiratory equipment, including treadmills, exercise bikes and ellipticals; and a large multipurpose room for dance/aerobics, martial arts and a variety of group fitness courses.

The department is also responsible for management of Caltech's recreation programs and physical education curriculum.

More information can be found at gocaltech.com.

Interhouse Activities

The president of each undergraduate house represents that house on the Interhouse Committee (IHC), which helps to handle matters affecting the houses, in conjunction with staff from Student Affairs. Members of the IHC are expected to be enrolled and in good standing, both academically (eligible, and not on probation) and disciplinarily (not on probation), during their tenure in office. The IHC works in conjunction with the APER department to conduct intramural competitions as described above, and conducts its own Discobolus Trophy competition, in which a house may challenge the house holding the trophy to a mutually agreed upon contest.

ASCIT

The undergraduate student body forms the membership of a corporation known as the Associated Students of the California Institute of Technology, Inc., or ASCIT. Governed by a board of directors consisting of six elected officers, it is involved in many aspects of student life; oversees publication of *The Tech*, our undergraduate student newspaper; the *Big T* yearbook; a literary magazine called *Totem*; and the *Little t*, which provides lots of helpful information to incoming students. A directory, along with other student information, such as campus positions, links to the Interhouse Committee (IHC) and Academics and Research Committee (ARC), and other helpful information is available online at donut.caltech.edu.

Besides overseeing student publications and coordinating activities and policies, the ASCIT Board of Directors administers the corporation's finances. ASCIT sponsors a wide variety of special-interest clubs and programs, working closely with Student Activities and Programs part of the Office of Residential Experience. The student government is active in campus affairs. The student members of standing faculty committee ensure that undergraduate opinion is considered seriously. Excellent informal relations between students and faculty and between students and administration promote discussion of mutual concern and goodwill. Student-faculty conferences are held every other year and serve to promote communication mainly around academic topics.

Graduate Student Council

The Graduate Student Council (GSC) is the student government for Caltech graduate students. It is the mission of the GSC to maximize the quality of life for the graduate student community at Caltech. The GSC Board of Directors interacts with the Institute's administrative bodies and is formed of subcommittees dedicated to academic support, advocating graduate student issues, sharing student news, and organizing social events.

Student Leadership Expectations

Graduate and undergraduate student leaders who are in either elected or appointed positions must be enrolled and in good standing with the Institute.

Honor System

The Honor Code, embodied in the phrase "No member shall take unfair advantage of any other member of the Caltech community," is the fundamental principle of conduct for all students and extends to all phases of campus life, including scholastic and extracurricular activities, relations among students, and relations between students and faculty. The Honor System is the most important tradition of the undergraduate student body. The Board of Control (Board), which is composed of elected student representatives, is charged with monitoring the academic Honor System for undergraduates, investigating course work violations, and making recommendations to the dean of undergraduate students. The purpose, composition, duties, and procedures of the Board, as well

as the roles and responsibilities of the deans, faculty, vice president for student affairs, complainants (students reporting suspected violations), respondents (those against whom an allegation of an academic Honor System violation is made), witnesses, and other participants in the process, are set forth in Article XIII of the Associated Students of the California Institute of Technology bylaws. The Board investigates the allegations of academic Honor Code violations by interviewing the respondent and any witnesses, and assessing the relevant evidence, and votes on recommendations to the dean about whether or not an Honor Code violation has been committed and its scope (conviction/dismissal), how to nullify the unfair advantage gained (nullification), and how to uphold the Honor Code and protect the Caltech community from future violations (protection). The dean makes the decisions after considering the Board's case report and any objections and further evidence raised by the respondent.

The concepts of conviction, nullification, and protection are described in greater depth in the Honor Code Handbook provided to all students and available on line at deans.caltech.edu/HonorCode.

The Conduct Review Committee, composed of students, faculty, and staff, hears cases involving non-academic Honor System and Institute policy violations for undergraduate students, and also makes recommendations to the dean. At their discretion, the dean of undergraduate students, or their designee, may directly handle a matter also involving the Honor System, the Code of Conduct, and Institute Policies for undergraduate students.

The Honor System is also an important part of graduate student life. The dean of graduate studies is responsible for reviewing and making decisions concerning alleged Honor Code violations with respect to course-work. The Graduate Honor Council (GHC) serves as a consultative resource to the dean. At their discretion, the dean of graduate studies may request that the GHC investigate and hear a case, and provide its recommendations to the dean for final review and decision. All Members of the Graduate Honor Council must be in good standing with the Office of Graduate Studies and must attend a formal training before they may serve on a case. Examples of Honor Code violations include, but are not limited to, plagiarism, violations of the collaboration policy in a class, and/or using resources that were strictly prohibited for homework and/or exams. Incidents that are not handled by the dean of graduate studies include accusations of research misconduct, which are handled by the Office of Research Compliance; grade disputes, which are handled by the office of the provost. Institute Policy violations are handled by the office of the dean of graduate studies or the appropriate administrative organization.

Student Body Publications

The publications of the student body include a weekly paper, *The California Tech*; an undergraduate research journal, *CURJ*; a literary magazine, *Totem*; a student handbook, *the Little t*, which gives a survey of student activities and organizations and serves as a campus directory; a yearbook, *Big T*; an online undergraduate research opportunities handbook, *UROH*; and *Caltech Letters*, an online campus publication

designed to let students talk about their research and their viewpoints on science with the broader world. These publications, staffed entirely by students, provide an opportunity for interested students to obtain valuable experience in creative writing, photography, artwork, reporting and editing, advertising, and business management.

Performing and Visual Arts

The Institute provides directors and facilities for choirs, concert band, jazz band, symphony orchestra, numerous chamber music ensembles, guitar classes, a theater program, ceramics and studio arts classes. These activities are centered in the Music and Theater Arts houses on Hill Avenue along the eastern edge of campus.

Student Clubs

All student clubs must be officially recognized in order to be in and remain in good standing with the Institute. To become officially recognized, the club must annually apply for recognition. You will find details regarding this process outlined in the Student Club Handbook, which is available on the Office of Residential Experience website (ore.caltech.edu).

Once the club is officially recognized, it may plan on maintaining that recognition for the duration of the current academic year. The details of how to remain in good standing with the Institute are outlined in detail within the Student Club Handbook. These details include club oversight, privileges, responsibilities, finances, and other very important information. A recognized club will receive the following privileges: the ability to recruit members; advertise events; secure funding; conduct officer elections; provide trainings and use Institute facilities for meetings and events. Additional, key elements of club recognition include but are not limited to, having an advisor, an appropriate purpose, and a leadership infrastructure. Note that only recognized clubs will be allowed to participate in the annual Club Fair.

Clubs at Caltech are expected to follow Institute policy, Student Affairs policies, and the Caltech Code of Conduct. Potential policy or Code of Conduct violations by a club or in connection with a club event will be referred to the assistant vice president for student affairs and residential experience (AVP) or her designee, will either (a) manage the issue with the club through an appropriate Institute response, or (b) initiate an investigation into the incident. If an investigation is conducted, the investigators will report their findings to the AVP who will make a decision concerning whether any violations occurred and any consequences that may be imposed. The decision of the AVP may be appealed to the vice president for student affairs within 10 days of the decision.

During the investigation, the AVP may suspend the club's recognition and planned activities, if deemed necessary, for the health, safety, or other benefit of the community. A range of outcomes may be considered as consequences to the club if the group is found to have engaged in a policy violation. Possible sanctions examples include education, suspension of some or all of the group's privileges, or loss of their recognition status with the Institute. If the potential situation

also includes a potential policy violation involving an individual student(s), the student(s) will be referred to the appropriate Dean's office and may be subject to disciplinary action.

Caltech Center for Inclusion & Diversity (CCID)

The Caltech Center for Inclusion & Diversity (CCID) mission is to provide education, advocacy, and allyship in order to increase institutional and personal capacity for diversity and ensure a community committed to equity and inclusive excellence. We create and implement campus-wide initiatives and programs that will increase the knowledge, skills, and attitudes for all members of the Caltech community to thrive in a diverse world.

Awareness and Education. We are committed to building the capacity for cultural competencies, skills, and action by designing workshops and trainings appropriate for all constituents on campus. We value consistent assessment and formative feedback to facilitate sustainable and lasting change.

Advocacy through Collaboration. We actively engage with the Caltech community to promote and provide access to information and resources that help achieve our academic and personal goals. The CCD provides programs and services to meet the specific needs of racially underrepresented groups, women, all sexual and gender identities (LGBTQ+), underserved, and ally communities on campus.

Allyship. We create spaces and skill-building opportunities for all members of the community to engage with issues related to their multiple identities. We provide resources and promote an environment that is supportive for all.

If you are interested in getting involved with CCD, please check the center website: diversity.caltech.edu.

The Caltech Y

The Caltech Y is a student-driven nonprofit organization on campus. Founded by students for students, the Y challenges the Caltech community to see the world with a broader perspective and a deeper understanding of social issues. Y programs focused on community service and activism, outdoor adventures, social activities, and cultural events encourage students to become active participants in the world. With the help of Y staff, student leaders plan and lead events, trips, and initiatives on campus and beyond. Some of the many Y programs include the Rise tutoring program, the Y hike in the California Sierras, Alternative Spring Break, Make-a-Difference Day, World Fest, the Student Activism Speaker Series, and the D.C. Science Policy Trip. The Y also provides services to the Caltech community, such as low-cost audio visual and camping equipment rentals, discounted tickets, and much more. For more information about student planning meetings, email caltechy@caltech.edu or check out our website at caltechy.org. Follow us on Facebook at facebook.com/caltechy and Instagram at instagram.com/caltechy.

Religious Observation

Caltech has a quiet room for prayer, mediation, quiet reflection and religious observation. The quiet room is located in the Hameetman Student Center. For information about religious clubs, see the Student Clubs website at ore.caltech.edu.

Special Meals

If you have a dietary restriction that requires a special request, please contact Caltech Dining Services at dining@caltech.edu. If your restriction rises to the level of a disability, please visit the CASS website at cass.caltech.edu to request accommodation.

Registration for Student Sponsored Events

Student events, including parties, activities, and programs that are hosted by a house or residence, are a privilege at Caltech and are part of the social framework of the Institute, but must be conducted in a safe and legally compliant manner. We expect the student body to follow laws, polices, guidelines for events, use common sense, and good judgement. All events all events must be registered; for additional information and to complete your Student Event Registration online, visit spa.caltech.edu.

Student Auxiliary Services

The Student Auxiliary Services, Gift & Technology Store (caltechstore.caltech.edu) is located on the first floor of the Hameetman Center. Established in the 2018–2019 academic year with a lead gift from The Hameetman Foundation, the Hameetman Center (formerly the Winnett Student Center) is now renamed in the Foundation's and Fred Hameetman (BS '62) and his wife, Joyce's honor. Owned and operated by the Institute, the store serves the students, faculty, and staff, carrying a stock of Caltech authors' books, insignia merchandise, gift items, school supplies, computer hardware, and accessories that support Caltech's educational and research mission. Also located on the first floor of the Hameetman Center is the redesigned Red Door Marketplace that offers freshly brewed coffee and tea, full menu, and bakery items.

STUDENT WELLNESS SERVICES

GENERAL INFORMATION

During the coronavirus pandemic, many services will be conducted remotely. A full description of the range of services and programs offered by Student Wellness Services can be found at wellness.caltech.edu.

Student Wellness Services is committed to supporting the health and emotional well-being of Caltech students. Through individualized treatment planning, consultation, and outreach, we provide direct ser-

vices and community-level interventions to improve student wellness and allow students to focus on their pursuit of academic success and holistic development. All enrolled students, regardless of insurance coverage, are eligible for basic medical and psychological care, crisis counseling, and occupational therapy at Student Wellness Services, through payment of the health fee. Students who require specialty or longer-term care beyond the scope of what Student Health Services provides will be referred to community providers using their health insurance; costs associated with this care are the responsibility of the student.

A full description of the range of services and programs offered by Student Wellness Services can be found at wellness.caltech.edu.

HEALTH FORMS

Prior to initial registration, each admitted student is *required* to submit entrance health forms that include medical and immunization history. Information regarding immunization requirements and the completion of the health forms are posted on the New and Prospective Student website (wellness.caltech.edu/resources/new-students). Matriculating students will receive access to the Student Health Portal to enable secure online upload of the forms. Health forms must be received no later than September 15, 2020. Failure to meet this requirement will result in a registration hold, and students will be unable to register for winter term classes until clearance is complete.

STUDENT HEALTH INSURANCE

Students have the option to waive the Caltech student insurance plan (United HealthCare Student Resources) during the waiver period each year, provided they show proof of adequate alternative coverage. Students will be automatically enrolled in the Caltech plan if a waiver is not submitted. The Caltech plan provides coverage (with deductible and copay) for most hospital and surgical costs, as well as the cost of outpatient treatment for injury, illness, and psychotherapy. Students must be enrolled in order to maintain eligibility for coverage. Students on an approved medical leave can continue coverage for up to one year; the cost of the plan premiums will be the responsibility of the student. Complete coverage and exclusion details can be found here: benefits.caltech.edu/health/students/medical. If the Caltech plan has been waived, students are advised to ensure that their alternative coverage provides access to medical and mental health providers close to campus.

CALTECH CARE TEAM

GENERAL INFORMATION

The CARE Team is a multidisciplinary group of professional staff from key areas of the Institute. Each member brings knowledge and expertise in their field, including mental health, crisis intervention, student

development, staff consultation, campus security, academic support, and residential life. The CARE Team also collaborates with many other entities across campus including athletics, the Equity and Title IX Office, the Center for Inclusion & Diversity, Student Faculty Programs, International Student Programs, and the academic divisions.

The CARE Team connects students with resources and support. Through early identification of academic difficulties, social concerns, behavioral disruptions, and health issues, the CARE Team can partner with students to create individualized plans to help mitigate crises and promote success. The behaviors listed below, especially when more than one are present, may be signs of distress:

- Mood or behavior changes
- Changes in personal hygiene
- Social withdrawal
- Excessive absences from class or lab
- Persistent disinterest or disengagement in work
- Escalated substance use
- Talking about death, dying, or suicide
- Disruptive and/or aggressive behavior
- Threatening language or social media postings

The CARE Team will collaborate with the referring party to create a support plan, which may include outreach, academic or personal counseling, referral to campus support services, and other relevant resources.

Referrals to the CARE Team can be made at: caltechcares.caltech.edu.

CAREER DEVELOPMENT

CAREER SERVICES

The Career Development Center (CDC) provides assistance to students in the areas of career planning and employment. Assistance is available in areas such as career choice, résumé preparation, interviewing, graduate school application, and job search strategies. Career and vocational interest tests can also be taken on the recommendation of one of the career counseling staff members.

GENERAL INFORMATION

All students are encouraged to visit and make use of the Career Development Center early in their student careers.

WALK-IN COUNSELING

Several days a week, students can “walk in” to consult with a career counselor without an appointment. This allows students to deal with time-sensitive or quickly answered concerns without having to make an appointment.

CDC ONLINE AND THE CDC LIBRARY

The CDC's website contains information about the center's programs and activities, as well as links to career, educational, and employment resources nationwide (career.caltech.edu). Students can schedule appointments for career counseling, register and post resumes for online recruiting, view work-study or tutoring job postings online. The CDC library contains information on graduate, and professional schools, employers, career options and job hunting skills.

GRADUATE AND PROFESSIONAL SCHOOL ADVISING

The CDC provides advice on applying to Ph.D. and master's programs in the sciences or applied sciences, economics, medicine, public health, environmental sciences, business, law, and other fields. Workshops and individual advising are available on the graduate school admissions process, essay writing, and related topics. The CDC's library and website have helpful resources.

PRE-HEALTH CAREERS ADVISING

Students planning to apply to medical, dental, veterinary, or pharmaceutical graduate school have access to a wide range of advising services through the CDC. Students can obtain relevant medical research experience through the Caltech summer preceptorship program, which has placements with hospitals in the LA area. The pre-health adviser is available to work with students throughout the process from freshman year to graduation.

Students planning to apply to graduate school or professional graduate degrees are encouraged to plan ahead and to utilize the resources of the CDC in making choices about and implementing choices related to graduate studies.

ON-CAMPUS RECRUITING PROGRAM

Through the on-campus recruiting program, employment interviews are arranged by the CDC with companies that seek full-time employees pursuing B.S., M.S., Eng., or Ph.D. degrees. Many firms also recruit students for summer internships or jobs. All students, postdoctoral scholars, and alumni are welcome to participate.

CAREER FAIRS

Each year two career fairs are organized by the CDC and held in October and January. A diverse range of companies send representatives to campus to talk to Caltech undergraduates, graduate students, and postdoctoral scholars about permanent employment, summer jobs, or internship opportunities with students. Many firms hold information sessions and conduct on-campus interviews.

WORK-STUDY AND EMPLOYMENT LISTINGS

Job listings are maintained in the Career Library and through Handshake (the CDC online job listing resource) for students seeking full-time or work-study employment. One popular online resource is Caltech's tutoring service, through which Caltech students are hired to work as paid tutors for students attending high school in the local area. (See also the student employment section on page 214.)

SUMMER INTERNSHIPS AND JOBS

Students are encouraged to establish a relationship with the CDC staff during the fall term to start the summer job process. The CDC website has a special section on internships. Many firms recruit on campus or at the career fairs for interns, or list positions on Handshake. Students may wish to confer with the summer internship career counselor to develop a plan to find summer work that will support or complement long-term career objectives. The CDC provides job-search assistance, including résumé preparation advice, mock interview training, and advice on evaluating job offers. Many employers, eager to hire Caltech students, provide or supplement transportation and housing as part of their summer employment package.

EMPLOYMENT EXPERIENCE OF RECENT GRADUATES

Each year, Caltech surveys graduating students' future plans. Over several years, approximately 35 percent of graduating seniors immediately pursue graduate study, primarily PhD programs, 55 percent pursue full-time employment, 10 percent have not accepted offers yet, and 10 percent pursue other options, such as a creating a start-up, fellowships for graduate study abroad, travel, or additional study in order to enter a new area of interest, etc. At the M.S. degree level, about 90 percent continue in graduate school, and the remainder accept employment. Of those receiving the Ph.D. degree, about 60 percent accept postdoctoral, faculty, or other academic/research positions, about 40 percent pursue positions in areas such as national laboratories, industry, STEM teaching, public policy, etc.

CALTECH ALUMNI ASSOCIATION

The Caltech Alumni Association (CAA) empowers students and alumni to connect with each other and build meaningful professional relationships through CAA programs, events, and networking platforms. Alumni are encouraged to share with current students their experiences and wisdom gained since graduating from Caltech. We welcome all students to the CAA as future alumni and are proud to grant CAA membership to all new alumni upon graduation. The Caltech Alumni House is located at 345 South Hill Ave, Pasadena CA, 91106. Learn about our programs for students and alumni and get involved at alumni.caltech.edu.

INTERNATIONAL STUDENT PROGRAMS

As the definitive immigration resource for international students, International Student Programs (ISP) is responsible for advising students on all immigration-related matters, such as visa acquisition, employment authorization, extensions of stay, and more. In addition, ISP provides programs that assist international students and their dependents in adjusting to life in the United States. ISP plans and promotes events that celebrate international education and cultures of the world, address cross-cultural adjustment, and provide opportunities for international students to establish a sense of community at Caltech. Prior to the fall term, ISP hosts International Student Orientation to provide an introduction to academic and social life at Caltech and in the United States. All incoming international students are required to participate. Please contact ISP at isp@caltech.edu for more information on current programs, or visit ISP online at international.caltech.edu.

AUDITING COURSES

Persons affiliated with the Institute may audit courses if they obtain the consent of the instructor in charge of the course, and the dean of undergraduate students or dean of graduate studies, as appropriate, and pay the required fee (contact the Bursar's Office for audit fee). The fees are nonrefundable.

Auditing cards may be obtained in the Registrar's Office.

Regularly enrolled students and members of the faculty are not charged for auditing. Auditing cards are not required, but the instructor's consent is necessary in all cases. No grades for auditors are reported to the Registrar's Office, and no official record is kept of the work done.

GRADES AND GRADING

All permanent grades recorded for freshmen during the first and second terms they are enrolled will be either P, indicating "passed," or F, indicating "failed." The temporary grade of I ("incomplete") may be used as it is for other students. The temporary grade of E may be given to freshmen as described below for other students. It may also be used in a continuing course if the performance of the freshman concerned is not significantly below the current passing level, and if the student is maintaining a steady and substantial improvement; an E given for this reason will be automatically changed to a P if the freshman earns a P for the following term, and will change to an F if the student receives an F for the following term. The grade may not be used in this way for two successive terms nor for the last term of the course.

If a first-quarter or second-quarter freshman is enrolled in a course in which the instructor gives letter grades, the registrar will record P for all passing grades. No grades given to a freshman during the first and second quarter in which they are enrolled will be used in computing the cumulative grade-point average.

For all students beyond the first and second quarters of their freshman year, graduate and undergraduate, letter grades will ordinarily be used to indicate the character of the student's work: A, excellent; B, good; C, satisfactory; D, poor; E, conditional; F, failed; I, incomplete. P may also be used as described below under *Pass/Fail Grading*. In addition, grades of A+ and A-, B+ and B-, C+ and C-, and D+ may be used. In any situation in which no grade is reported, the grade shall be assumed to be F.

Failed. Means that no credit will be recorded for the course. The units, however, count in computing the student's grade-point average, unless the course was taken on a pass/fail basis. He or she may register to repeat the subject in a subsequent term and receive credit without regard to the previous grade, the new grade and units being counted as for any other course, but the original F and units for the course remain on the record. Grades other than E, I, and W are assumed to be based on work completed and evaluated at the time of grade submission.

E and I Grades

E Grades. At their discretion, instructors may give students who have not completed their work for a course by the end of the term a grade of E. The grade E indicates deficiencies that may be made up without repeating the course. If the instructor does not specify a date on the grade report sheet for completion of the work, students receiving an E will have until Add Day of the following term to complete their work for that course. Instructors may, however, require the work for the course to be completed by an earlier date. In addition, students should be aware that E grades can impact ability to meet eligibility requirements. If an E grade impacts a student's academic standing, the grade may be due by the first day of classes. See section Scholastic Requirements for additional information.

If a student receives an E and does not complete the work by the date specified by the instructor or by Add Day (or a different date specified by the instructor), the grade will be changed to an F. Adequate time must be afforded to instructors to grade the work and to submit the final grade to the registrar.

It is the responsibility of a student receiving an E to confirm that the registrar has recorded the terms for satisfying the completion of the work in the course.

With the written permission of the instructor, a student may extend the E grade past Add Day of the following term, but doing so will cause an additional E grade to be registered. Each additional extension of the E will be until the date specified by the instructor or until Add Day of the following term, but in each case will require the written permission of the instructor and the registering of an additional E grade.

E Count Limitations. After an undergraduate student has been awarded the grade of E six times, he or she is not eligible to receive E grades in any subsequent term. A petition for an E in a subsequent term may be approved by the Undergraduate Academic Standards and Honors (UASH) Committee in an exceptional case. Such a petition requires the support of the instructor and the dean or associate dean of undergraduate students.

I Grades. The grade I is given only in case of sickness or other emergency that justifies noncompletion of the work at the usual time. It is given at the discretion of the instructor, after approval by the dean or associate dean of students or the dean of graduate studies. The time period within which the grade of I is to be made up should be indicated on the grade sheet, or students receiving an I will have until Add Day of the following term to complete their work for the course. In addition, students should be aware that I grades can impact ability to meet eligibility requirements. If an I grade impacts a student's academic standing, the grade may be due by the first day of classes. See section Scholastic Requirements for additional information.

Students receiving grades of E or I should consult with their instructors, and one of the deans, at the time of issue regarding the work required and the time allowed. This time should, in most cases, coincide with the date fixed in the calendar for removal of conditions and incompletes (Add Day), and in fact if no other time is specified, this date will be assumed. However, except under extraordinary circumstances, the time for the completion of the work will not be extended beyond one year after the date in which the grade of E or I was given. In the absence of an earlier deadline, an E will turn into an F one year after the date on which the E was given, and an I grade will turn into a W (standing for "withdrawn") one year after the date on which the I grade was given. Waiving of this one year rule is done in only the most exceptional of circumstances and requires the agreement, before that one year anniversary, of the dean of undergraduate students, chair of UASH, and executive officer of the department in which the course was taken.

Grades of E and I shall not be considered in calculating a student's grade-point average.

Petitions and Exceptions

Once recorded, a grade will only be changed on the basis of error. Such a change may be made only with the approval of the Undergraduate Academic Standards and Honors Committee or of the Graduate Studies Committee, whichever has jurisdiction.

Petitions by undergraduate students for late drops (i.e., requests to drop a course after Drop Day) will be considered by the UASH Committee, but will only be approved if circumstances beyond the student's control prevented them from dropping a course or courses by the posted deadline. Such petitions must be submitted before the end of the term following the term when the course was taken, or within the first term of return, if the student is on leave in the term following the term when the course was taken. If approved, a W will be recorded on the student's transcript in place of a grade for that course. W's will not be included in the computation of the student's grade-point average. Courses will be expunged from the student's record only in exceptional circumstances, at the discretion of the UASH Committee.

Petitions from graduating seniors submitted later than the first UASH meeting following graduation (which normally takes place shortly after graduation) will not be accepted for consideration, except to correct an error by the Institute.

Grade-Point Average

Grade-point average is computed by dividing the total number of credits earned in a term or an academic year by the total number of units taken in the corresponding period. Units for which a grade of F has been received are counted, even though the course may have subsequently been repeated. Grades of P or F obtained in courses graded on a pass/fail basis are not included in computing grade-point average.

Each course at the Institute is assigned a number of *units* corresponding to the total number of hours per week devoted to that subject, including classwork, laboratory, and the normal outside preparation. Credits are awarded as shown in the table below.

No. of Units	A+	A	A-	B+	B	B-	C+	C	C-	D+	D	F
1	4	4	4	3	3	3	2	2	2	1	1	0
2	9	8	7	7	6	5	5	4	3	3	2	0
3	13	12	11	10	9	8	7	6	5	4	3	0
4	17	16	15	13	12	11	9	8	7	5	4	0
5	22	20	18	17	15	13	12	10	8	7	5	0
6	26	24	22	20	18	16	14	12	10	8	6	0
7	30	28	26	23	21	19	16	14	12	9	7	0
8	35	32	29	27	24	21	19	16	13	11	8	0
9	39	36	33	30	27	24	21	18	15	12	9	0
10	43	40	37	33	30	27	23	20	17	13	10	0
11	48	44	40	37	33	29	26	22	18	15	11	0
12	52	48	44	40	36	32	28	24	20	16	12	0
13	56	52	48	43	39	35	30	26	22	17	13	0
14	61	56	51	47	42	37	33	28	23	19	14	0
15	65	60	55	50	45	40	35	30	25	20	15	0

Pass/Fail Grading, the following regulations apply

- First-quarter and second-quarter freshmen receive pass/fail grades in all courses by virtue of their classification as freshmen by an admissions committee or, for students whose status after the first year is uncertain, by the Undergraduate Academic Standards and Honors Committee.
- All other students, undergraduate and graduate, in courses with numbers under 200 will receive letter grades unless the course is designated "graded pass/fail" or unless, when it is allowed, the student files with the Registrar's Office a completed Pass/Fail Course Selection Card not later than the last day for dropping courses.
- In courses with numbers 200 or greater that are not designated either "graded pass/fail" or "letter grades only," the instructor may decide separately for each student what class of grades to use.

- All research courses shall be designated “graded pass/fail.” All reading courses, seminar courses, or other courses that do not have a formal class structure shall be designated “graded pass/fail” unless the option secures an exemption from the Curriculum Committee or the Graduate Studies Committee and from the Faculty Board.
- A grade on the pass/fail system should be P if it would have been a D or better on the letter grade system. (Note that there is no D– grade.) The standards of failure in courses in which only pass/fail grades are used should be the same as they would be if the course were letter graded.
- Any instructor may, at his or her discretion, specify prior to registration that his or her course, if not classified by the above regulations, is to be graded on a “letter grades only” basis or is to be graded pass/fail only, subject to possible review by the responsible option. The registrar must be notified of such specification two weeks before the beginning of registration. (Note: If the grading scheme is changed during the term, it is changed for everyone.)
- Each term, any student may select, subject to requirements imposed by the student’s option, two elective courses in which he or she is to be graded on a pass/fail basis if the course is not designated as “letter grades only” and is not specifically required for the degree in his or her option. To make this election, a completed Pass/Fail Course Selection Card must be submitted to the Registrar’s Office on or before Drop Day. This election may be reversed or reinstated at any time before the deadline. The election must be approved and the card signed by the student’s adviser. The instructor must be notified and should sign the card to indicate that this has been done; the instructor must allow any eligible student to make this election.
- Of the units offered to satisfy the requirements for the Bachelor of Science degree, no more than 90 may be in courses graded pass/fail because of the student’s election (this does not include those courses taken in the first two terms freshmen year or those designated pass/fail by the instructor, option, or curriculum committee).

Procedures for Resolving Disputes over Grading

At Caltech, the instructor has full responsibility for assigning grades to students enrolled in a course. On occasion, a student may not understand how a grade was determined and may seek further information. The student should first meet with the instructor or teaching assistant to discuss the grade. If after doing so the student believes the grade is unjustified or capricious, the following procedures are available.

Before the end of the term following the term when the grade was issued, the student should contact the academic mediator, appointed by the provost, who will work with the student and instructor to resolve the problem. If the mediation effort is unsatisfactory to the student, he or she may request a formal review by an appropriate executive officer or academic officer. The executive officer will review the case

and report the decision in writing to the student. If the executive officer decides that a change of grade is warranted, or if the student requests a further appeal, these shall be requested of the division chair. At the discretion of the division chair, a committee may be appointed to review the case. The committee members should interview everyone involved in the case (the student, the course instructor, the teaching assistant, and anyone else with relevant information), and make a written recommendation to the division chair. Only the division chair can authorize the registrar to enter a new grade in the student's transcript.

NOTICES AND AGREEMENTS

ACADEMIC RECORDS OF VETERANS

The Institute maintains a written record of a student's previous education. This is part of the student's official transcript, and included on this is a summary of any prior college-level education. A true copy of a transcript of college-level work at other institutions is maintained as part of the student's record. The amount of credit granted for prior training is indicated on the student's official transcript and, where this results in the shortening of a required training period in the case of a veteran, the Veterans Administration is notified.

The Institute's official transcript for each student shows the progress that student is making at the Institute. There is a record of each course enrolled in each term with a grade recorded for the course. The total number of units earned is kept so that the record will show continued progress toward the degree sought. The final grades are recorded at the end of each term of the school year, and the accumulative permanent record has on it grades for all subjects taken at the Institute. No student is allowed to enroll repeatedly in a course and withdraw without penalty. If a student enrolls in a course, he or she is expected to complete the course or receive a failing grade unless he or she withdraws from the course prior to the deadline for dropping courses. All students must maintain a minimum load equivalent to 12 quarter hours each term; no student may drop courses that would bring him or her below this level of effort. At any time when the student falls below the required number of units, fails to receive satisfactory grades, or engages in unsatisfactory conduct, the record is marked to indicate this, and the student is forbidden to continue at the Institute.

The grading system of the Institute is A+ (excellent) to F (failed). An A+ is equivalent to 4.3 and an F to 0.0. A student must maintain a grade-point average of 1.9 in any term in order to be able to enroll in a successive term at the Institute. A minimum 1.9 overall grade-point average is required for graduation. A student who drops below the required average (1.9 for a given term) is dismissed and must petition for reinstatement. A student may be reinstated by the Undergraduate Academic Standards and Honors Committee and, if so, is required to earn a 1.9 GPA during the immediately following term. The Veterans Administration is notified when a veteran is academically dismissed or is making unsatisfactory progress toward a degree. Since the Institute requires all students to carry a minimum full

load that corresponds to 12 quarter hours each term, any student who finishes a term in good standing is considered to have made satisfactory progress. If a student withdraws from a course before the final date for withdrawal, no grade is given in that course. The time spent in school counts, however, and the student may be considered to have not made satisfactory progress in the event of such withdrawal.

In order to withdraw from any course, a student must submit a withdrawal card. This shows the date on which the student was last in official attendance in that course. If a student reenrolls in that course and successfully completes it, that fact will be noted on his or her official transcript.

VETERANS BENEFITS AND TRANSITION ACT OF 2018 (SECTION 103)

Caltech adheres to the requirements of and complies with the Veterans Benefits and Transition Act of 2018, specifically S2248 PL 115-407 Section 103. This provision was effective August 1, 2019 for any students who are considered “a covered individual” using “Chapter 33: Post 9/11 GI Bill®” benefits or any participants in “Chapter 31: Vocational Rehabilitation and Employment Program” benefits at a public, private for-profit, or not-for-profit institution regarding unpaid tuition and fees.

Caltech permits any covered individual to attend or participate in courses during the period beginning on the date on which the individual provides to the educational institution a certificate of eligibility for entitlement to educational assistance under chapter 31 or 33 of this title.

In accordance with S2248 PL 115-407 Section 103 Caltech will not impose any penalty, including the assessment of late fees, the denial of access to classes, libraries, or other Institute facilities, or the requirement that a covered individual borrow additional funds, on any covered individual because of the individual’s inability to meet his or her financial obligations to the institution due to the delayed disbursement of a payment to be provided by the Secretary under chapter 31 or 33 of this title.

GI Bill® is a registered trademark of the U.S. Department of Veterans Affairs (VA). More information about education benefits offered by VA is available at the official U.S. government Web site at www.benefits.va.gov/gibill.

ACCESS TO STUDENT RECORDS

The Institute maintains educational records for each student that include name, address, student identification number (including Social Security number), information on parents, guardian, and spouse, general information on academic status at the Institute, previous school data, results of standardized admissions examinations, courses previously taken or being taken, credits, grades, as well as other educational records. Applicants for financial aid have an additional file holding those records. The Family Education Rights and Privacy Act (FERPA) and Caltech policy afford students certain rights as well as establish limitations with respect to student educational records. These rights and limitations are as follows:

1. Caltech permits disclosure of educational records, without consent of the student, to Institute officials with legitimate educational interests in them. An Institute official is a person employed by the Institute in an administrative, supervisory, academic or research, or support-staff position (including security personnel and health and diversity center staff), a person or company with whom the Institute has contracted (such as an attorney, auditor, consultants, contractors, or collection agent), a person serving on the Board of Trustees, or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another Institute official in performing his or her tasks. An Institute official has a legitimate educational interest if he or she needs to review an educational record in order to fulfill his or her professional responsibility. They are available to the registrar, provost, president, general counsel, vice president for development and institute relations, vice president for student affairs, dean of graduate studies, dean of undergraduate students, director of financial aid, and faculty of the Institute and their respective staffs for the normal academic and business purposes of the Institute. Records involving financial aid are maintained by the director of financial aid, and are available to the director and staff, to the dean of graduate studies and staff, to the Faculty Committee on Scholarships and Financial Aid, and to the Faculty Committee on Graduate Study, for the purpose of granting and administering the Institute's financial aid program. Except as authorized by federal or state law or regulation, none of these education records nor any personally-identifiable information contained therein, other than directory information (see below), may be made available to anyone else, other than the student, without the consent of the student. Where the student consents to disclosure of personally-identifiable information from the student's education records and Caltech chooses to disclose such information, if the student so requests, the Institute will provide the student with a copy of the records disclosed. The Institute will maintain a record of each request for access to and each disclosure of personally-identifiable information from the education records of a student, as required by applicable federal law or regulation.
2. Students are allowed access to their educational records as follows: A student may inspect and review his or her academic transcript during normal working hours. To inspect and review other records, the student must provide a written request to the registrar or to the director of financial aid or to the dean of graduate studies or to the dean of undergraduate students, or their designees, as appropriate. A mutually-convenient time will be arranged within 45 days after receipt of the request for the student to inspect and review the records in his or her file. At that time the student may examine all educational records in the file with the exception of those specifically exempted by Part 99 of Title 34 of the Code of Federal Regulations. If circumstances effectively prevent the student from exercising their right

to review their education records, the Institute will make other arrangements. If a student believes the educational records relating to the student contain information that is inaccurate, misleading, or in violation of the student's rights of privacy, the student may ask the Institute to amend the record. The Institute will decide whether to amend the records as requested within a reasonable time after receiving the request. If the registrar, or the director of financial aid, or the dean of graduate studies, or the dean of undergraduate students, or their designees, decide not to amend the record as requested, the student will be informed of the decision and of his or her right to a hearing. The student will have, on request, an opportunity for a hearing to challenge the content of the records on the grounds that the information contained in the records is inaccurate, misleading or in violation of the privacy rights of the student. To request a hearing, the student must submit a written request to the vice president for student affairs or his or her designee. The vice president for student affairs or his/her designee will schedule such a hearing within a reasonable time after receipt of the request and will notify the student at a time reasonably in advance of the hearing of its date, time, and place. The student will be afforded a full and fair opportunity to present evidence relevant to the issues raised and may be assisted or represented by individuals of his or her choice at his or her own expense, including an attorney. The decision of the vice president or designee will be in writing, will be rendered within a reasonable time after the conclusion of the hearing, and will be final. This decision will be based solely upon the evidence presented at the hearing and will include a summary of the evidence and of the reasons for the decision. If, as a result of the hearing, the Institute decides that the information is inaccurate, misleading, or otherwise in violation of the privacy rights of the student, the Institute will amend the record accordingly, and inform the student of the amendment in writing. However, if, as a result of the hearing, the Institute decides that the information is not inaccurate, misleading, or otherwise in violation of the privacy rights of a student, it will inform the student of the right to place in the educational records a statement commenting on the information in the records and/or setting forth any reasons for disagreeing with the decision of the Institute. If the Institute places a statement in the education records of the student, the Institute will maintain the statement with the contested part of the record for as long as the record is maintained and will disclose the statement whenever it discloses the portion of the record to which the statement relates.

3. The Institute considers the following to be directory information: a student's name, UID, addresses (permanent, campus and local/off-campus, and email), associated telephone listings, ID photograph, date and place of birth, major field of study, year in school, current enrollment status, expected date of graduation, name of academic adviser, participation in officially recognized activities and sports, weight and height if a member of an ath-

letic team, dates of attendance, degrees and awards received, thesis title, hometown, and most recently attended educational agency or institution. Directory information may be made available to requestors at the Institute's discretion. Any student may, however, have part or all of this information withheld by notifying the registrar in writing. That information will then be withheld for the balance of that academic year. If the information is to be withheld in subsequent years, new requests must be filed.

4. A student will not be required to waive any rights regarding access to educational records. However, a student may voluntarily waive in writing right of access to confidential statements made by third parties respecting admission to educational agencies or institutions, applications for employment, or the receipt of an honor or honorary recognition. In case of waiver, the confidential statements will be used solely for the purposes for which they were specifically intended, and the student will, upon request, be notified of the names of all persons making such confidential statements. If a student should desire to waive right of access, he or she may contact the registrar for more information.
5. The Institute reserves the right to destroy from time to time any and all educational records that it maintains on a student, except to the extent that the law requires their maintenance for a longer period of time. However, where access to records has been requested, no destruction of those records will be allowed to take place until such access has been granted or denied.
6. Students who believe their rights under FERPA may have been violated may file a complaint with the Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue SW, Washington D.C. 20202-4605.

Transcripts of Records

A student, or former student, may request that official transcripts of his or her records be forwarded to designated institutions or individuals. Requests should be filed at the Registrar's Office at least five days before the date on which the transcripts are to be mailed.

PARENT, GUARDIAN, AND EMERGENCY CONTACT NOTIFICATION POLICY

Caltech understands and supports a student's right to confidentiality regarding educational records¹ as well as matters related to a student's experience at the Institute. Most communications from Caltech regarding academics, health and safety, advising, enrollment, and policies are directed only to students. However, the Institute does encourage students to share important information with their parent(s) or guardian. Subject to the allowable exceptions under FERPA, there may be circumstances under which a Caltech administrator makes the determination that notification to parent(s) or a guardian is indicated, and notification may be made without a student's consent. In most cases, when a Caltech administrator determines that involving parent(s) or guardian

is necessary, the student will be given an opportunity to make contact in advance of the administrator's communication. Administrators will consider any relevant information which may indicate that notification to parent(s) or guardian may not be appropriate based on individual circumstances. The Institute expects all students to designate an emergency contact who is a parent or guardian or other family member who may be notified in order to address a health or safety emergency, and who is in a position to make decisions on the student's behalf in the case of a medical emergency. An alternate emergency contact also may be identified for other purposes.

Situations that may warrant the involvement of a student's, parent(s), guardian, or emergency contact may include, but are not limited to:

1. Concerns about a student under the age of 18.

Caltech administrators will initiate communication with the parent(s) or guardian of a minor student in the cases described below, as well as any other concerns about a minor student that may benefit from collaboration with the student's support system.

2. Change in enrollment or status of an undergraduate student.

A change in the enrollment status of an undergraduate student may occur as a result of disciplinary action, unsatisfactory academic progress, or other factors. If an undergraduate student is separated from the Institute, the parent(s) or guardian will be notified by mail at the permanent address on file.

3. Medical emergencies.

State law prohibits health care professionals from disclosing medical information to the parents or guardian of a student without the student's explicit consent. In the event a student is incapacitated, unable to communicate, or otherwise cannot make decisions on their own behalf, the Institute will first cooperate with medical providers and then notify the emergency contact, parent(s) or guardian on file as soon as possible.

4. Unexplained absence from campus.

If it comes to the attention of Caltech administrators that a student is inexplicably absent from campus for more than 24 hours, or there is reason to believe that a student missing for fewer than 24 hours and is in danger, the emergency contact, parent(s) or guardian will be contacted in order to aid in locating the student. Caltech has a Missing Student Policy that guides the response of the Institute and cooperation with law enforcement and other officials.

5. Significant disruption to the campus community.

The emergency contact, parent(s) or guardian of a student may be notified if the student is behaving in a way that is substantially disruptive to the campus community, there is reason to believe the student is at risk of harming themselves or others, or is placed under arrest or charged with a crime related to conduct on campus.

6. Repeated or flagrant violations of the Substance Abuse Policy.

Caltech administrators may contact parent(s) or guardian if a student under the age of 21 is found responsible for serious or repeated violations of Institute policy related to the possession, use

or distribution of alcohol or drugs. Consideration in these situations will be given to the following conditions: the violation involved harm or threat of harm to self, others or property; the violation involved an arrest in which the student was taken into custody; the violation resulted in or could result in the student being suspended and/or removed from an Institute residence; the student has shown a pattern of violations; the student required urgent medical intervention as a result of consumption of alcohol and/or drugs.

7. Student death.

In the event of a student death, Caltech administrators will cooperate with law enforcement, the coroner, medical personnel, and any other relevant officials who will provide official notification to the deceased student's next of kin.

There may be additional, unforeseen circumstances when we believe it is in the best interest of the student to notify a parent or guardian. We reserve the right to act in such cases on our own best judgment, framed within the approach to emergency contact and parental/guardian notification stated above.

¹*The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99)*

ACCREDITATIONS AND AUTHORIZATIONS

The California Institute of Technology is accredited by the WASC Senior College and University Commission (WSCUC), 985 Atlantic Ave., Ste. 100, Alameda, CA 94501; (510) 748-9001. In addition, the Institute is authorized by the California State Department of Education, Office of Private Postsecondary Education, to operate as a private postsecondary educational institution and, by the same agency, to train veterans in the programs of the Veterans Administration.

The Engineering Accreditation Commission of ABET, Inc. (111 Market Place, Suite 1050, Baltimore, MD 21202-4012; 410-347-7700), has accredited Caltech's B.S. program in mechanical engineering. Further, the Committee on Professional Training of the American Chemical Society has approved Caltech's B.S. program in chemistry.

The documents describing these accreditations and authorizations are on file and may be inspected in the Registrar's Office and the Provost's Office; the office of the Division of Engineering and Applied Science also has the documentation for ABET.

WSCUC Accreditation and Distance Learning during the COVID-19 Pandemic

Following guidance from the U.S. Department of Education, WSCUC-accredited institutions that make distance learning arrangements in order to accommodate students whose participation is affected by the COVID-19 pandemic are not required to seek approval or notify the Commission. This applies to institutions who implement distance learning for any term that begins by December 31, 2020.

STUDENT PROBLEM RESOLUTION PROCESS

Caltech provides a variety of routes, most of them informal, by which students may bring complaints, which do not fall within the jurisdiction of other Policies or the Honor System, for consideration and resolution. For example, in academic matters, students may begin with faculty-student conversations that may extend to the deans, the option representatives, the division chairs, the registrar, or to various committees having faculty and student members. Non-academic matters can be dealt with informally by student leaders, resident associates, residential life coordinators, deans, and other student affairs offices. The Graduate Student Council (GSC) and the Associated Students of the California Institute of Technology (ASCIT) may become involved in some complaints, and sometimes ad hoc groups are formed to make recommendations.

The Problem-Resolution Process (Process) is intended to deal with complaints by currently enrolled students for which reasonable efforts by the available informal routes have not led to an acceptable resolution.

The first step in this Process is for the student to consult with the appropriate deans. One of the deans will then determine if the issue falls under this Process and, if appropriate, may appoint a facilitator to help resolve the issue. If the student's issue involves a decision or action of a dean, the vice president for student affairs or designee may appoint a facilitator to help resolve the issue.

A facilitator will assist the student in trying to work out the problem. If the student is not satisfied with the results, the student may file a written notice of appeal to the vice president for student affairs or their designee. The decision of the vice president or designee is final.

If a student has a complaint about Caltech's compliance with academic program quality and accrediting standards that they believe warrants further attention after exhausting the steps outlined above, they may contact the WASC Senior College and University Commission (WSCUC) at www.wscuc.org/comments. WASC is the academic accrediting body for Caltech. An individual may contact the Bureau for Private Postsecondary Education (BPPE) for review of a complaint. BPPE may be contacted at 2535 Capitol Oaks Drive, Suite 400, Sacramento, CA 95833, website: www.bppe.ca.gov; telephone: (916) 431-6959; fax: (916) 263-1897. Prospective students may contact WASC or the BPPE with complaints as well.

STUDENT PATENT AND COMPUTER SOFTWARE AGREEMENT

The California Institute of Technology (Caltech) has a responsibility to see that inventions and copyrightable materials (including software) developed in connection with Caltech be used for the public benefit, and be consistent with Caltech's contractual obligations. In view of the patent and copyright policies of Caltech in force on this date and as may from time to time be amended, and my use of and access to Caltech facilities and equipment, I agree to the following:

Caltech retains all rights in inventions and computer software I gen-

erate as a student at the Caltech campus, Jet Propulsion Laboratory (JPL), and other facilities owned or managed by Caltech, with the following exceptions:

1. When I generate copyrightable computer software or other written work at Caltech in connection with my enrollment in Caltech's educational program, such as in course work, homework, theses and publications, I understand that I will retain ownership of copyrights to these works, and I hereby grant to Caltech an irrevocable royalty-free nonexclusive license to use such computer software and written work for educational and research purposes, including the right to grant sublicenses. If the work is generated at JPL or any Caltech owned or managed facility, I also hereby grant to the United States Government ("Government") a royalty-free, nonexclusive license to use such computer software and written work for purposes for or on behalf of the Government, to the extent Caltech or the Government requires such a license.
2. When I make inventions, write computer software or other written work entirely on my own time, without using Caltech's equipment or facilities (other than incidental use of electronic information resources as is permitted under Caltech policy), and without using Caltech funds, I retain ownership of those inventions, software and written work.

I agree to assign, and hereby do assign, to Caltech all inventions and copyrightable materials that I develop with the use of funds administered by Caltech, or in the course of my duties at or for Caltech, including JPL, or with use of other facilities owned or managed by Caltech, apart from those for which I retain rights under numbered paragraphs 1 and 2 of this agreement, and all copyrights, patent applications and patents relating to those inventions and copyrightable materials.

I agree to execute all papers required to apply for, obtain, maintain, issue and enforce the assigned copyright registrations, patents and applications; and to provide reasonable assistance regarding those copyrights, patents and patent applications, including testifying in any related patent office proceeding, dispute or litigation. Expenses for the copyrights and patent applications, and for the assistance set forth in the preceding sentence, shall be borne entirely by Caltech.

I agree to notify Caltech promptly of all such assigned inventions or copyrightable materials.

I understand that if Caltech receives funds from the licensing of the assigned copyrightable materials or patents in excess of unreimbursed expenses associated with obtaining, maintaining and enforcing those copyrights and patents, I will share in these funds according to the established Caltech policy, procedures and practice in effect on the date that the patent application is filed or the computer software is completed, in the same manner as a member of the academic staff and employees.

I agree to notify Caltech of any funding of which I am aware that may have supported an assigned invention described in the preceding paragraphs. This is to ensure Caltech's compliance with its obligations,

including the provisions of the Federal Bayh-Dole Act and implementing regulations. For work done at JPL, I agree to have all scientific and technical publications reviewed, pursuant to JPL policy, prior to public release to ensure compliance with U.S. export control laws.

I understand that Caltech relies on this agreement when it enters into contracts with others and obligates itself with respect to inventions and computer software developed at Caltech.

Revised 03-23-2015

STUDENT RETENTION AND PERSISTENCE RATES

Most undergraduates enter Caltech at the freshman level. Of the 231 freshmen enrolled during the 2018-19 academic year, 226 reenrolled in the first term of the 2019-20 academic year and are progressing, yielding a persistence rate of 98 percent after all allowable exclusions. Of the 249 freshmen enrolled during the 2013-14 academic year, 233 graduated by June 2019, yielding a graduation rate for this group of 94 percent after allowable exclusions.

At the graduate level, most students enter Caltech to pursue either the degree of Master of Science or Doctor of Philosophy or, occasionally, both. Of the 233 entering graduate students enrolled in a Ph.D. program during the 2018-19 academic year, 230 reenrolled in the first term of the 2019-20 academic year and are making satisfactory academic progress, resulting in a persistence rate of 99 percent. Of the 17 entering graduate students enrolled in M.S. programs during the 2018-19 academic year, 16 earned a terminal M.S. degree within one year, while one was admitted into the Ph.D. program.

STUDENT EVENTS

Caltech is committed to providing its students, faculty and staff with an environment that promotes safe and responsible social interaction. Caltech recognizes that student activities are an important part of campus life. Students are required to follow Event Planning Procedures: spa.caltech.edu.

CODE OF CONDUCT

THE CALTECH COMMUNITY'S STATEMENT ON ETHICAL CONDUCT

We are all part of the Caltech community whether we are located on campus, at JPL, at observatories or anywhere else in the universe. As members of the Caltech community, we expect that each of us will embody the high standards that have gained Caltech its worldwide reputation. In 2012, members representing the Caltech community began a conversation on ethical conduct. These discussions focused on the overarching values of our community. As a result of these discussions, we describe, in detail, these values in 11 short statements.

1. Strive for Excellence

- We commit to excellence in all things in process as well as outcomes, knowing that only the process is truly under our control.
- Responsibility and accountability are the hallmarks of our community.

2. Act with Integrity

- We uphold integrity in all we do.
- We hold ourselves accountable for the outcomes of our actions.

3. Encourage Open, Honest, and Respectful Discourse

- We encourage open, honest, and respectful discourse from and between all members of the community, regardless of position, length of service, or role.
- We treat one another with civility.

4. Respect and Promote Freedom of Inquiry

- We encourage curiosity in research, scholarship, and exploration, and we create the conditions where inquiry can flourish.

5. Foster a Supportive and Diverse Community

- Every member of the Caltech community treats one another with dignity and respect.
- We value different perspectives, opinions, and ideas.
- We enable one another's excellence.
- We support the health and wellness of all community members.

6. Commit to Education

- The opportunity for excellence in education exists at all levels and in formal and informal ways that benefit students, employees, and members of our community.
- We are committed to being great educators—as leaders, mentors, and friends—not only of our students, but also of our community, our peers and colleagues, and ourselves.

7. Conduct Work Responsibly

- We fulfill the obligations of our role.
- We are responsible stewards of the Institute resources entrusted to us, including the environment, equipment and facilities, money and people.
- We respect the environment and are conscious of our impact.

8. Protect the Interests of Those Who Place Their Trust in Us

- We are forthright with our students, their parents, employees, managers, and people who rely on us for leadership and accountability at all levels.
- We hold ourselves to the highest standards of integrity in peer reviews, scientific evaluations, and recommendations.
- We represent ourselves accurately and factually to our peers, sponsors, and the general public.

- We are open and honest in all our dealings with the government, external agencies, taxpayers, and donors.
- We honor our obligations to donors and sponsors.

9. Provide and Maintain a Safe Environment for Learning and Working

- We create, provide, and maintain a safe environment for ourselves and for others.
- We foster the physical, mental, and emotional well-being of our community.

10. Obey the Law and Comply with Institutional Policies

- We are scrupulous in all business dealings.
- We are truthful, forthright and accurate when preparing all books, records, documents, reports, and publications.
- We adhere to local, state, and federal laws and regulations.
- We deal honestly with government in all matters.

11. Represent Caltech

- We represent Caltech whether we are based on campus, at JPL, our observatories, or anywhere else in the world.
- We are ambassadors and advocates, embodying the high standards that we set for ourselves and to which we are held by others.
- We are committed to the Institute and its mission recognizing that our actions as individuals reflect on Caltech.

As members of the Caltech community, we embrace the letter and the spirit of these principles. Each member is personally responsible for incorporating these principles into their own actions and is encouraged to speak up if they, in good faith, believe the Institute or any individual is falling short of living up to them. We are proud of Caltech and to share the community's commitment to these values.

INSTITUTE POLICIES

ACCEPTABLE USE OF ELECTRONIC INFORMATION RESOURCES

Caltech provides electronic information resources (including, but not limited to, computers, computer accounts and services, networks, software, electronic mail services, electronic information sources, video and voice services, servers, web pages, mobile devices and related services) to assist members of the Caltech community in the pursuit of education and research. This policy, in conjunction with other applicable Caltech policies, sets forth the acceptable use of all electronic information resources owned or managed by Caltech, and describes the rights and responsibilities of Caltech and of faculty, staff, students, and other members of the Caltech community with respect to the use of these resources.

Electronic information resources provided by Caltech are intended to be used to carry out the legitimate business of Caltech, although some incidental personal use is permitted. Faculty, staff, students, and other members of the Caltech community (“users”) who use Caltech’s electronic information resources should be guided by the Caltech Code of Conduct. Passwords issued to users are for their use only and are not to be shared with others. Users assume responsibility for the appropriate use of Caltech’s electronic information resources and agree to comply with all relevant Caltech policies and all applicable local, state, and federal laws. Examples of inappropriate or unauthorized use of Caltech’s electronic information resources include:

- sending a communication or using electronic information resources, including web pages, that illegally discriminate against, harass, defame, or threaten individuals or organizations;
- engaging in illegal conduct or conduct that violates Caltech policy;
- destruction of or damage to equipment, software, or data belonging to others;
- disruption or unauthorized monitoring of electronic communications;
- interference with use of Caltech systems;
- violations of computer security systems;
- unauthorized use of accounts, access codes, or identification numbers;
- use that intentionally impedes the legitimate computing activities of others;
- use for commercial purposes;
- use for political or lobbying activities that jeopardize Caltech’s tax-exempt status and, therefore, violates Caltech policy;
- violation of copyrights, software license agreements, patent protections and authorizations, or protections on proprietary or confidential information;
- unauthorized use of Caltech’s trademarks;
- violating copyright laws by downloading and sharing copyrighted files;
- violations of privacy;
- academic dishonesty;
- sending chain mail;
- spamming;
- downloading, viewing, and/or sharing of materials in violation of Caltech’s policies regarding Unlawful Harassment and Sex-and Gender-Based Misconduct
- intrusion into computer systems to alter or destroy data or computer programs (e.g., hacking or cracking); or
- sending communications that attempt to hide the identity of the sender or represent the sender as someone else.

Caltech will apply this policy consistent with applicable requirements under federal and state law and its obligations under the European Union General Data Protection Regulation with respect to protection of personal data of individuals located in the European Union. This policy will not be construed or applied in a manner that improperly interferes with employees’ rights under the National Labor Relations Act.

Caltech's electronic information resources are Caltech property and users should not have an expectation of privacy with respect to their use of these resources or any of the data, files, or other records generated by, stored or maintained on them. Password capabilities and other authentication measures are provided to users in order to safeguard electronic messages, data, files, and other records (including computer files and records, electronic mail, and voice mail) from unauthorized use. These safeguards are not intended to provide confidentiality from Caltech with respect to personal messages or files stored on electronic information resources owned and managed by Caltech.

While Caltech does not routinely examine the content of electronic mail messages or otherwise monitor individual usage, it does routinely monitor the normal operation of computing and networking resources, including network activity patterns, system logs, general and individual usage patterns, and other indicia necessary to ensure the integrity and stability of its electronic information resources. Caltech will investigate suspected abuse, misuse, or compromise of its resources, systems, and services.

Caltech typically does not access the content of electronic messages or other data, files, or records generated, stored, or maintained on its electronic information resources; however, it retains the right to inspect, review, or retain the content of any such messages, data, files, and records at any time without prior notification. Any such action will be taken for reasons Caltech, within its discretion, deems to be legitimate. These legitimate reasons may include, but are not limited to, responding to lawful subpoenas or court orders; investigating misconduct (including research misconduct); determining compliance with Caltech policies and the law; and locating electronic messages, data, files, or other records related to these purposes. Users must therefore understand that any electronic messages, data, files, and other records generated by, stored, or maintained on Caltech electronic information resources may be electronically accessed, reconstructed, or retrieved by Caltech even after they have been deleted.

Caltech access to the content of electronic mail, data, files, or other records generated, stored, or maintained by any user for reasons such as those described in the previous paragraph must be authorized as follows: (1) by the provost for any situations that require access to electronic materials associated with faculty and other academic personnel; (2) by the vice president of administration and chief financial officer for staff and postdoctoral scholars at campus or the JPL director for human resources for employees and postdoctoral scholars at JPL; (3) by the vice president for student affairs for students; or (4) by the general counsel for the purposes of complying with legal process and requirements or to preserve user electronic information for possible subsequent access in accordance with this policy. In all cases, the Office of the General Counsel should be consulted prior to deciding on whether to grant access. In the case of a time-critical matter, if the authorizing official is unavailable for a timely response, the general counsel may authorize access.

In conclusion, the use of Caltech electronic information resources is

a privilege, not a right, and Caltech may revoke this privilege or decline to extend this privilege at any time. Inappropriate use of Caltech resources may result in administrative discipline up to and including separation from Caltech. Suspected illegal acts involving Caltech electronic information resources may be reported to state and/or federal authorities, and may result in prosecution by those authorities. Any questions concerning the appropriate use of any of Caltech's electronic information resources or relevant Caltech policies should be directed to the provost, the general counsel, the chief information officer, the associate vice president for human resources, the JPL director for human resources, the dean of undergraduate students, or the dean of graduate studies.

COMPLIANCE WITH EXPORT LAWS AND REGULATIONS

The mission of the California Institute of Technology is to expand human knowledge and benefit society through research integrated with education. We investigate the most challenging, fundamental problems in science and technology in a singularly collegial, interdisciplinary atmosphere, while educating outstanding students to become creative members of society.

Export control laws and regulations as referred to in this Policy include a number of federal laws and regulations that impact an export or import transaction such as those of the Departments of State, Commerce, Treasury, Defense, Energy and U.S. Customs. These laws have existed for many years, however, the events of September 11, 2001 and subsequent events around the world have pushed national security concerns to the forefront. The U.S. government has responded to global security concerns by tightening the export control regulations that govern the transfer of U.S. strategic technology for national security and foreign policy reasons and in furtherance of economic objectives.

The export control laws are intended to control the transfer of sensitive information or goods to individuals, entities or countries of concern. The laws impose restrictions dependent on the type of information or goods and the identity of the foreign persons and entities. The regulations contain a fundamental research exclusion and specific university exemptions that allow most of the research activities being performed at U.S. universities to be carried out without the need of export licenses or other restrictions, subject to certain conditions.

The fundamental research exclusion, as defined in the U.S. export regulations, applies to basic and applied research in science and engineering performed by universities, so long as that research is carried out openly and without restrictions on publication or access to or dissemination of the research results. Caltech is an institution of higher learning conducting fundamental research in science and engineering. While the fundamental research exclusion applies to much of the research carried out at Caltech, we are not fully relieved of our responsibility to comply with the export control regulations.

The National Policy on Transfer of Scientific, Technical and Engineering Information, i.e., Presidential National Security Decision

Directive 189 (NSDD 189) recognizes the important contributions that U.S. universities make in science and engineering that allow our nation to remain innovative and competitive. This National Policy provides the framework for the fundamental research exclusion.

The fundamental research exclusion applies only to research conducted in the United States. This exclusion allows most of the activities conducted at Caltech to be performed without the need for an export license. However, there are certain activities and information that are not covered by the fundamental research exclusion and remain subject to the export control laws and regulations.

Examples of activities not covered by the fundamental research exclusion are:

1. Receipt by Caltech of third-party export controlled or other restricted information (e.g., information with restrictive marking language) which requires that appropriate measures be taken to ensure that the information is properly safeguarded from unauthorized transfers to foreign persons;
2. Under certain conditions, the disclosure of specific information and the provision of specific types of services to foreign persons (non-U.S. citizens, non-legal permanent residents, or non-U.S. legal entities) inside the United States (“deemed exports”), e.g. proprietary data, results of research where we have accepted restrictions on dissemination or participation of foreign nationals;
3. Travel abroad: Engaging in activities subject to the export regulations with persons and entities abroad such as traveling with export controlled information on electronic devices; release or disclosures of restricted US technology to foreign persons; travel to sanctioned or embargoed countries;
4. The export of controlled items and information outside the United States including: controlled hardware, software and technology (e.g., physical and non-tangible exports; emails, backing up controlled information outside the US); and
5. Financial transactions or other dealings involving prohibited parties or sanctioned countries.

The export control laws and regulations may apply to research activities whether or not they are funded by grants or contracts.

The export control laws are administered by the U.S. Department of Commerce through its Export Administration Regulations (EAR – dual-use items), the U.S. Department of State through its International Traffic in Arms Regulations (ITAR – space and military items), and the U.S. Department of Treasury through its Office of Foreign Assets Control (OFAC – economic and trade sanctions). These laws control the conditions under which certain information, technologies, and commodities can be transmitted overseas to anyone, including U.S. citizens, or to a foreign person on U.S. soil. Caltech is committed to comply fully with these federal laws and regulations.

Caltech takes its commitment to openness in research very seriously. Caltech's policy, as set forth in the Faculty Handbook, does not allow acceptance of any government contract or grant that impinges on Caltech's ability to freely publish and otherwise disseminate the results of its research. The transfer of export controlled information or items requires added levels of security, safeguarding responsibilities and, in some instances, government authorization. For these reasons, research activities in which students will be provided with export-controlled technology (including technical data, software or items) with ITAR or high EAR (e.g., 500- and 600-series Export Control Classification Number*) controls or licensing requirements, must be formally approved by the Office of the Provost.

To that end, Caltech has established an Export Compliance Office and has appointed a Director for Export Compliance who also functions as Caltech's Empowered Official. The Empowered Official is the person who has legal authority to sign export control license applications and other requests for export approval on behalf of Caltech, and is the person responsible for developing and implementing export compliance programs, campus procedures, awareness programs for faculty and training programs for staff.

Caltech expects all faculty and staff to comply fully with all applicable export control laws and regulations. (The Jet Propulsion Laboratory, a federally funded research and development center, has a separate Export Compliance Policy.) Noncompliance may result in violations that can subject both the individual and Caltech to civil sanctions and criminal penalties.

It is the responsibility of Caltech faculty and staff to ensure Caltech's compliance with this policy.

The Director for Export Compliance has been designated as the primary contact for export control issues. For more information or for questions, please contact:

Adilia F. Koch, Director for Export Compliance, (626) 395-4469 or the Export Compliance Office staff at (626) 395-2641 or export@caltech.edu.

* *Export Control Classification Numbers (ECCNs) are described on the Department of Commerce's website here: <https://www.bis.doc.gov/index.php/licensing/commerce-control-list-classification/export-control-classification-number-eccn>.*

CONFLICTS OF INTEREST POLICY

1. Policy

The mission of Caltech is to expand human knowledge and benefit society through research integrated with education. In pursuit of this mission, Caltech adheres to the Eleven Principles comprising its code of conduct and strives for the highest level of integrity and public confidence. Caltech's integrity rests on the personal integrity of each of us who is called upon to act on behalf of Caltech. Caltech is committed to ensuring that decisions made on its behalf reflect the highest ethical standards and that its research and instruction remain a rigorous and open inquiry, unencumbered by conflicts of interest, real or perceived, that might affect the sound judgment of its trustees, officers, senior

management, faculty, students, postdoctoral scholars, and staff. Each of us, therefore, is responsible for identifying and resolving conflicts between personal and institutional interests. We each must act in the best interests of Caltech and refrain from taking part in any transaction where we do not believe in good faith that we can act impartially.

Individual conflicts of interest may affect Caltech's trustees, officers, faculty, postdoctoral scholars, or staff. An individual conflict of interest is a situation that may compromise an individual's professional judgment in carrying out Institute business due to an external relationship that directly or indirectly affects the interest of the individual or an immediate family member. Each situation that presents a potential for conflict of interest must be fully disclosed to Caltech and managed or eliminated before moving forward. Conflicts of interest also include conflicts of commitment, which are situations in which external activities, either paid or unpaid, interfere with an employee's primary obligation and commitment to Caltech. Caltech faculty, staff, and postdoctoral scholars are required to complete Caltech's Financial Interest and Commitment Disclosure Form on an annual basis and to submit changes or additions within 30 days of a new interest, activity, or change.

In academic research, the term conflict of interest refers especially to situations in which financial or other personal considerations may compromise, or may have the appearance of compromising, an investigator's professional judgment in conducting or reporting research. The bias can affect collection, analysis, and interpretation of data, hiring of staff, and procurement of materials, sharing of results, choice of protocol, and the use of statistical methods. Conflicts of interest can affect all scholarly fields.

Caltech has established its conflict of interest policies and procedures that apply to all Caltech employees, including faculty, to ensure compliance with Caltech's ethical standards as well as with the laws, rules, and regulations that govern Institute activities, while fostering and sustaining an environment of openness and integrity.

2. Individual Conflicts of Interest

The broad principles in this policy encompass a variety of situations, many of which do not fall into patterns for which specific guidelines may be established. Conflicts of interest inevitably arise from time to time in everyday business life; some may appear to be inconsequential or may even be advantageous to Caltech. It is important, however, that all employees make timely disclosure of any such conflict of interest. Each employee should apply their sense of integrity and common sense to disclose any circumstances that are, may become, or may give the appearance of a possible conflict of interest. Supplementing this broad policy statement are the following rules to be observed on specific matters:

- 2.1 Each employee has a duty to act in the best interest of Caltech and avoid actions that would call into question the integrity of the employee or Caltech.
- 2.2 An employee who has directly or through family or business connections, a material interest in suppliers of goods or services, or

an interest in contractors or potential contractors with Caltech, should not act on behalf of Caltech in any transaction involving that interest. No employee should participate in the selection, award, or administration of a contract with any party with whom they are negotiating regarding potential employment or any arrangement concerning potential employment.

- 2.3 An employee should avoid outside activity involving obligations that may conflict or appear to conflict with Institute interests, including its interest in the employee's full- or part-time services (i.e. a conflict of commitment). Activities to disclose include, but are not limited to, paid or unpaid directorships, external academic appointments, editorial positions, service on advisory boards, consulting or similar arrangements, and other outside employment. Campus and JPL staff and postdoctoral scholars are required to obtain approval prior to engaging in outside activities. Campus and JPL staff and postdoctoral scholars must complete the Request for Outside Activity form as required in Personnel Memorandum PM 9-3.
- 2.4 To avoid the appearance of a conflict of interest, an employee should provide full disclosure of any business or financial enterprise or activity in which he/she is involved that might influence, or might appear to influence, their official decisions or actions on Caltech matters.
- 2.5 An employee should refrain from personal activities that include, but are not limited to, the purchase or sale of securities, real property, or other goods or services in which they could use or might appear to have the opportunity to use, for personal gain, confidential information or special knowledge gained as a result of their relationship with Caltech.
- 2.6 An employee should refrain from unauthorized disclosure of non-public information concerning Caltech. Additionally, an employee should not use nonpublic information accessed through the performance of a government contract for personal gain.
- 2.7 No employee should make unauthorized use of Caltech resources for their personal benefit or for the benefit of any other person. Incidental personal use of resources is authorized by Caltech. See Acceptable Use of Electronic Information Resources policy and JPL Rules for requirements at JPL.
- 2.8 It is sound practice to discourage gifts and favors from people with whom Caltech has a business relationship. Personal gifts of more than nominal value should be tactfully declined or returned to avoid any appearance or suggestion of improper influence. Any employee involved in awarding or administering contracts using federal or other government funds should keep in mind that state and federal law contain prohibitions against soliciting or accepting gratuities, favors, or anything of monetary value from contractors or potential contractors.
- 2.9 Any employee doing business on behalf of Caltech with specific vendors should refrain from participating going on leisure trips with representatives of those vendors. Such trips are not appropriate, even when a staff employee pays a fee to the vendor to participate in such trips.

2.10 No employee should act in any Institute matter involving a member of their immediate family including, but not limited to, matters affecting family members' employment or evaluation or advancement in Caltech. Immediate family includes an employee's spouse or domestic partner and children. The employment of relatives as that term is defined in Personnel Memorandum (PM 9), is subject to the conditions and restrictions described in PM 9, including the requirement to complete the Nepotism Evaluation process whenever a relative of an employee is considered for employment in the same organization as the employee.

Any employee who believes that their conduct or activities may or may appear to conflict with these guidelines or activities or otherwise create a conflict of interest, should make an appropriate disclosure. You may also report possible conflicts of interest by calling the Campus Hotline at (626) 395-8787 or submitting a hotline form. JPL employees should consult Laboratory requirements, and seek guidance and/or report possible conflicts of interest by contacting the JPL Ethics Office.

3. Additional Faculty Responsibilities

It is acknowledged that, in their wider roles as academicians and professionals, the faculty may be subject to conflicts of interest that are not necessarily financial and that are not within the scope of a policy that is designed to address conflicts of interest in the employer-employee setting. For example, this policy is not designed to address conflicts that may be encountered in service to a professional society. Other activities not covered by this policy are best handled within the ethical guidelines established by the Faculty Handbook. Faculty members must be aware of potential conflicts to ensure an open and productive environment for research and teaching. Conflicts of interest may arise when faculty members have the opportunity to influence Caltech's business decisions or when outside relationships may or may appear to compromise the integrity of decisions made as teachers and researchers. A faculty member's general commitment to Caltech requires that members perform their responsibilities to Caltech and appropriately use their own judgment in deciding whether to engage in a variety of extramural activities, within the confines set forth in the Faculty Handbook. As a result, Caltech relies on its faculty to be alert to the possible effect of outside activities on the integrity of their decisions and on their ability to fulfill their obligations to Caltech and to federal and private research sponsors. Accordingly, in addition to the conflict rules set forth above, the following guidance is provided for faculty:

3.1 Disclosure is imperative if the faculty member directs students in a research area and, as a result, the faculty member intends to realize financial gain. An example is a research area within the ambit of a business in which the faculty member has a significant ownership interest or which employs the faculty member as a consultant. Any involvement of undergraduates, graduate

students, or postdoctoral scholars in the outside professional activities of the faculty member directing the student's research must be specifically approved in advance by the division chair. The student or postdoctoral scholar must also sign the written disclosure to signify understanding of the issues involved.

- 3.2 Disclosure is mandatory if the faculty member has a significant interest in a business under circumstances that link the fortunes of the business to the faculty member's research.
- 3.3 Disclosure is mandatory if the faculty member is to receive sponsored support for research from a business for which the faculty member is a consultant, or in which the faculty member has a significant financial interest.

4. Conflict of Interest Requirements Imposed by Federal Sponsors

Federal sponsors, including National Science Foundation (NSF) and Public Health Service (PHS), have issued specific rules regarding the disclosure of significant financial interests and the management of financial conflicts of interest as a condition for submitting proposals and accepting awards of financial support from these agencies. Members of the Caltech community proposing or working on any activity funded by a federal sponsor, including NSF or PHS (including the National Institutes of Health) are required to comply with Caltech's Policy and Procedures for Managing Conflict of Interest Requirements Imposed by Federal Sponsors and other sponsor disclosure requirements.

5. Institutional Conflicts of Interest Policy

Institutional conflicts of interest differ from individual conflicts of interest. An institutional conflict of interest is a situation in which the research, teaching, outreach, or other activities of Caltech may be compromised because of an external financial or business relationship held by Caltech that may bring financial gain to Caltech.

5.1 Identifying Institutional Conflicts of Interest

Caltech has many legitimate interests that may at times conflict. Management of institutional conflicts of interest is by its very nature more complex than that of individual conflicts of interest. External relationships to sponsors and supporters of the institution, the local community's acceptance of economic development activities, the institution's obligations as a charitable organization receiving preferential tax treatment, and the institution's perception of its teaching, research, and academic missions all impact how potential conflicts of interest are managed. The examples and issues presented below do not necessarily constitute inappropriate conflicts of interest. Each situation must be judged on the facts and merits of the relationship with an eye to what reasonable individuals outside Caltech might consider to be appropriate. Any activity, financial and/or operational, that may bring into question Caltech's reputation, integrity, and objectivity should be considered for possible conflicts of interest. The following are examples of potential situations that may give rise to institutional conflicts of interest:

- 5.1.1 Significant gifts to Caltech from a commercial sponsor of research may raise questions about the influence of the company on Caltech's research programs and how they are managed. Similar concerns arise when individual companies sponsor research or provide significant consulting income to a significant number of faculty members within a single academic division. Gifts or promise of gifts, in exchange for favorable terms on a technology license or a first look at intellectual property may also pose a problem.
- 5.1.2 The acquisition of goods and services for Caltech represents a large portion of Caltech's expenditures. Purchasing goods and services from companies that sponsor research at Caltech, or who are licensees of Institute technology, may raise issues similar to those raised by large gifts from commercial sponsors.
- 5.1.3 A potential institutional conflict of interest exists simply by Caltech having a license agreement with, or an equity position in, a company sponsoring a faculty member's research. In these situations, there may be, or may appear to be, a bias to accept terms and conditions that would facilitate the company's success.

5.2 Reporting Institutional Conflicts of Interest

If you identify a situation that appears to be an institutional conflict of interest, you should report the situation to either the vice president for administration and chief financial officer or to the provost on campus or to the associate director for business at JPL. You may also make a report by calling the Campus Hotline at (626) 395-8787 or the JPL Ethics Office at (818) 354-6338 or submitting a hotline form.

DISABILITY AND REASONABLE ACCOMMODATION

1.0 Policy

It is Caltech's policy to comply fully with the Americans with Disabilities Act (ADA), the Rehabilitation Act, and other applicable federal and state laws to ensure equal opportunity for otherwise qualified individuals with disabilities, including disabled veterans. Caltech does not discriminate based on physical or mental disabilities, and is committed to ensuring that there is no unlawful discrimination or harassment in any of its academic or employment programs, services, activities, or in any terms and conditions of employment.

As required by law, Caltech will make reasonable accommodations to otherwise qualified individuals with known disabilities including students, faculty, postdoctoral scholars, staff, volunteers, interns, and job applicants to ensure equal employment opportunities and equal access to Caltech educational programs, services, activities, and facilities unless doing so would constitute an undue hardship or a fundamental alteration. Caltech also will provide reasonable accommodations to

employees with pregnancy-related conditions consistent with federal and state law.

Caltech also, as appropriate, will conduct a fair, timely, and thorough investigation into complaints within the scope of this policy to determine what occurred and take reasonable steps to remedy the effects of any discrimination and prevent recurrence of the behavior. Caltech provides all parties with appropriate due process and reaches reasonable conclusions based on the evidence collected. Caltech takes appropriate action, including disciplinary measures, when warranted.

2.0 ADA Coordinators

The following individuals have been designated to coordinate Caltech's efforts to comply with and carry out its responsibilities under applicable disability laws and Caltech policy (ADA coordinators). Individuals who believe they have been discriminated against based on their disability or who wish to request an accommodation should contact the appropriate Caltech ADA coordinator.

ADA Coordinators for Undergraduate and Graduate Students:

Lesley Nye, 626-395-6351
Associate Dean of Undergraduate Students

Katheryn G. (Kate) McAnulty, (626) 395-6346
Associate Dean for Graduate Studies

ADA Coordinator for Faculty:

Stacey Scoville, (626) 395-6320
Administrator to the Provost
ADA Coordinator for Staff and Postdoctoral Scholars

ADA Coordinator for Staff, Postdoctoral Scholars, Volunteers, and Interns at Campus:

Rose Murillo, (626) 395-5930
Disability and Leave Manager

ADA Coordinator for Employees, Volunteers and Interns at JPL:

Veronica Jarquin, (818) 354-6146
Human Resources Consultant

3.0 Reasonable Accommodations

Caltech will provide reasonable accommodations that are appropriate and consistent with legal requirements. In evaluating requests for accommodations, Caltech will engage in a timely and good faith interactive process with the requesting individual to determine what, if any, accommodations should be provided. Caltech has the right to request documentation supporting an accommodation request, including documentation of the disability when the disability or the need for accommodation is not obvious.

4.0 Right to File a Grievance

An individual who believes they have been the subject of disability discrimination may file a grievance. In addition, after engaging in the interactive process and after Caltech has determined whether a reasonable accommodation is available, an individual requesting an accommodation who disagrees with the decision may file a grievance. Grievance procedures may be obtained from the appropriate ADA coordinator.

5.0 Right to File Complaint with Outside Agency

Employees and applicants may also file a complaint with the U.S. Equal Employment Opportunity Commission, the California Department of Fair Employment and Housing, and the U.S. Department of Labor, Office of Federal Contract Compliance Programs, or the U.S. Department of Education, Office for Civil Rights. Students may file complaints with the U.S. Department of Education Office for Civil Rights at (415) 486-5555 (or ocr.sanfrancisco@ed.gov) or (800) 421-3481 (or OCR@ed.gov). Complaints may also be directed to the Bureau for Private Postsecondary Education at bppe.ca.gov.

Related Policies and Procedures:

- Nondiscrimination and Equal Employment Opportunity
- Unlawful Harassment
- Procedures Regarding Unlawful Harassment
- Disability and Reasonable Accommodation Grievance Procedures

ENVIRONMENT, HEALTH, AND SAFETY

1.0 Policy

Caltech, including its division the Jet Propulsion Laboratory (“JPL”), is committed to conducting activities in a manner that promotes the safety and health of faculty, staff, postdoctoral scholars, students, and visitors; applies sound practices in environmental stewardship; and minimizes risk to Caltech property. Activities at Caltech are to be conducted in accordance with the following guiding principles:

- The responsibility for implementing and maintaining a safe environment rests on all faculty, staff, postdoctoral scholars, students, and visitors at Caltech.
- Faculty, supervisors, and managers are responsible for establishing good environmental health and safety practices in their laboratories, classrooms, and workplaces, and for providing safe equipment and facilities for faculty, staff, postdoctoral scholars, students, and visitors.
- All faculty, staff, postdoctoral scholars, students, and visitors are expected to keep themselves informed of conditions affecting their health and safety, participate in safety training, follow proper environmental, health and safety policies and procedures, and report accidents and potentially unsafe or illegal conditions

or practices promptly to their supervisor or manager or other appropriate office.

- Caltech activities must comply with all applicable federal, state, and local environmental, health and safety laws and regulations.

2.0 Roles and Responsibilities

Caltech has the responsibility to establish environmental, health and safety policies and procedures, and provide resources to ensure compliance with environmental and safety laws. Caltech performs these functions through the following committees and administrative and management structure:

2.1 Institute Environment, Health and Safety Committee

Caltech's Institute Environment, Health and Safety Committee ("IEHSC") is responsible for recommending campuswide environmental, health and safety policies to the president.

The IEHSC is responsible for making recommendations regarding the allocation of Institute resources so as to maintain environmental (e.g., air emissions, soil contamination, water discharges, hazardous waste management) and workplace health and safety compliance. In addition, the committee monitors developments through the campus Environment, Health, and Safety Office to ensure that Institute policies are observed, remain current, and are consistent with the anticipated changes in regulatory requirements.

2.2 Campus Environment, Health, and Safety Office

The Environment, Health, and Safety Office ("EHS"), which reports to the associate vice president for facilities, is responsible for providing technical, regulatory, and related advisory services to the campus community. EHS works in partnership with the academic divisions and administrative departments to develop and implement safety programs that provide technical guidance and training support relevant to the operations of the laboratories and workplace, are practical to carry out, and comply with the law. This includes general orientation in prudent laboratory practices, emergency response procedures, occupational safety, and familiarity with Institute environmental, health and safety policies and procedures. EHS also initiates site reviews to assess potential hazards and determine effective controls, and coordinates hazardous waste training and hazardous waste disposal. EHS, working closely with the Office of the General Counsel, reviews legislation, recommends policies, provides regulatory agencies with required data and reports, and investigates and reports environmental, health and safety incidents.

2.3 *Campus Division Chairs and Department Heads*

The Caltech campus consists of divisions conducting research and educational activities, and administrative departments supporting the operations of Caltech. It is the responsibility of each division chair and department head to ensure that their units conduct operations in accordance with applicable laws and regulations and implement Caltech's environmental, health and safety policies and procedures. Division chairs and department heads maintain responsibility or day-to-day management and implementation of their environmental, health and safety programs.

Division chairs and department heads may designate an individual with the authority to implement, manage, and enforce environmental, health and safety compliance programs within the division or administrative office. With guidance and assistance from EHS, the responsible individual (i.e. the division chair, department head or their designee) shall manage the environmental, health and safety activities in the division or department.

2.4 *JPL Office of Safety and Mission Success*

The Office of Safety and Mission Success at JPL ("JPL OSMS") establishes and leads the Environmental, Health and Safety and Mission Assurance Programs for projects, programs and major tasks. JPL OSMS appropriately manages risks and enhances the probability of mission safety and success. In this capacity, JPL OSMS is an independent organization, reporting directly to the JPL director. JPL OSMS continually assesses risk and provides infrastructure to ensure that JPL maintains compliance with the JPL Prime Contract and applicable federal, state, and local environmental, health and safety requirements. JPL OSMS applies knowledge, innovation, and independence to achieve successful missions that inspire the world while safeguarding JPL's people, assets and reputation.

2.5 *JPL Environmental, Health and Safety Program Management*

The JPL Occupational Safety Program Office, the JPL Systems Safety Program Office, and the JPL Environmental Affairs Program Office are chartered with establishing and leading programs related to occupational safety, systems safety, and environmental compliance, respectively, and are tasked with appropriately managing risks and enhancing the probability of mission safety and success. These JPL program offices, working closely with the Office of the General Counsel, review legislation, recommend policies, provide regulatory agencies with required data and reports,

and investigate and report environmental, health and safety incidents. Each of the environmental, health and safety program management offices has office-specific policies that are detailed in JPL Rules.

2.6 *Campus and JPL Manager and Supervisor Responsibilities*

All managers and supervisors, both academic and administrative, at campus and JPL, are responsible for conducting operations in accordance with all applicable laws and regulations and Caltech policies, practices, and programs.

Managers are responsible for ensuring that areas under their management have adequate resources for environmental, health and safety programs, practices and equipment. Managers are also responsible to ensure that those areas under their management are in compliance with Caltech's environmental, health and safety policies, practices, and programs.

Supervisors, including principal investigators ("PIs"), with guidance and assistance from the environmental, health and safety offices listed above, are responsible for implementing environmental, health and safety policies, practices, and programs, ensuring that workplaces, including laboratories and equipment, are safe and well-maintained, training and informing employees, students, and visitors about workplace-specific hazards and safety procedures, providing personal protective equipment, correcting violations, investigating incidents and complaints, overseeing proper storage and disposal of hazardous materials, enforcing policies (including appropriately disciplining employees and students who violate environmental and safety requirements), and appropriately documenting activities and processes.

Faculty are responsible for the safety of work undertaken in their laboratories. Faculty members may designate a qualified individual, known as a Safety Coordinator, and empower that individual to assist in the day-to-day safety activities within their research groups, however faculty members remain fully responsible for the safe conduct of work in their laboratories.

2.7 *All faculty, staff and students*

All faculty, staff, postdoctoral scholars, and students at campus and JPL are responsible for:

- Keeping themselves informed of conditions affecting their health and safety,
- Participating in safety training programs as required by the governing organization's policy and their supervisors,
- Performing work in a safe and prudent manner,
- Adhering to health and safety practices in their workplaces, classrooms, and laboratories, and
- Advising of or reporting potentially unsafe practices, illegal activities or serious hazards in the workplace, classroom or

laboratory, and cooperatively participating in the investigation and/or remediation of any incidents.

The success of Caltech's environmental, health and safety management activities requires the active involvement of individuals through participation in training, compliance with established environmental, health and safety procedures, and reporting hazards and potential violations.

It is the responsibility of all faculty, staff, postdoctoral scholars, and students at Caltech to disclose fully any activity that may result in a violation of environmental, health or safety laws or regulations, and to cooperatively participate in the investigation and remediation of any incidents.

2.8 Visitors and Contractors

Visitors and those who do business with Caltech either at Campus or JPL, such as contractors, consultants and vendors, are responsible for performing their work in a manner that protects Caltech from environmental, health and safety risks, and complies with all applicable federal, state, and local laws and regulations and all applicable environmental, health and safety policies, practices and programs.

3.0 Reporting

In matters of actual or potential regulatory enforcement action, investigations, or employee complaints, the appropriate environmental, health and safety office will work closely with the Office of the General Counsel to coordinate Caltech's response to external regulatory agencies concerned with workplace health, safety, and environmental compliance.

Any questions or concerns regarding compliance should be brought to the attention of the appropriate manager or supervisor, or to the appropriate environmental, health and safety office. Alternatively, concerns can be raised with the appropriate division chair or vice president at campus, or the OSMS director at JPL. In addition, concerns can be raised anonymously for campus through the anonymous hotline (626) 395-8787 or (888) 395-8787 or online at Caltech Hotline or, for JPL, through the anonymous hotline (818) 393-6483, or the NASA Safety Reporting System.

4.0 Sanctions

Caltech expects all faculty, staff, postdoctoral scholars, and students to be vigilant in complying with all environmental, health and safety requirements, and to properly conduct their activities at Caltech.

Local, state, and federal laws and regulations establish civil and criminal penalties for violations of environmental, health and safety laws and regulations, including substantial fines and possible imprisonment.

Caltech views compliance with all laws, regulations, and Institute guidelines as conditions of employment, and violation of such requirements shall be considered grounds for disciplinary action up to and including termination of employment or involuntary leave/expulsion from Caltech.

NONDISCRIMINATION AND EQUAL EMPLOYMENT OPPORTUNITY

1.0 Policy

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Caltech is committed to equal opportunity for all persons. It prohibits discrimination and harassment in employment based on the following protected characteristics (unlawful discrimination and harassment):

- Race (includes hair texture and protective hairstyle)
- Color
- Religion (includes religious dress and grooming practices)
- Sex/gender (includes pregnancy, childbirth, breastfeeding, and/or related medical conditions)
- Gender identity and gender expression
- Sexual orientation
- Marital status
- Medical condition (genetic characteristics, cancer, or a record or history of cancer)
- Military or veteran status
- National origin (includes language use and possession of a driver's license issued to persons unable to prove that their presence in the United States is authorized under federal law)
- Ancestry
- Disability (mental and physical, including HIV/AIDS, cancer, and genetic characteristics)
- Genetic information
- Request for family care leave
- Request for leave for a serious health condition
- Request for Pregnancy Disability Leave
- Domestic violence victim status
- Age (over 40)
- Criminal Background (Fair Chance Act)
- Any other factor protected by federal, state, or local law
- Association with an individual who is in one of the foregoing protected characteristics

It is the policy of Caltech to provide a work and academic environment free of discrimination as required by federal and state law. Discrimination is different treatment based on protected characteristic listed above and/or applying policies and practices that have an adverse impact on individuals based on protected characteristics. Harassment on the basis of any legally protected characteristic is a form of discrimination and is likewise prohibited by this policy. The law prohibits discrimination by co-workers and third parties as well as supervisors and managers. Interns, volunteers, and persons performing services under a contract with Caltech are also covered by this policy. Caltech will take all reasonable steps to eliminate discrimination and harassment in its work and academic environment. Complaints concerning Sex- and Gender-Based discrimination and harassment and sexual misconduct are governed by the Sex- and Gender-Based Misconduct Policy.

Caltech is an equal employment opportunity and affirmative action employer, and will, whenever possible, actively recruit and include for employment members of underrepresented minority groups, women, protected veterans, or individuals with disabled veteran status, and otherwise qualified persons with disabilities. Caltech will hire, transfer, recruit, train, and promote based on the qualifications of the individual to ensure equal consideration and fair treatment of all. All other employment actions, such as work assignments, appointments, compensation, evaluations, training, benefits, layoffs, and terminations are governed by this policy. Personnel actions will be reviewed to ensure adherence to this policy.

2.0 Responsible Administrators

Caltech's associate vice president for human resources and JPL's director for human resources have been assigned to direct the establishment of and to monitor the implementation of personnel procedures to guide our affirmative action programs. They will have responsibility to review and update the affirmative action plans annually, including responsibility for the audit and reporting system. A notice explaining Caltech's policies will remain posted.

In addition, Caltech has designated equal opportunity coordinators who are responsible for assisting with and coordinating the education and compliance efforts relating to equal opportunity and nondiscrimination laws and Caltech policies. The following individuals have been designated as equal employment opportunity coordinators: the provost is the coordinator for faculty, the assistant vice president for human resources is the coordinator for campus staff and volunteers, the associate deans of students are the coordinators for undergraduate students and interns, the dean of graduate studies is the coordinator for graduate students and interns, and the director for human resources at the Jet Propulsion Laboratory is the coordinator for employees, interns, and volunteers assigned there. The assistant vice president for equity and equity investigations, who manages the Equity and Title IX Office, has been designated as Caltech's Title IX coordinator. The contact number is (626) 395-3132, email: equity@caltech.edu, or the office in Room 205, Center for Student Services. The Title IX coordinator is supported by four deputy coordinators for faculty, staff, and students, and employees at the Jet Propulsion Laboratory (JPL). Further information is available on the website of the Equity and Title IX Office.

Managers and supervisors are responsible for monitoring decisions regarding personnel actions to ensure that these decisions are based solely on factors other than protected characteristics and on legitimate, nondiscriminatory job requirements for the position in question and the reasonableness of any necessary accommodations for persons with a disability.

3.0 Reporting Concerns and Complaints

Individuals who become aware of, witness, or experience conduct they believe to be in violation of this policy are urged to contact any of the above-mentioned coordinators, the Caltech Equity and Title IX Office, or JPL Employee Relations Group immediately.

In addition, they may utilize Caltech's anonymous hotline at (626) 395-8787. Complaints will be investigated promptly, in accordance with the Procedures for Complaints of Unlawful Discrimination, Harassment and Retaliation ("Unlawful Harassment Procedures"). Confidentiality will be maintained to the extent possible. Supervisors and managers are required to report any complaints of discriminatory conduct to one of the above-designated coordinators so that Caltech can try to resolve the complaint internally. Individuals who violate this policy may be subject to disciplinary action up to and including termination of employment or expulsion.

4.0 Reporting to Outside Agencies

In addition, employees who believe they have been subject to unlawful harassment or discrimination have the right to file a complaint with the Federal Equal Employment Opportunity Commission or the California Department of Fair Employment and Housing, which have the authority to remedy violations. Employees, students, and others participating in Caltech's educational programs and activities may file complaints with the U.S. Department of Education Office for Civil Rights at (415) 486-5555 (or ocr.sanfrancisco@ed.gov) or (800) 421-3481 (or OCR@ed.gov). Complaints may also be directed to the Bureau for Private Postsecondary Education at bppe.ca.gov.

5.0 Investigation of Complaints

Caltech will conduct a fair, timely, and thorough investigation into complaints within the scope of this policy to determine what occurred and take reasonable steps to remedy the effects of any discrimination and prevent recurrence of the behavior. Caltech provides all parties with appropriate due process and reaches reasonable conclusions based on the evidence collected. Caltech takes appropriate action, including disciplinary measures, when warranted.

6.0 Policy against Retaliation

No one may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by this policy or the related procedures, or because the individual has made a report or complaint, testified, assisted, participated, or refused to participate in any manner in any action or process under this policy or the related procedures. Intimidation, threats, coercion, or discrimination for the purpose of interfering with any right under this policy or the related procedures constitutes retaliation. The rights and privileges secured under this policy and the related procedures include but are not limited to: (i) filing or assisting in the filing of a complaint or report of a suspected violation of this policy; (ii) opposing any act or practice made unlawful by any federal, state or local laws requiring equal opportunity; (iii) participating, assisting, or otherwise cooperating in an investigation, compliance review, hearing, or any other activity related to a violation of this policy or administration of any federal, state, or local law requiring equal opportunity; and/or (iv) exercising any legal right protected by federal, state, or local law requiring equal opportunity.

The following actions do not constitute retaliation: the exercise of rights protected under the First Amendment or Caltech's charging an individual with a policy violation for making a materially false statement in bad faith in the course of a resolution process. A determination that a respondent was responsible for alleged misconduct alone is not sufficient to conclude that any party made a materially false statement in bad faith.

Complaints of retaliation will be addressed under the Unlawful Harassment Procedures.

7.0 Informational Resources

Information on equal employment opportunity and nondiscrimination, as well as copies of Caltech's Nondiscrimination and Equal Employment Opportunity, Unlawful Discrimination, Harassment and Retaliation, Sex- and Gender-Based Misconduct, and Violence Prevention policies are available from Caltech's Title IX coordinator and deputy coordinators, Human Resources, Student Affairs and deans' offices, the Center for Inclusion & Diversity resident associates, the Staff and Faculty Consultation Center, and Employee & Organizational Development at campus, and Employee Relations and the Human Resources Business Partners at JPL. The policies, available at the links below, are published in the Caltech Catalog and on the following Caltech websites: Caltech Human Resources, JPL Human Resources, Equity and Title IX, and Student Affairs.

8.0 Caltech's Commitment to Equal Opportunity and Nondiscrimination

To ensure equal employment opportunity and nondiscrimination, each member of the Caltech community must understand the importance of this policy and their responsibilities to contribute to its success. The president of Caltech fully supports Caltech's equal opportunity and affirmative action policies.

Related Policies and Procedures:

- Unlawful Discrimination, Harassment and Retaliation
- Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation
- Sex- and Gender-Based Misconduct
- Procedures for Complaints of Sex- and Gender-Based Misconduct under Title IX
- Disability and Reasonable Accommodation

SEX- AND GENDER-BASED MISCONDUCT

SECTION I: INTRODUCTION

1.0 Policy

All members of the Caltech community have the right to be treated, and the responsibility to treat others, with dignity and respect. These principles are fundamental to the educational and intellectual mission

of Caltech. It is the policy of Caltech to provide a work and academic environment free of discrimination, harassment, and sexual misconduct. Caltech will not tolerate such conduct and is committed to educating the community in ways to prevent its occurrence.

As defined in this policy, Sex- and Gender-Based discrimination, sexual and gender-based harassment, and sexual misconduct, including sexual assault, nonconsensual sexual contact, relationship violence, sexual exploitation, and stalking constitute prohibited conduct and violate this policy. Such conduct generally violates Title VII of the Civil Rights Act of 1964, as amended; Title IX of the Education Code; and/or California law.

All individuals are protected against prohibited conduct (defined below in Section III) regardless of gender. For the purposes of this policy, the term gender is broadly defined, encompassing sex, sexual orientation, gender identity, and gender expression. Prohibited conduct can be committed by individuals of any gender and can occur between or among individuals of the same gender or different genders, strangers, or acquaintances as well as people involved in intimate or sexual relationships.

Caltech also prohibits retaliation against an individual who reports, submits a complaint, or who otherwise participates in good faith in any matter related to this policy.

Caltech will take prompt and equitable action upon receiving a report of prohibited conduct to determine what occurred and will take steps to stop and remedy the effects of any such conduct and prevent its recurrence. Caltech provides all parties with appropriate due process and will take appropriate action, including disciplinary measures, when warranted, up to and including termination of employment or changes to student enrollment status, including expulsion.

Any reference in this policy to a Caltech administrator is understood to include not only that administrator but also their designee.

2.0 Scope

This policy applies to all current students, faculty, supervisory and non-supervisory staff, postdoctoral scholars, volunteers, interns, vendors, independent contractors, persons performing services under contract with the Institute, visitors, and any other individuals who are regularly or temporarily employed, studying, living, visiting, or otherwise participating in Caltech's educational programs or activities ("covered persons"). The requirement not to discriminate in Caltech's educational programs or activities also extends to admissions and employment. Inquiries about the application to Caltech of Title IX and its implementing regulations may be referred to the Title IX coordinator.

This policy applies to prohibited conduct occurring on Institute-controlled property, at Institute-sponsored events, in Institute programs or activities, by Institute-affiliated organizations including student organizations and residential facilities, regardless of location. In addition, it applies to prohibited conduct occurring off campus, in any location, whenever the respondent and the complainant are covered persons.

Organizations affiliated with the Institute or that use Caltech property or resources in connection with their activities also are prohibited from

engaging in prohibited conduct. This policy also applies to prohibited conduct occurring at the Jet Propulsion Laboratory (JPL) in its educational programs and activities.

Members of the Caltech community are encouraged to promptly report prohibited conduct to Caltech or consult with a confidential resource regardless of where the incident occurred or who committed it. An individual who has experienced sexual misconduct is encouraged to immediately seek assistance from a medical provider and report the incident to local law enforcement. Reports to Caltech and law enforcement may be pursued simultaneously.

Even if Caltech does not have jurisdiction under this policy over the person accused of prohibited conduct, or the allegations reported, Caltech will still take prompt action, as warranted and appropriate, to provide for the safety and well-being of the individual reporting and the campus community, including taking reasonable steps to stop and remedy the effects of the prohibited conduct and to prevent recurrence of the behavior.

3.0 Retaliation

Retaliation against any member of the Caltech community at any point in time for making a good-faith report of prohibited conduct, or participating or refusing to participate in any manner in an investigation, proceeding, or hearing conducted by Caltech or a state or federal agency, is strictly prohibited. Retaliation is defined as overt or covert acts of reprisal, interference, discrimination, intimidation, or harassment against an individual or group for exercising their rights under Title IX or other federal and state laws. Retaliation does not include charging an individual with a code of conduct violation for making a materially false statement in bad faith in the course of an investigation, proceeding, or hearing related to this policy, provided, however, that a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith. Retaliation violates this policy and is unlawful.

The following are examples of conduct that may constitute retaliation:

- A faculty or staff supervisor suspects and assigns blame for an anonymous report to the Equity and Title IX Office and gives the suspected reporter undesirable work or lab assignments, or a lesser recommendation or salary increase, than the suspected reporter merits based on their actual work;
- A faculty or staff supervisor refuses to continue to work with a student, subordinate, or colleague who has reported a concern about them to the Equity and Title IX Office;
- A student spreads false information around the house about a fellow student who has reported a concern about them or a friend to the Equity and Title IX Office;
- A student gets other students to engage in “blackballing” or socially ostracizing behavior against a student who was called as a witness in a Title IX investigation where the respondent was a friend of the student organizing the blackballing;
- A staff supervisor requires an employee who raised concerns with them about differential treatment between men and women

on the team to track her weekly time on assignments, but no one else is required to track their time, and there is no prior employment history to support the necessity of tracking time.

Caltech will take steps to prevent retaliation and will take prompt and appropriate corrective action to stop and remedy its effects if retaliation occurs. Caltech will involve senior academic, administrative, and student affairs leadership, as required, to prevent and remedy retaliation. Individuals who violate Caltech's policy prohibiting retaliation may be subject to disciplinary action up to and including termination of employment or expulsion from Caltech.

4.0 Preservation of Evidence of Prohibited Conduct

Sexual assault, as defined in this policy, may also be a crime. Individuals who have experienced sexual assault are urged to seek medical treatment as soon as possible. Sexual assault forensic exams (or rape kit tests) are available free of charge at multiple local medical centers and facilitate both evidence preservation and any necessary medical treatment. Evidence preservation is important in case an individual would like to file a report with law enforcement, pursue civil litigation, or obtain a protective order. If an individual chooses to receive a forensic exam, they should avoid showering, bathing, douching, eating, drinking, washing their hands, or brushing their teeth until after the medical examination. Exams should be performed within 72 hours of the incident. Individuals should save all clothing worn at the time of the assault. Each item of clothing should be placed in a separate paper bag, not a plastic bag. They are strongly encouraged to preserve all physical and electronic evidence.

Electronic evidence relating to any type of incident of prohibited conduct, such as texts, emails, and social media posts, should be preserved.

Once an individual reports a concern or receives notification of their involvement in a report or complaint under this policy, whether as a respondent or witness, they are required to preserve any physical or electronic evidence they have. An intentional failure to preserve such evidence may be grounds for disciplinary action.

5.0 Emergency Notifications and Timely Warnings

In the event of a dangerous situation on campus that involved an immediate threat to the health or safety of students or employees, Caltech will issue an emergency notification consistent with its emergency notification procedures. In the event Caltech believes that there is a serious or continuing threat to the campus community, Caltech will issue a timely warning consistent with its timely warning procedures. Emergency notifications and timely warnings do not disclose the name of the victim.

6.0 Reporting to Caltech

Any person may report prohibited conduct, whether or not the person reporting is the person alleged to be the victim of the alleged prohibited conduct. They may make their report in person, by mail, by telephone, by electronic mail, or by any other means that results in the Title IX coordinator receiving their verbal or written report. A member of the Caltech community who wishes to report prohibited conduct should do so as soon as possible after the incident, although reports may be made at any time.

Anyone who witnesses, experiences, or is otherwise aware of conduct that the individual believes to be in violation of this policy, including retaliation, is urged to contact Caltech immediately. Individuals are encouraged to report to the Title IX coordinator or a deputy Title IX coordinator.

As detailed in section 6.2 below, responsible employees must report to the Title IX coordinator any prohibited conduct of which they become aware.

If a member of the Caltech community would like support and guidance in reporting prohibited conduct, they may contact the Title IX coordinator or a deputy coordinator, one of the deans or associate deans, the director of employee & organizational development in Human Resources, or the JPL section manager of talent management or Human Resources Business Partners at JPL.

They may also contact any of the EEO coordinators identified in the Nondiscrimination and Equal Employment Opportunity Policy.

Caltech is committed to protecting the privacy of all individuals involved in a report of prohibited conduct. All employees involved in the response to a report of prohibited conduct understand the importance of properly safeguarding private information. Caltech will make every effort to protect individuals' privacy interests consistent with Caltech's obligation to address reports made to Caltech.

A student who participates as a complainant or witness in an investigation of sexual assault, dating violence, domestic violence, or stalking will not be subject to disciplinary sanctions for a violation of Caltech's student conduct policies at or near the time of the incident, including but not limited to the Substance Abuse policy, unless Caltech determines that the violation was egregious, including but not limited to an action that places the health or safety of any other person at risk or involves conduct that violates Caltech's policies prohibiting discrimination or other serious misconduct like plagiarism, cheating, research misconduct, or other forms of academic dishonesty.

6.1 Title IX Coordinator and Deputy Coordinators

The Title IX coordinator is responsible for coordinating Caltech's compliance with Title IX and for Caltech's overall response to conduct falling under Title IX. The Title IX coordinator oversees the implementation and application of Caltech's Title IX-related policies to ensure consistent treatment of parties involved and prompt and

equitable resolution of complaints. In doing so, the Title IX coordinator oversees all Title IX complaints, monitors outcomes, identifies and addresses any patterns of systemic problems that arise, and assesses effects on the campus climate.

The Title IX coordinator is supported by four deputy Title IX coordinators and a lead investigator, all of whom can answer questions regarding Caltech's Title IX-related policies and Title IX.

Deputy Title IX coordinators also generally serve as co-investigators to the lead investigator under the formal investigation process set out in the Procedures for Complaints of Sex- and Gender-Based Misconduct Under Title IX.

Title IX Coordinator

Assistant Vice President for Equity and Equity Investigations
Hima Vatti
(626) 395-3132, equity@caltech.edu, 205 Center for Student Services

Lead Investigator

Brian Quillen
(626) 395-4424, bquillen@caltech.edu, 348 Center for Student Services

Deputy Title IX Coordinator for Students

Allie McIntosh
(626) 395-1743, allie@caltech.edu, 105 Center for Student Services

Deputy Title IX Coordinator for Faculty

Melany Hunt
(626) 395-4231, hunt@caltech.edu, 265 Gates-Thomas

Deputy Title IX Coordinator for Staff and Postdoctoral Scholars

Ofelia Velazquez-Perez
(626) 395-3819, Ofelia.Velazquez-Perez@caltech.edu, 206 Central Engineering Services

Deputy Title IX Coordinator for JPL

Jackie Clennan-Price
(818) 393-0016, Jackie.A.Clennanprice@jpl.nasa.gov, Human Resources T1720-149 at JPL

6.2 Responsible Employees

If an individual discloses prohibited conduct to any Responsible Employee, or if a Responsible Employee otherwise becomes aware of prohibited conduct, they must report to the Title IX coordinator all relevant details about the alleged conduct.

At campus, the following are responsible employees:

- Title IX deputies
- Faculty members who supervise a research laboratory or group or who have administrative responsibilities.

- Staff members with a supervisory or managerial role, whom Caltech has not designated as confidential resources
- Security officers
- Residential Life coordinators
- Resident associates
- Coaches
- Employee Relations consultants

At JPL, the following are responsible employees:

- Deputy Title IX coordinator for JPL
- Supervisors and managers
- Employee Relations representatives
- Human Resources business partners
- Education Office staff

6.3 Anonymous Reporting

Caltech provides the following resources for anonymous reporting:

Campus Hotline	(626) 395-8787 or (888) 395-8787
JPL Ethics Hotline	(818) 354-9999
JPL Protective Services Division's Workplace Violence Hotline	(818) 393-2851
For either Campus or JPL by submitting a compliance Hotline Contact Form	

If the reporting party wants to remain anonymous, they should not share any personally identifying information. If the reporting party does share such information, the Equity and Title IX Office will contact the reporting party with information about support resources and reporting options. If an investigation is pursued, the reporting party who identified themselves will be notified.

6.4 Notification of Law Enforcement

Individuals who have experienced sexual assault, stalking, sexual exploitation, or domestic, relationship, or dating violence are encouraged to notify local law enforcement. Caltech will provide assistance in notifying law enforcement if the individual so chooses. An individual who has experienced sexual violence also has the right to decline to notify law enforcement or Caltech.

Caltech has an obligation under California law to report incidents of sexual assault to law enforcement; however, Caltech will not report identifying information about the complainant without the complainant's consent after being notified of their right to have personally identifying information withheld. If the complainant does not consent to be identified, personally identifying information about the respondent also will not be provided.

Pasadena Police Department
Call 911 for Emergency Response
Non-Emergency Response: (626) 744-4241
207 N. Garfield Ave., Pasadena, CA 91101

7.0 Reports Involving Minors

Every member of the Caltech community, who knows of, or reasonably suspects, child abuse, including any prohibited conduct involving a minor, has a personal responsibility to report to Caltech Security or the JPL Protective Services Division immediately. A minor under the age of 18 is not considered to be capable of giving valid affirmative consent to sexual activity under this policy. Caltech employees who are mandated reporters have additional reporting obligations, including reporting immediately to LA County Office of Child Protection and/or the local police department. See the Violence Prevention policy for more information.

8.0 False Reports

Caltech expects its members to act with honesty, sincerity, and good faith in reporting concerns under this policy. Caltech will not tolerate intentional false reporting of information, allegations, or evidence. A good faith complaint that results in a finding of “no violation” is not considered a false report.

However, when a complainant or third party is found to have intentionally fabricated or knowingly misrepresented information, allegations, or evidence, or otherwise to have acted with an intent to deceive or mislead in any of their dealings relating to Caltech’s administration of this policy, they may be subject to disciplinary action.

9.0 Privacy

Caltech will maintain the privacy of all individuals involved in a report of prohibited conduct to the extent possible. All Caltech employees who are involved in the Institute’s response, including the Title IX coordinator, deputy Title IX coordinators, and investigators, receive training about respecting and safeguarding private information. Throughout the process, every effort is made to protect the privacy interests of all individuals involved in a manner consistent with the need for a thorough review and administration of the matter.

Privacy generally means that information related to a report of prohibited conduct will only be shared with those individuals who have a “need to know.” The determination of who has a “need to know” is within the discretion of the Title IX coordinator. These individuals are required to be discreet and respect the privacy of all individuals involved.

No meetings or conversations that take place under this policy, the Procedures for Complaints of Sex- and Gender-Based Misconduct Under Title IX (“Title IX Complaint Procedures”), or the Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation may be audio- or audio-visually recorded by anyone. The only exception to this rule is that the Equity and Title IX office, in compliance with Title IX, will record the hearing conducted under the Title IX Complaint Procedures in order to provide a verbatim record of the hearing. These recordings will be maintained by the Equity and Title IX Office.

10.0 Requests for Confidentiality or that Complaint Not Be Pursued

With respect to allegations of prohibited conduct under this policy, the Title IX coordinator and deputy Title IX coordinators make every effort to respect the concerns and goals of complainants, as well as their capacity to make independent choices, as they consider their resolution options for addressing their complaints under this policy and the Title IX Complaint Procedures.

However, in instances where a complainant requests that their name not be used, that Caltech not pursue any action against the respondent, including an investigation, or that no disciplinary action be taken, Caltech must weigh the request against its obligations, including under applicable laws, to take action to provide a safe, nonthreatening environment. The Title IX coordinator will discuss with the complainant the reasons for their requests and attempt to address the underlying concerns such as taking steps to prevent retaliation.

Where the complainant remains committed to the requests mentioned above, the Title IX coordinator will weigh the request against factors that may lead the Title IX coordinator to take action on behalf of Caltech, against the wishes of the complainant, to protect the health and safety of the complainant and the Caltech community. The factors considered are within the discretion of the Title IX coordinator and include, but are not limited to, the nature and seriousness of the alleged conduct, whether the allegations are contested, the involvement of multiple respondents, circumstances that suggest there is a significant risk that the respondent will commit further acts of prohibited conduct, whether there was a weapon or violence involved, whether there is evidence of pattern, and the age of a complainant.

Circumstances speaking to a significant risk of further acts of prohibited conduct by the respondent may include whether there have been other reports/complaints of prohibited conduct involving the respondent, the intentional exploitation of a power differential, or the use of alcohol or drugs to induce vulnerability to sexual activity without consent.

Where the Title IX coordinator determines that the safety of the community requires Caltech to take action, the Title IX coordinator will determine the action to be taken and notify the complainant. The Title IX coordinator will attempt to address the prohibited conduct consistent with the complainant's request(s), to the extent protecting the health and safety of the complainant and the Caltech community allows. Where a complainant declines to participate in any response to the prohibited conduct, Caltech's ability to respond may be limited.

In those instances where the Title IX coordinator determines that Caltech must file a formal complaint despite the request of the complainant, the Title IX coordinator will inform the complainant of Caltech's intention to do so. The complainant is not required to participate in the ensuing process.

If the complaint includes allegations that may constitute a possible crime, the Title IX coordinator will notify the complainant of their right to file a criminal complaint or to choose not to notify law enforcement.

All final determinations and decisions taken under this provision, except

the complainant's decision to file a criminal complaint or to choose not to notify law enforcement, rest solely with the Title coordinator.

11.0 Contacting Government Agencies

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Employees, student, and others participating in Caltech's educational programs or activities may direct questions regarding Title IX or file complaints with the U.S. Department of Education Office for Civil Rights, (415) 486-5555, ocr.sanfrancisco@ed.gov or (800) 421-3481, OCR@ed.gov. In addition, employees may file complaints with the California Department of Fair Employment and Housing (DFEH) at dfeh.ca.gov/contact-us or the United States Equal Employment Opportunity Commission (EEOC) at <https://www.eeoc.gov>. Complaints can also be directed to the Bureau for Private Postsecondary Education at bppe.ca.gov.

NASA-funded program participants may file a complaint at AssistedProgramComplaint@nasa.gov or find more information at missionstem.nasa.gov/filing-a-complaint.html. NSF-funded program participants may file a complaint with the Office of Diversity and Inclusion at programcomplaints@nsf.gov, (703) 292-8020 or find more information at nsf.gov/od/odi/harassment.jsp. Participants in programs funded by other federal agencies providing federal financial assistance to Caltech may file directly with those agencies.

Filing a complaint with a federal agency under Title IX must be done within 180 days after an alleged discriminatory or harassing event, and there is no requirement to exhaust remedies through Caltech's internal procedures before filing directly with a federal agency.

12.0 Clery Reporting

The Clery Act requires Caltech to issue an Annual Security and Fire Safety Report, which includes crime statistics for sexual assault (rape, fondling, incest, and statutory rape), domestic violence, dating violence, and stalking. Campus Security gathers these crime statistics from the Equity and Title IX Office, security reports, Pasadena Police Department information, JPL, and reports by Campus Security authorities. Crime statistics do not disclose any identifying information about a complainant, respondent, witnesses, or others. For more information and statistics for the past three years, see the current Annual Security and Fire Safety Report.

SECTION III: PROHIBITED CONDUCT

13.0 Prohibited Conduct Covered under this Policy

This section sets out what conduct is prohibited under this policy. The subset of prohibited conduct that is also covered under Title IX is set out below in section 14.0.

Reported behavior that does not constitute prohibited conduct under this policy but is nevertheless determined to be inappropriate pursuant to another applicable Caltech policy may subject the offending individual to disciplinary action.

The term complainant refers to the individual who allegedly is the subject of the prohibited conduct and respondent refers to the individu-

al who is alleged to have engaged in the prohibited conduct.

Attempts or threats to commit prohibited conduct are equally covered by this policy.

The Title IX coordinator will determine whether reported prohibited conduct is covered under Title IX. The Title IX coordinator's determination will be communicated in writing to the parties. Allegations of Title IX-covered prohibited conduct will be adjudicated under the Procedures for Complaints of Sex- and Gender-Based Misconduct Under Title IX ("Title IX Complaint Procedures"). Where multiple allegations of prohibited conduct are at issue, and the Title IX coordinator determines that only a portion fall within the scope of Title IX, all of the allegations will be adjudicated under the Title IX Complaint Procedures. Allegations of prohibited conduct not falling under Title IX will still be adjudicated under the Title IX Complaint Procedures, if any respondent is a student.

All other allegations of prohibited conduct, falling within the scope of this policy, will be addressed under Caltech's Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation.

13.1 Sex or Gender-Based Discrimination

Sex or gender-based discrimination refers to unfavorable treatment based on sex, sexual orientation, gender identity, or gender expression.

The following are examples of conduct that may constitute sex or gender-based discrimination:

- Denying an employee a promotion because they are openly gay and some of the team who would be reporting to them strike you as somewhat conservative and you worry the employee might not feel comfortable supervising them
- Rejecting a student from house membership because some students feel uncomfortable with the student's openness about their recent gender transition
- Rejecting a faculty candidate after a hiring team member opined the candidate's voice and mannerisms are too high-pitched and animated to be perceived as sufficiently professional and authoritative to run a lab effectively.
- Telling a masculine presenting nonbinary individual that they cannot wear makeup or wear feminine clothing in the workplace.

13.2 Sexual or Gender-Based Harassment

13.2.1 Sexual harassment is unwelcome sexual advances, requests for sexual favors, and other conduct of a sexual nature when:

- Quid pro quo: submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education or submission to or rejection of

such conduct is used as the basis for decisions affecting that individual's employment or academic terms or status; or

- Hostile environment: Such conduct unreasonably interferes with an individual's work or academic performance or creates an intimidating, hostile, or offensive work or academic environment. An individual may experience sexual harassment even if the offensive conduct was not aimed directly at them.

13.2.2 Gender-Based Harassment is harassment based on an individual's actual or perceived sex, gender, gender identity, or gender expression including harassing or bullying conduct based on the individual's gender expression, gender identity, transgender status, gender transition, or nonconformity with sex stereotypes.

A single isolated incident may create a hostile environment if the incident is sufficiently severe, particularly if the conduct is physical. For example, a single incident of unwanted physical conduct of a sexual nature, like grabbing an intimate body part, may be sufficiently severe to constitute a hostile environment. Behavior of a harassing nature that does not rise to the level of unlawful harassment but is nevertheless determined to be inappropriate may subject the offender to disciplinary action.

The following are examples of conduct that, depending on the nature, frequency, and severity, may constitute sexual or gender-based harassment:

- Sending unwanted sexually-oriented jokes to a student or work group email list.
- Displaying explicit sexual pictures in common areas of Institute housing or on a work computer station where others can view it.
- Making or using derogatory comments, epithets, slurs, or jokes of a gender-based or sexual nature.
- Ostracizing individuals from group activities because of their sex, gender or gender identity, gender expression, sexual orientation, or because they objected to harassing behavior.
- Making unwelcome graphic comments about an individual's body, using sexually degrading words to describe an individual.
- Engaging in unwanted suggestive or obscene communications.
- Engaging in unwelcome touching, fondling, or groping of a sexual nature.
- Making unwanted sexual advances.
- Promising a benefit to someone in exchange for engaging in sexual activity.
- Exposing one's genitals to another without consent.

13.2.3 Sexual Harassment and Consent

Even when relationships are consensual, care must be taken to

eliminate the potential for harassment or other conflicts. If a consensual relationship exists, it is not acceptable to treat the individual in the relationship more favorably than other similarly situated individuals in the context of employment or academic performance.

Caltech practice, as well as more general ethical principles, prohibits individuals from participating in evaluating the work or academic performance of those with whom they have romantic and/or sexual relationships, or from making hiring, salary, or similar decisions regarding those individuals. Upon learning about such a consensual prohibited relationship, the supervisor, dean, or division chair should immediately notify the Title IX coordinator and, in consultation with the Title IX coordinator, should review and remedy any direct administrative or academic relationship between the involved individuals. The individual with greater power may be subject to disciplinary action for a violation of this policy.

When a consensual personal relationship arises and a power differential exists, consent may not be considered a defense to a claim of sexual harassment. The individual in the relationship with greater power will be held responsible.

13.2.4 Prohibition on Relationships between Employees and Undergraduates

This policy prohibits sexual or romantic relationships between an undergraduate student and a faculty member, postdoctoral scholar, or staff member. The non-undergraduate party in the relationship will be held responsible for prohibited conduct violating this policy, regardless of whether a complaint is filed.

13.3 Sexual Misconduct

Prohibited sexual misconduct includes sexual conduct that occurs by force or threat of force or without affirmative consent, including when the person is incapacitated. Sexual misconduct includes sexual violence and is prohibited under this policy. This definition encompasses a range of sexual conduct that could also fall within the definition of sexual harassment. The Title IX coordinator will determine whether allegations should be treated as sexual harassment or sexual misconduct, or both, based on the specific conduct alleged and the totality of the circumstances. Prohibited forms of sexual misconduct include, but are not limited to, sexual assault, nonconsensual sexual contact, sexual exploitation, relationship violence, and stalking.

Definitions Pertaining to Sexual Misconduct

13.3.1 Sexual assault is defined as having or attempting to have sexual intercourse with another individual by force or threat of force, without affirmative consent, including when the person is incapacitated. Sexual intercourse includes the penetration, no matter how slight, of the vagina

or anus with any body part or object, or oral penetration by a sex organ of another person.

13.3.2 Nonconsensual sexual contact is defined as having sexual contact with another individual by force or threat of force, or without affirmative consent, including when the person is incapacitated. Sexual contact includes intentional contact with the intimate body parts of another (whether directly or through clothing), touching any part of the body of another in a sexual manner, or disrobing or exposure of another. Intimate body parts are the breast, genitals, groin, anus, or buttocks.

13.3.3 Sexual exploitation occurs when an individual takes nonconsensual or abusive sexual advantage of another for their own or another's benefit or advantage. It includes the abuse of a position of vulnerability, power differential, or trust for sexual purposes.

The following are examples of conduct that may constitute sexual exploitation:

- Observing, recording, viewing, distributing or allowing another to observe, record, view or distribute, intimate or sexual images of another individual without that individual's consent.
- Surveillance and other types of observations of intimate or highly personal activities, whether by physical proximity or electronic means, live or by a camera, such as watching a person undressing, showering, or engaging in sexual activity.
- Taking steps to cause drunkenness or incapacitation by alcohol or drugs in order to make another person vulnerable to any degree of sexual activity.
- Sexually based stalking or bullying, including by electronic means.
- Offering someone for sexual activity in exchange for a benefit or payment.

13.4 Affirmative Consent

Affirmative consent is a crucial component of the Caltech policy. Affirmative consent is the affirmative, conscious, and voluntary agreement to engage in sexual activity.

- It is the responsibility of each person involved in the sexual activity to ensure that they have the affirmative consent of the other person(s) to engage in the sexual activity.
- Lack of protest or resistance does not mean consent, nor does silence mean consent.
- Affirmative consent must be ongoing throughout sexual activity, and each time sexual activity is engaged in, and can be revoked at any time. Consent to one form of sexual activity is not, by itself, consent to other forms of sexual activity.
- The existence of a dating relationship between the persons

involved, or the fact of any past sexual activity between them, should never by itself be assumed to be an indicator of consent.

It is not a valid excuse to alleged lack of affirmative consent that the respondent believed that the complainant consented to the sexual activity under either of the following circumstances:

- The respondent's belief arose from the intoxication or recklessness of the respondent.
- The respondent did not take reasonable steps, in the circumstances known to the respondent at the time, to ascertain whether the complainant affirmatively consented.

It is not a valid excuse that the respondent believed that the complainant affirmatively consented to the sexual activity if the respondent knew or reasonably should have known that the complainant was unable to consent to the sexual activity under any of the following circumstances:

- The complainant was asleep or unconscious.
- The complainant was incapacitated due to the influence of drugs, alcohol, or medication, so that the complainant could not understand the fact, nature, or extent of the sexual activity.
- The complainant was unable to communicate due to a mental or physical condition.

A person who is incapacitated is not capable of giving effective consent to sexual activity. An incapacitated person lacks the physical and mental capacity to make informed, reasonable judgments about whether or not to engage in sexual activity. A person who is incapacitated may not be able to understand where they are, whom they are with, how they got there, or what is happening.

A person may be incapacitated by a temporary or permanent mental or physical condition, sleep, or unconsciousness. A person may also be incapacitated as a result of voluntary or involuntary (e.g., induced, forced) consumption of alcohol or drugs. Incapacitation is a state beyond mere intoxication or drunkenness. Just because someone is under the influence of alcohol or drugs does not necessarily mean that a person is incapacitated. Impairment must be significant enough to render a person unable to understand the fact, nature, or extent of the sexual activity. In evaluating affirmative consent in cases involving an allegation of incapacitation, Caltech considers the state and degree of intoxication of the reporting party and the knowledge of the respondent.

One's own intoxication, even to the point of incapacitation, does not relieve an individual from responsibility for a policy violation when they engage in sexual conduct without the affirmative consent of the other party or parties. However, a respondent who was incapacitated during sexual conduct has the right to file a formal complaint alleging they were incapacitated and unable to consent to the reported sexual activity.

13.5 Relationship Violence

Relationship violence includes, but is not limited to, physical, sexual, emotional, economic and/or psychological actions or threat of actions, including threatening to reveal personal or confidential information (including, but not limited to, information regarding one's gender identity or sexual orientation), that are intimidating, frightening, terrorizing, or threatening. It also includes threats of harm to one's family members, friends, or self-harm. Relationship violence can consist of a single act or pattern of behavior.

13.5.1 Dating violence means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with a complainant. The existence of such a relationship shall be determined by the complainant's statement as well as consideration of the length of the relationship, type of relationship, and the frequency of interaction between the persons involved in the relationship.

13.5.2 Domestic violence means violence committed against an adult or minor victim (a) by a person who is their spouse or former spouse, a cohabitant or former cohabitant, or a person with whom they have a child; (b) by a person similarly situated to a spouse under the law of the state where the violence occurred; or (c) by any other person from whose acts an adult or minor victim is protected under the domestic or family violence laws of the state where the domestic violence occurred.

13.6 Stalking

Stalking is a course of conduct of a sexual or romantic nature or motivation directed at an individual that would cause a reasonable person to fear for their safety or the safety of others, or suffer substantial emotional distress. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with the person's property.

Reasonable person means a reasonable person under similar circumstances and with similar legally protected or other characteristics to the victim. Stalking that is not sex- or gender-based is also covered by the Violence Prevention policy and should be reported to the Equity and Title IX Office and Security at campus or the Protective Services Division at JPL. The following are examples of conduct that, depending on the frequency and severity, may constitute stalking:

- Repeated unwanted communication, including face-to-face contact, telephone calls, voice messages, emails, text messages, postings on social networking sites, written letters, or gifts.
- Posting picture(s) or information of a sexual nature on social networking sites or other websites.
- Gathering information about the person through the use of public records, online searches, going through the garbage, or

- contacting the person's family, friends, or co-workers.
- Posting private pictures or videos on school bulletin boards or internet sites.
- Installing spyware on another person's personal devices, including phones or computers.
- Surveillance or other types of observation, including staring or peeping.
- Pursuing, following or showing up uninvited at or near places like classrooms, residence, workplace, or other places frequented by the person.
- Directly or indirectly making threats to the person.
- Inducing friends, family members, or other persons to engage in any of the above conduct.
- Inducing friends, family members, or other persons to track and report on the person's whereabouts and activities.

14.0 Subset of Prohibited Conduct Covered under Title IX

Prohibited conduct under this policy is covered under Title IX if it meets the definition and scope requirements set out below in 14.1, 14.2, and 14.3.

14.1 Definition of Sex Discrimination under Title IX

Sex discrimination under Title IX occurs when a person in the United States, on the basis of sex, is excluded from participation in, or is denied the benefits of, or is subjected to discrimination, under any Caltech education program or activity. The term "education program or activity" means all of the operations of Caltech.

14.2 Definition of Sexual Harassment under Title IX

Sexual harassment means conduct on the basis of sex that satisfies one or more of the following: (1) an employee of Caltech conditioning the provision of an aid, benefit, or service of Caltech on an individual's participation in unwelcome sexual conduct; (2) unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to Caltech's education program or activity; or (3) sexual assault, dating violence, domestic violence, or stalking as defined below.

14.2.1 Sexual assault means an offense classified as a forcible or nonforcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation, as follows:

Sex Offenses, Forcible: Any sexual act directed against another person without the consent of the victim, including instances where the victim is incapable of giving consent.

Forcible Rape: The carnal knowledge of a person, forcibly and/ or against that person's will or not forcibly or against the person's will in instances where the victim is incapable of giving consent because of his/her temporary or permanent mental or physical incapacity. This definition excludes statutory rape.

Forcible Sodomy: Oral or anal sexual intercourse with another person, forcibly and/or against that person's will or not forcibly or against the person's will in instances where the victim is incapable of giving consent because of his/her youth or because of his/her temporary or permanent mental or physical incapacity.

Sexual Assault with an Object: To use an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, forcibly and/or against that person's will or not forcibly or against the person's will in instances where the victim is incapable of giving consent because of his/her youth or because of his/her temporary or permanent mental or physical incapacity.

Forcible Fondling: The touching of the private body parts of another person for the purpose of sexual gratification, forcibly and/or against that person's will or not forcibly or against the person's will in instances where the victim is incapable of giving consent because of his/her youth or because of his/her temporary or permanent mental or physical incapacity.

Sex Offenses, Nonforcible: Unlawful, nonforcible sexual intercourse, except prostitution offenses.

Incest: Nonforcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

Statutory Rape: Nonforcible sexual intercourse with a person who is under the statutory age of consent, which in California is 18.

14.2.2 Dating violence means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim and where the existence of such a relationship shall be determined based on a consideration of the following factors: the length of the relationship; the type of relationship; the frequency of interaction between the persons involved in the relationship.

14.2.3 Stalking means engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others or suffer substantial emotional distress.

14.3 Scope Requirements for Title IX Sexual Harassment

Title IX addresses sexual harassment in an education program or activity of Caltech against a person in the United States.

At the time of filing a formal complaint, a complainant must be participating in or attempting to participate in (e.g., applying for admission) an education program or activity of Caltech.

The term "education program or activity" includes locations, events, or circumstances over which Caltech exercised substantial control over

both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by Caltech.

15.0 Informational Resources

Information on prohibited conduct, as well as copies of Caltech's Sex- and Gender-Based Misconduct; Nondiscrimination and Equal Employment Opportunity; Unlawful Harassment; and Violence Prevention policies are available from:

At Campus: Caltech's Title IX coordinator and deputy Title IX coordinators, Caltech's EEO coordinators, Human Resources, Student Affairs, the Deans' offices, the Caltech Center for Inclusion and Diversity, resident associates, the Staff and Faculty Consultation Center, and Employee & Organizational Development.

At JPL: JPL's deputy Title IX coordinator, EEO coordinator, and Human Resources business partners.

The policies are published in the Caltech Catalog and on the following Caltech and JPL websites: JPL Human Resources, Equity and Title IX Office, and Student Affairs.

Related Policies and Procedures:

- Procedures for Complaints of Sex- and Gender-Based Misconduct Under Title IX
- Nondiscrimination and Equal Employment Opportunity
- Unlawful Harassment
- Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation
- Violence Prevention

PROCEDURES FOR RESPONDING TO AND RESOLVING COMPLAINTS OF GENDER-BASED MISCONDUCT

I. Introduction and Scope

Caltech will take prompt and appropriate action to address all reports of prohibited conduct in a fair and impartial manner. Complainants, respondents, and all other participants in the process will be treated with dignity, care, and respect.

Caltech's policy reflects its commitment to support and encourage individuals who have been subjected to prohibited conduct to come forward. Caltech takes all allegations of prohibited conduct seriously and responds appropriately.

Caltech's policy and these procedures are intended to ensure that individuals accused of engaging in prohibited conduct are not prejudged; that they have notice and a full and fair opportunity to respond to allegations before findings and conclusions are reached; and that decisions are based on the evidence gathered in a process that is fair to both complainants and respondents. Caltech will conduct a fair, impartial, timely, and thorough investigation that provides all parties with appropriate due process.

These procedures are to be applied to address allegations of prohibited conduct that (a) fall within the scope of Caltech's policy, as set out in Section I, 2.0 of the Sex- and Gender-Based Misconduct Policy, and (b) either fall within the scope of Title IX, as set out in Section III, 14.0, or involve a student respondent.

Throughout these procedures, any reference to a Caltech administrator is understood to include not only that administrator but also their designee.

II. Retaliation

No one may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by the Sex- and Gender-Based Misconduct Policy or these procedures, or the Unlawful Harassment Policy and related procedures, or because the individual has made a report or complaint, testified, assisted, participated, or refused to participate in any manner in any action or process under these procedures. Intimidation, threats, coercion, or discrimination, including charges against an individual for code of conduct violations that do not involve prohibited conduct under the Sex- and Gender-Based Misconduct Policy but arise out of the same facts or circumstances as a report, complaint, or formal complaint of prohibited conduct, for the purpose of interfering with any right under the Sex- and Gender-Based Misconduct Policy or these procedures, or the Unlawful Harassment Policy and related procedures, constitutes retaliation.

Caltech will maintain the confidentiality of persons involved in reports and complaints of prohibited conduct, except as required or allowed under the Sex- and Gender-Based Misconduct Policy, these procedures, the Unlawful Harassment Policy and related procedures, or federal or state law.

The following actions do not constitute retaliation: the exercise of rights protected under applicable law; or Caltech's charging an individual with a policy violation for making a materially false statement in bad faith in the course of a resolution process. For example, a determination that a respondent was or was not responsible for alleged prohibited conduct, alone, is not sufficient to conclude that any party made a materially false statement in bad faith.

Complaints of retaliation will be addressed under the Unlawful Discrimination procedures.

III. Avoiding Bias

Any consideration of impartiality, or objections based on conflict of interest or bias, of those involved in Title IX processes must be reviewed by thoughtful and shared consideration of individual circumstances. Determination of whether a conflict of interest or bias exists in a particular instance will be a matter of judgment involving all the material facts of the situation.

IV. Initial Title IX Assessment

Upon receiving a report of misconduct, Caltech's Title IX coordinator will make an initial assessment of the report to determine the following:

1. a reasonable assessment of any safety concerns posed to any member of the Caltech community or Caltech's campus;
2. whether the allegations on their face present a potential violation of the Sex- and Gender-Based Misconduct Policy, and if so, whether they are covered under these procedures or under Caltech's Unlawful Discrimination, Harassment, and Retaliation procedures; or, if not, whether they should be addressed under a different Caltech policy and process;
3. whether and what supportive measures are warranted; and
4. whether emergency removal is warranted.

The Title IX coordinator will promptly contact the complainant to discuss the availability of supportive measures, consider the complainant's wishes with respect to supportive measures, inform the complainant that supportive measures are available with or without the filing of a formal complaint, and explain to the complainant the process for filing a formal complaint.

The Title IX coordinator may also meet with the respondent and other relevant individuals in order to make an initial assessment. The respondent also will be offered the opportunity to request and receive supportive measures at this time.

The complainant and the respondent will be provided with the following:

- Information on their rights and options under the Sex- and Gender-Based Misconduct and Unlawful Harassment policies and related procedures and copies of these documents
- Written materials outlining information on campus support resources and services, including their contact information and days and hours of availability, as well as information on coordination with law enforcement

V. Supportive Measures

Supportive measures are non-disciplinary, nonpunitive individualized services offered as appropriate and reasonably available to the parties before or after the filing of a formal complaint or where no formal complaint has been made. They are designed to restore or preserve equal access to Caltech's education program or activity without unreasonably burdening the other party, including measures designed to protect the safety of all parties or Caltech's educational environment, or deter prohibited conduct. Supportive measures may include counseling, academic accommodations (e.g., extensions of deadlines, course-related adjustments), modifications of work or class schedules, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar measures. Caltech will maintain as confidential any supportive measures provided to any party to the extent such confidentiality does not impair Caltech's ability to provide the supportive measures (e.g., notifying appropriate administrators involved in academic accommodations). The Title IX coordinator will coordinate the effective implementation of supportive measures.

Supportive measures affecting faculty, postdoctoral scholars and staff, including employees at JPL, might include transfer of supervisory or evaluative responsibility regarding grading, supervision, tenure review, letters of recommendation, and/or changes to office assignments.

Caltech will endeavor to minimize the burden on the party receiving supportive measures without unreasonably burdening the other party. If a complainant wishes to seek a temporary restraining order or similar judicial order, Caltech will help the complainant with that process.

The imposition of supportive measures is not indicative of a determination of responsibility or any other outcome. These measures may be modified at any time and may be kept in place after a final investigative decision is reached.

All parties are expected to comply with any supportive measures that may be imposed. Failure to comply with supportive measures may be grounds for disciplinary action. A party may be found in violation of the policy for failure to comply with a supportive measure even if they are found not responsible for the underlying report of prohibited conduct.

VI. Emergency Removal

The Title IX coordinator will undertake an individualized safety and risk analysis for the purpose of determining whether the respondent is an immediate threat to the physical health or safety of any student or other individual, arising from the reported prohibited conduct, justifying their removal. The Title IX coordinator may consult with any individuals they consider pertinent and appropriate to making the emergency removal determination. The safety and risks factors that the Title IX coordinator will consider include but are not limited to the nature of the allegations, the alleged number and age of the complainant(s), the power differential between the respondent and complainant(s), whether the respondent is alleged to have used a weapon, violence, drugs, or alcohol to intimidate, harm, or control a complainant, and whether the allegations present a pattern of behavior or otherwise suggest a likelihood of repeated misconduct.

Where the Title IX coordinator has determined that the prohibited conduct is covered under these procedures, the respondent will be provided with notice and an opportunity to challenge the decision immediately following the removal. To challenge a removal decision by the Title IX coordinator, the respondent must submit a written appeal to the associate vice president for human resources. In deciding this challenge, the associate vice president for human resources may consult with any individuals they consider pertinent and appropriate to making the decision. The decision of the associate vice president for human resources is final.

Caltech may place nonstudent employee respondents on administrative leave while a complaint resolution process is pending.

VII. Complainant's Ability to Exercise Options

If the allegations, on their face, present potential violations of the policy, the Title IX coordinator will work with the complainant to determine the most appropriate response under these procedures. The Title IX coor-

dinator will review with the complainant the process for filing a formal complaint as well as the options for responding to and addressing their allegations.

If the complaint includes allegations that may constitute a possible crime, the Title IX coordinator will notify the complainant of their right to file a criminal complaint or to choose not to notify law enforcement.

The Title IX coordinator will make every effort to respect the complainant's choices, concerns and goals as the complainant considers their resolution options.

However, in instances where a complainant requests that their name not be used, that Caltech not pursue any action against the respondent, including an investigation, or that no disciplinary action be taken, Caltech must weigh the request against its obligation, including under applicable law, to take action to provide a safe, nonthreatening environment. The Title IX coordinator will discuss with the complainant the reasons for their requests and attempt to address the underlying concerns such as taking steps to prevent retaliation.

Where the complainant remains committed to the requests mentioned above, the Title IX coordinator will weigh the request against factors that may lead the Title IX coordinator to take action, against the wishes of the complainant, on behalf of Caltech to protect the health and safety of the complainant and the community. The factors considered are within the discretion of the Title IX coordinator and include, but are not limited to, the nature and seriousness of the alleged conduct, whether the allegations are contested, the involvement of multiple respondents, circumstances that suggest there is a significant risk that the respondent will commit further acts of prohibited conduct, whether there was a weapon or violence involved, whether there is evidence of pattern, and the age of a student complainant. Circumstances speaking to a significant risk of further acts of prohibited conduct by the respondent may include whether there have been other reports/complaints of prohibited conduct involving the respondent, the intentional exploitation of a power differential, or the use of alcohol or drugs to induce vulnerability to sexual activity without consent.

Where the Title IX coordinator determines that the safety of the community requires Caltech to take action, they will determine the action to be taken and notify the complainant. The Title IX coordinator will attempt to address the prohibited conduct consistent with the complainant's request(s), to the extent protecting the health and safety of the complainant and the Caltech community allows. Where a complainant declines to participate in any response to the alleged prohibited conduct, Caltech's ability to respond may be limited.

In those instances where the Title IX coordinator determines that Caltech must file a formal complaint despite the request of the complainant, the Title IX coordinator will inform the complainant of Caltech's intention to do so. The complainant is not required to participate in the ensuing process.

All final determinations and decisions taken under this provision, except the complainant's decision to file a criminal complaint or to choose not to notify law enforcement, rest solely with the Title IX coordinator.

VIII. Filing a Formal Complaint

In order to exercise resolution options for addressing and resolving complaints of prohibited conduct covered under these procedures, the complainant must file a formal complaint document with the Title IX coordinator in person or by regular or electronic mail requesting that Caltech initiate the complaint resolution process. The document must contain the complainant's physical or digital signature or otherwise indicate that the complainant is the person filing the formal complaint.

At the time of filing the formal complaint, the complainant must be participating in or attempting to participate in the employment or education program or activity of Caltech, which includes locations, events, or circumstances over which Caltech exercised substantial control over both the respondent and the context in which the alleged prohibited conduct occurs, and also includes any building owned or controlled by a student organization that is officially recognized by Caltech.

Where the Title IX coordinator initiates activity under their own authority to protect the safety of the Caltech community, the formal complaint requirements must still be met.

IX. Consolidation of Formal Complaints

The Title IX coordinator may consolidate formal complaints of allegations covered under these procedures against more than one respondent, or by more than one complainant against one or more respondents, or by one party against the other party, where the allegations arise out of the same facts or circumstances.

X. Notice of Allegations

Upon receiving a formal complaint, the Title IX coordinator must provide written notice to the parties of the following, with sufficient time for the parties to prepare a response before any initial interview:

1. resolution processes set out below;
2. allegations, including sufficient details known at the time, including the identities of the parties involved in the incident, if known, the misconduct alleged, and the date and location of the alleged incident, if known;
3. statement that the respondent is presumed not responsible for the alleged misconduct (i.e., innocent) and that a determination regarding responsibility is made at the conclusion of an investigation process or by an administrative resolution in which the respondent takes responsibility for the alleged misconduct;
4. that the parties may have an adviser of their choice, who may be, but is not required to be, an attorney;
5. that the parties may review and inspect evidence under an investigation process; and
6. that knowingly making false statements or submitting false information is prohibited and may subject the offending party to discipline

XI. Dismissal of a Formal Complaint

Upon receiving a formal complaint, the Title IX coordinator must dismiss the complaint for resolution under these procedures if the conduct alleged is not covered under Title IX, unless the respondent is a student, and, if appropriate, refer it for resolution under other appropriate Caltech policies and procedures, including the Unlawful Harassment Policy and related procedures.

The Title IX coordinator may also dismiss a formal complaint or allegations therein if at any time during a resolution process a complainant notifies the Title IX coordinator in writing that they would like to withdraw their complaint or certain allegations; if the respondent is no longer enrolled or employed at Caltech; or if specific circumstances prevent Caltech from gathering evidence sufficient to reach a determination as to the complaint or certain allegations.

The Title IX coordinator will promptly and simultaneously send written notice to the parties of any dismissal and the reason(s) for the dismissal.

The parties may submit an appeal of any dismissal decision, in writing, to the associate vice president of human resources, within seven (7) calendar days of receiving the dismissal decision.

This appeal of a dismissal of a formal complaint, or of certain allegations therein, is limited to one or more of the following grounds: a procedural irregularity that affected the dismissal decision; new evidence (including a new witness) that was not reasonably available at the time of the dismissal decision that could affect that decision; and the Title IX coordinator, investigator(s), or decision maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual complainant or respondent that affected the dismissal decision.

If a party submits an appeal of a dismissal, the other party will have the opportunity to submit a written response to the appeal within ten (10) calendar days of the filing of the appeal. The parties simultaneously will be informed, in writing, of the outcome of the appeal. The appeal decision letter will state the rationale for the result. Appeal decisions are final.

XII. Resolution Options

The outcomes of each of the three options set out below—the remedy-based resolution, the administrative resolution, and the investigation, subject to any appeal process—are considered final. In other words, once one option has concluded, a party may no longer exercise another option regarding the same alleged conduct. However, a party may elect to raise or pursue another option before the option currently being pursued has concluded.

Under any of the three options, remedies must be designed to restore or preserve equal access to Caltech's education program or activity. They may include actions that qualify as supportive measures, but unlike supportive measures, remedies may include actions that are disciplinary and punitive, and burden the other party.

Any person designated by Caltech to facilitate any of the resolution processes set out below (e.g., Title IX coordinator, investigator, deci-

sion maker, adviser, etc.) may not have a conflict of interest or bias for or against complainants or respondents generally or an individual complainant or respondent. Parties will be provided an opportunity at appropriate junctures in a process to object to a person carrying out a facilitation role in the process for the consideration and decision of the Title IX coordinator. Where an objection is made about the Title IX coordinator, the decision as to their suitability will be made by the associate vice president for human resources.

In addition, any person designated by Caltech to facilitate any of the resolution processes set out below (e.g., Title IX coordinator, investigators, decision maker, administrators who determine sanctions and remedies, administrator hearing an appeal of an outcome of an investigation process) will receive appropriate training.

The Administrative Resolution process and the Remedy-Based Resolution process are available only at the discretion of the Title IX coordinator under circumstances they deem appropriate.

A. Administrative Resolution

The Title IX coordinator, with the agreement of the parties, may offer the opportunity to resolve the complaint by administrative resolution. Administrative resolution (AR) provides an opportunity for the respondent to accept responsibility for their alleged conduct and proceed to a resolution without a formal investigation. Complainants and respondents participating in this process may have an adviser of their choice accompany them when engaging in this resolution process. The adviser may not speak on behalf of the individual they are supporting.

If the AR option is agreed to by a complainant, the Title IX coordinator will meet with the respondent to review the allegations. The Title IX coordinator will provide the respondent with information on the respondent's rights and options under the policy and these procedures. The Title IX coordinator will also provide the respondent with written materials outlining information on campus support resources and services, including their contact information and days and hours of availability.

The Title IX coordinator will offer the respondent the opportunity to resolve the complaint by AR by accepting responsibility for the alleged conduct. If the respondent elects to acknowledge that the alleged conduct occurred and takes responsibility for the alleged conduct, the respondent will sign a written acknowledgement, and the matter will be referred to the appropriate decision maker for a decision concerning sanctions and remedies that may be appropriate.

Generally, for purposes of determining sanctions in connection with an AR, for faculty and staff respondents, the decision maker shall be determined based upon the respondent's affiliation (the vice provost of research or administration for faculty, the assistant vice president for human resources for postdoctoral scholars and campus staff, or the deputy director for Human Resources at JPL for JPL employees). In the case of student respondents, the appropriate dean will serve as the decision maker.

In determining sanctions and remedies, decision makers will consult with the Title IX coordinator and may consult with any other individual they deem appropriate.

The parties will both be notified simultaneously in writing of the resolution, including any sanctions and remedies. Within 10 days of receiving this letter, either party may appeal in writing only on the grounds that the sanction is substantially disproportionate to the acknowledged prohibited conduct. Appeals shall be submitted and resolved by the following administrators based upon the respondent's affiliation: the provost for faculty, the associate vice president for human resources for postdoctoral scholars and campus staff, the vice president of student affairs for students, and the director for human resources at JPL for JPL employees. In assessing appeals, these administrators may consult with any individual they deem appropriate. Appeal decisions are final.

An AR process will be concluded within a reasonably prompt time frame after the complaint has been made, generally 30 calendar days. The Title IX coordinator will keep the parties informed of the status of the process. The Title IX coordinator may delay the process temporarily or extend the time frame for good cause, providing written notice to the parties of any delays or extensions and the reasons therefor. Good cause may include, but is not limited to the absence of a party or a party's adviser; the need for language assistance or accommodation of disabilities; the breadth and scope of the allegations and number of parties; and office closures.

An AR is the final resolution of the allegations contained therein.

B. Remedy-Based Resolution

The remedy-based resolution process is not available to resolve allegations that a Caltech employee has engaged in prohibited conduct under this policy.

A remedy-based resolution (RBR) is a mutual agreement entered into among Caltech and the parties to a formal complaint. Depending on the allegations and circumstances, a respondent agrees to undertake, or all parties agree to undertake, certain social, academic, and/or administrative steps, on a certain timeline, as a means of resolving a complaint of prohibited conduct without an investigation and a finding regarding responsibility or discipline against a respondent. All parties must voluntarily agree to all the terms of the RBR as the complete and final resolution of the Title IX complaint(s). In other words, if an agreement is reached, the complainant cannot subsequently file a formal complaint for an investigation regarding the same alleged conduct, unless a respondent does not fulfill their agreed upon commitments under the RBR as determined by the Title IX Coordinator.

Key aspects of an RBR include that it:

- focuses on non-disciplinary remedies to the concerns underlying the alleged prohibited conduct. For example, under an RBR, a respondent can agree to undertake a counseling and/or education program to address behavioral issues. In an investigation process, a decision maker cannot compel counseling as part of the sanction;
- provides a measure of control to the complainant in crafting measures and remedies undertaken by the respondent, allowing the complainant to focus on remedying specific social, academic, or administrative concerns;

- leaves open to the parties the alternative option of pursuing an investigation at any time during the negotiation process, or if the parties ultimately cannot come to a mutually acceptable agreement or if a party fails to comply with any or all of their commitments under an executed RBR as determined by the Title IX Coordinator;
- provides both parties a final resolution of the complaint, if an agreement is reached; and
- does not involve an adjudication of the allegations and a potential finding of responsibility against the respondent.

In cases in which the Title IX coordinator determines an RBR may be appropriate, the Title IX coordinator will discuss with a complainant potential elements of an RBR pertinent to their concerns and allegations to help them determine whether an RBR is an option they wish to pursue. If all parties to a formal complaint are agreeable to pursuing a resolution through the RBR process, the Title IX coordinator will work with the parties to negotiate and craft the agreement. The Title IX coordinator, with the consent of the parties, may seek the assistance of academic and administrative leadership, as appropriate, to make possible and implement elements of the agreement.

There are certain situations, however, where the Title IX coordinator may determine that the parties' ability to discuss and reach a resolution of the concerns requires intervention and facilitation by a third-party mediator outside the Caltech community. If the parties agree to work with a mediator, the Title IX coordinator will make the arrangements. The decision to use a third-party mediator is within the sole discretion of the Title IX coordinator.

Potential solutions that can be elements of an Remedy-Based Resolution (RBR) include, but are not limited to, counseling or substance abuse treatment for a respondent; training for a respondent provided by the Title IX coordinator and/or other resources; and other supportive measures, as described above.

An RBR process culminating in a signed agreement will be concluded within a reasonably prompt time frame after the complaint has been made, generally 30 calendar days. The Title IX coordinator will keep the parties informed of the status of the process. The Title IX coordinator may delay the process temporarily or extend the time frame for good cause, providing written notice to the parties of any delays or extensions and the reasons therefor. Good cause may include, but is not limited to the absence of a party or a party's adviser; the need for language assistance or accommodation of disabilities; the number of parties; and office closures.

If the process does not result in a resolution within a reasonable amount of time, the Title IX coordinator will terminate the process, and the parties may pursue the other resolution options.

A remedy-based resolution is the final resolution of the allegations it addresses, unless a party fails to carry out their commitments under the agreement, as determined by the Title IX coordinator,

C. Facilitation of Administrative Resolution or Remedy-Based Resolution During Investigation Process

At any time following the filing of a formal complaint, including during an investigation process, prior to reaching a determination regarding responsibility, the Title IX coordinator may facilitate an administrative resolution (AR) or a remedy-based resolution (RBR) if determined to be appropriate, provided that the Title IX coordinator:

1. Provides to the parties written notice disclosing the allegations, the requirements, and consequences of the AR or RBR process, including that: (a) completing either resolution precludes the parties from initiating or resuming a formal complaint arising from the same allegations; (b) at any time prior to completing the AR or RBR process, either party has the right to withdraw and initiate or resume the investigation process; and (c) notice of records that will be maintained or could be shared and with whom.
2. Obtains the parties' voluntary written consent to the AR or RBR process.

D. Investigation Process

1. Introduction

This option provides both parties with an investigation and adjudication of the allegations. If the decision maker determines that the allegations are substantiated by a preponderance of the evidence, they will make a formal finding that a respondent has violated the Sex- and Gender-Based Misconduct Policy and impose sanctions and remedies. The decisions made by the decision maker, subject to the resolution of any appeal, represent the final resolution of the formal complaint, whether or not a respondent is found responsible.

Caltech's investigation will occur independently from any legal/criminal proceedings that may take place. Caltech may defer fact gathering for an appropriate time during a criminal investigation.

The Title IX coordinator will assign appropriate investigator(s) to carry out the investigation. The investigator(s) must be impartial and free of any conflict of interest. Generally, for complaints involving students, staff, or faculty, the Title IX coordinator will refer the investigation to the lead investigator and appropriate deputy Title IX coordinator. The Title IX coordinator may appoint different investigator(s).

All participants in an investigation will receive a fair and impartial process and be treated with dignity, care, and respect. Caltech's policy and investigation procedures are intended to ensure that individuals reported for prohibited conduct are not prejudged and are provided with adequate notice and an opportunity to be heard regarding the allegations made against them. Respondents are presumed not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the investigation process.

The purpose of the investigation is to determine the facts relating to the complaint, and decisions are based on an objective evaluation of all relevant evidence, including both inculpatory and exculpatory evidence.

Evidence may include statements from the parties and witnesses; documents relating to the complaint, such as texts, photographs, and emails; and physical evidence, such as clothing, rape kit evidence, and weapons. Consistent with federal and state law, the investigators will not ask questions or seek evidence of a complainant's prior sexual conduct with anyone other than the respondent, except to the extent such questions and/or evidence are used to determine whether someone other than the respondent committed the conduct alleged by the complainant. Furthermore, evidence of a prior consensual sexual, romantic, or intimate relationship between the complainant and respondent does not by itself imply consent or preclude a finding of prohibited conduct. Credibility determinations may not be based on a person's status as a complainant, respondent, or witness. The investigation will not require, allow, rely upon, or use questions or evidence that constitute or seek the disclosure of information protected under a legally recognized privilege (e.g., attorney-client, doctor-patient, clergy-penitent), unless the person holding such privilege has waived the privilege. The investigator(s) will investigate any allegations that alcohol or drugs were involved in the incident, and the amnesty provision below will apply.

The investigation will be treated as private to the extent possible. Caltech administrators will be informed on a need-to-know basis. Caltech will make reasonable and appropriate efforts to preserve the privacy of the parties and witnesses, and protect the confidentiality of information. With the exception of the hearing portion of the investigation process, as set out below, no meetings or conversations that take place as part of the investigation process may be recorded by anyone. Investigation files, including the recording of the hearing, will be maintained by the Equity and Title IX Office.

Caltech does not tolerate retaliation and will take steps to prevent retaliation and strong responsive action if it occurs. All participants, including complainants, respondents, and witnesses, are protected against retaliation and will be advised to notify Caltech immediately if retaliation occurs.

Complaints will be investigated and resolved within a reasonably prompt time frame after the complaint has been made, generally 120 calendar days. The Title IX coordinator will keep the parties informed of the status of the investigation. The Title IX coordinator may delay the investigation process temporarily or extend the time frame for good cause, providing written notice to the parties of any delays or extensions and the reasons therefor. Good cause may include, but is not limited to the absence of a party, a party's adviser, or a witness; concurrent law enforcement activity; the need for language assistance or accommodation of disabilities; the breadth and scope of the allegations, in terms of content and date, the number of potential witnesses, the amount of available, relevant documentary evidence, the need to conduct a thorough, fair and accurate investigation; and office closures.

2. Amnesty Concerning Student Policy Violations: Complainants and Witnesses

A student who participates as a complainant or witness in an investigation of sexual assault, dating violence, domestic violence, or stalking will not be subject to disciplinary sanctions for a violation of Caltech's

student conduct policies at or near the time of the incident, including but not limited to the Substance Abuse Policy, unless Caltech determines that the violation was egregious, including but not limited to an action that places the health or safety of any other person at risk or involves conduct that violates Caltech's policies prohibiting discrimination, or other serious misconduct like plagiarism, cheating, research misconduct, or other forms of academic dishonesty.

3. Standard of Evidence

All recommendations and decisions made in the course of this investigation process will utilize the preponderance of evidence standard. A preponderance of evidence means that it is more likely than not that the incident occurred. Stated another way, it means that the likelihood the incident occurred is any amount over 50%. The investigator(s) will make recommendations as to whether the evidence shows it is more likely than not a disputed fact occurred. The decision maker will make a final decision on the disputed facts and also decide whether the evidence makes it more likely than not that the alleged prohibited conduct occurred. When the investigator(s) and decision maker are presented with two different but plausible versions of an incident, credibility determinations may affect the outcome.

4. Identity of the Decision Maker

The Title IX coordinator shall have the discretion to determine which appropriately trained individual will serve as the decision maker in the investigation process. The parties will be notified of the identity of the decision maker before the hearing as well as the process for objecting to the identity of the decision maker.

5. Determination of Sanctions

At the conclusion of the investigation process, if there is a finding of responsibility, the appropriate administrator will determine the appropriate sanctions and remedies.

Generally, for faculty and staff respondents, the administrator who determines the sanctions and remedies shall be determined based upon the respondent's affiliation (the vice provost for research or administration for faculty, the assistant vice president for human resources for postdoctoral scholars and campus staff, the deputy director for human resources at JPL for JPL employees, and the appropriate dean for student respondents).

In determining sanctions and remedies, administrators will consult with the Title IX coordinator and may consult with any other individual they deem appropriate.

6. Procedural Steps for Investigation

- a. The Title IX coordinator initiates the investigation process with a notification sent to both parties. This initial notification will identify the assigned investigator(s) and will notify the parties of their right to and process for objecting to either of the investigator(s) or to the Title IX coordinator.

The complainant and respondent may have an adviser of their choice accompany them to any meetings at any point in the investigatory process. However, the Caltech investigation process is not a legal proceeding and the adviser may not speak on behalf of the individual they are accompanying (other than at the hearing as described below). Caltech will not assume the responsibility of communicating information to advisers, except as otherwise indicated below. Advisers are required to sign Caltech's Adviser Policy and Confidentiality Agreement setting forth the parameters of their role.

b. The Title IX coordinator or associate vice president of human resources, as appropriate, will consider any objections by the parties and determine the Title IX coordinator and investigator(s) for the process.

c. After a reasonable amount of time to review the notice of allegations and applicable policies and procedures, the parties will be given equal opportunity to meet with the investigator(s). In those meetings, the investigator(s) will gather evidence about the allegations, including any documents or physical evidence.

d. Throughout the process, the parties may suggest witnesses and documents to the investigator(s) as well as questions for the investigator(s) to ask the other party and any witnesses. The investigator(s) will determine whether the suggestions are relevant and appropriate. Caltech asks the parties to keep the investigation private but cannot and will not prohibit the parties from discussing the investigation with others in connection with identifying evidence for the investigator(s) to gather. The parties may not, however, engage in coercion, pressure, undue influence, or retaliation with respect to potential witnesses in the course of identifying evidence for the investigator(s). The parties may seek guidance from the Title IX coordinator and the investigator(s) on avoiding these concerns.

e. The investigator(s) will interview relevant witnesses and gather other evidence related to the allegations, if any. Witnesses may also submit documents or written statements to the investigator(s), to supplement their face-to-face or video interviews.

f. In addition to providing information orally during meetings with the investigator(s), the parties may submit written statements and evidence to the investigator(s) that document their experiences. Written statements, however, do not wholly supplant live face-to-face or video interviews with the investigator(s). Live face-to-face or video meetings and questioning are important to enable the investigators to conduct a fair, thorough, and efficient investigation and to weigh the credibility of those providing evidence in order to resolve disputed facts. While Caltech cannot compel either party, or any witness, to meet with the investigator(s), appropriate due process may require Caltech to discount any written statements, and even

information provided orally, that cannot be inquired about in a face-to-face or video meeting.

g. The complainant and respondent will be given equal opportunity to review and respond to an evidence report, which includes all the information and evidence gathered by the investigator(s). The evidence will also be provided to the parties' advisers. All those receiving access to the information will be required to sign a non-disclosure agreement to protect the confidentiality of the material. The non-disclosure agreement will not prohibit the parties from discussing the investigation with others in connection with identifying evidence for the investigator(s) to gather. Failure to comply with the nondisclosure agreement on the part of a party or their adviser may subject the appropriate party to discipline. The parties will have at least ten (10) days to submit a written response to the evidence. The investigators will determine whether the parties' responses require any follow-up investigatory action or an opportunity for the other party to respond.

h. The investigator(s) will prepare a draft report concerning facts disputed by the parties. The parties and their advisers will have the opportunity to review, and the parties will have the opportunity to respond, to the draft report and all the information and evidence gathered by the investigator(s). The investigators will determine whether the parties' responses require any follow-up investigatory action or an opportunity for the other party to respond.

i. The investigator(s) will finalize the investigation report and make recommended findings regarding the disputed facts for each allegation and provide supporting analysis. This finalized investigation report will be provided to the parties and their advisers, and the decision maker at least ten (10) days before the hearing.

j. Prior to the hearing, the parties will be notified of the identity of the decision maker and will be given an opportunity to object to that individual on the basis of a conflict of interest or bias.

k. The decision maker and the lead investigator will conduct a hearing, in order to meet face-to-face or via video, separately, with the parties, and others whom the decision maker deems appropriate, prior to deciding how to resolve the disputed facts and whether the allegations are substantiated by the evidence.

l. The hearing will be conducted with the appropriate technology to allow the parties to virtually observe each other's meeting, and any witness meetings, with the decision maker while maintaining their physical separation.

m. All of the evidence that was made available previously for the parties' inspection and review will be made available at the hearing to give each party equal opportunity to refer to such evidence

during the hearing.

n. Before and during the hearing, the parties may suggest questions for the lead investigator and decision maker to ask the other party and any witnesses with whom the decision maker is meeting (indirect cross-examination). The parties can submit questions during the hearing through the appropriate technology while maintaining their physical separation. The lead investigator will facilitate the questioning. The decision maker will have the discretion to exclude any question(s) that they determine inappropriate.

o. In addition, consistent with guidance issued by the Department of Education Office of Civil Rights, the following procedural steps in this paragraph (o) apply only at hearings adjudicating allegations of prohibited conduct occurring, in whole or in part, on or after August 14, 2020: (i) each party's adviser (but not the parties themselves) may directly and orally ask the other party and any witnesses all relevant questions and follow-up questions, including those challenging credibility (direct cross-examination); (ii) before a party or witness answers an adviser's direct question, the decision maker must first determine whether the question is relevant and explain any decision to exclude a question as not relevant or otherwise inappropriate; and (iii) for the purpose of the hearing only, if a party does not have an adviser, Caltech will provide without fee or charge to that party an adviser of Caltech's choice who may be, but is not required to be, an attorney, to conduct direct cross-examination on behalf of that party.

p. Caltech cannot compel either party, or any witness, to meet with the decision maker at the hearing. However, if a party or witness does not attend the hearing, or refuses to answer relevant questions (as determined by the decision maker) and/or, when required, refuses to submit to direct cross-examination at the hearing, the decision maker will not rely on any statement of that party or witness in reaching a determination regarding the respondent's responsibility. The decision maker cannot draw an inference about the determination regarding responsibility based solely on a party's or witness's absence from the hearing or refusal to answer direct cross-examination or other questions. The decision maker may re-evaluate the relevance of any question a party or witness refuses to answer after the hearing has concluded.

q. At the hearing, questions and evidence about the complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the complainant's prior sexual behavior are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or if the questions and evidence concern specific incidents of the complainant's prior sexual behavior with respect to the respondent and are offered to prove consent.

r. Caltech will create an audio or audio-visual recording, or

transcript, of the hearing and make it available to the parties upon request for their inspection and review. No party, adviser, or witness is permitted to make independent recordings of the hearing.

s. The decision maker will resolve the disputed facts and decide whether the allegations are substantiated by the evidence. In making these decisions, the decision maker will consider the final investigation report, the parties' responses to the final investigation report, the information gathered in the hearing, and the decision maker's credibility assessments of those interviewed at the hearing, as appropriate. The potential conclusions the decision maker can reach include but are not limited to: a violation of Caltech's Sex- and Gender-Based Misconduct Policy occurred; inappropriate behavior but no violation occurred; the complaint was not supported by the evidence; the complaint was brought without a reasonable good-faith basis.

After making these decisions, the decision maker will meet with the administrator who will determine the sanctions and remedies in order to brief them on the process and factual findings and conclusions. That administrator will determine any sanctions and remedies, if appropriate. The administrator who will determine any sanctions and remedies shall be determined based upon the respondent's affiliation (the vice provost of research or administration for faculty, the assistant vice president for human resources for postdoctoral scholars and campus staff, the appropriate dean for students, and the deputy director for human resources at JPL for JPL employees). In determining sanctions and remedies, decision makers will consult with the Title IX coordinator and may consult with any other individual they deem appropriate.

The decision maker will notify the parties simultaneously of all of these determinations in writing. The letter will include:

- identification of the allegations;
- a description of the procedural steps taken from the receipt of the formal complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;
- findings of fact supporting the determination;
- conclusions regarding the application of the Sex- and Gender-Based Misconduct policy and any other applicable Caltech policy to the facts;
- a statement, and rationale for, the result as to each allegation, including a determination regarding responsibility and any sanctions and remedies; and
- procedures and permissible bases for the complainant and respondent to appeal.

t. The determinations regarding responsibility and sanctions and remedies become final either on the date that the parties are provided the result of any appeal, or if an appeal is not filed, the

date on which an appeal would no longer be considered timely.

u. The Title IX coordinator will be informed of the outcome of the investigation and any appeal in order to carry out their responsibilities to consult on and coordinate implementation of any sanction and remedies, monitor outcomes, identify and address areas of needed education and training presented by the case, and assess and address effects on the campus climate.

v. Exceptions to or modification of these procedures can be made at any time by the Title IX coordinator, provost, dean or associate deans, associate vice president for human resources, or director for human resources at JPL in order to ensure these procedures promote fairness to both parties and compliance with the law.

7. Potential Sanctions and Remedies

If a violation of Caltech's Sex- and Gender-Based Misconduct Policy has occurred, appropriate sanctions and remedies will be imposed. The appropriate administrator may impose any one or more of the sanctions and remedies listed below:

Sanctions

- Verbal warning;
- Training;
- Mandatory coaching;
- Mandatory substance abuse treatment;
- A formal written warning placed in the respondent's file;
- Exclusion from participation in certain activities for a specified period of time;
- Temporary or permanent exclusion from campus;
- Suspension of the right to accept new graduate students or postdoctoral scholars;
- Transfer of advisees;
- Removal from positions of administrative responsibility;
- Suspension from positions requiring supervision or interaction with students or other members of the Caltech community;
- Restricted access to Caltech premises;
- Restricted access to Caltech's educational programs or activities;
- Removal from Caltech housing;
- Removal from a supervisory position;
- Involuntary leave of absence/suspension;
- Expulsion;
- Termination of employment;
- Permanent separation from the Institute;
- Revocation of admission;
- Delay or revocation of degree.

Remedies

- Access to counseling services and assistance in setting up initial appointment, both on and off campus;
- Imposition of “No Contact Letter;”
- Rescheduling of exams and assignments (in conjunction with appropriate faculty and deans as necessary);
- Providing alternative course completion options (with the agreement of the appropriate faculty);
- Change in class schedule, including the ability to take an “incomplete,” drop a course without penalty, or transfer sections (with the agreement of the appropriate faculty);
- Change in work schedule or job assignment;
- Change in on-campus housing, when feasible;
- Arranging to dissolve a housing contract and prorating a refund in accordance with campus housing policies;
- Assistance from Caltech support staff in completing housing relocation;
- Limiting an individual or organization’s access to certain Caltech facilities or activities pending resolution of the matter;
- Voluntary leave of absence;
- Providing an escort to ensure safe movement between classes and activities;
- Providing medical services;
- Providing academic support services, such as tutoring;
- Any other remedy that can be tailored to the involved individuals to reasonably achieve the goals of this policy.

If the respondent was found not to have violated Caltech’s Sex- and Gender-Based Misconduct Policy, but the investigation concluded that they committed some other wrongful or improper act, appropriate corrective action will be taken. Effective corrective action may also require remedies for a complainant and/or the broader Caltech community. Caltech will take appropriate measures to prevent the reoccurrence of any prohibited conduct, and to correct any discriminatory or retaliatory effects, as appropriate.

8. *Disclosure of Outcomes*

Outcomes of disciplinary proceedings may be disclosed consistent with applicable law, including FERPA, Title IX, and the Clery Act. Upon request, Caltech will disclose the outcomes of a disciplinary proceeding against a student who is the alleged perpetrator of any crime of sexual violence to the alleged victim.

Outcomes of the investigation process will be disclosed on a need-to-know basis, as determined by the Title IX coordinator, in order to effect sanctions and/or other remedies.

9. *Appeal*

Appeals may be submitted by either party. They must be in writing and submitted within ten (10) calendar days of notification of the decision to the appropriate administrator (the provost for faculty, the associate vice president for human resources for postdoctoral scholars and campus

staff, the vice president of student affairs for students, or, the director for human resources at JPL for JPL employee respondents). In assessing appeals, these administrators may consult with any individual they deem appropriate. The recipient of the appeal will notify the other party in writing when an appeal is filed.

Appeals of decisions resulting from the investigation process are limited to one or more of the following grounds: a procedural irregularity that affected the outcome of the matter; new evidence (including a new witness) that was not reasonably available at the time the determination regarding responsibility was made that could affect the outcome of the matter; the Title IX coordinator, investigator(s), decision maker(s), or administrator who determined and imposed any sanctions or remedies had a conflict of interest or bias for or against complainants or respondents generally or the individual complainant or respondent that affected the outcome of the matter; the sanctions or remedies are substantially disproportionate to the conduct for which the respondent was found responsible.

If a party submits an appeal, the other party will have the opportunity to submit a written response to the appeal within ten (10) calendar days of the filing of the appeal. The parties simultaneously will be informed, in writing, of the outcome of the appeal. The appeal decision letter will state the rationale for the result. Appeal decisions are final.

XIII. Further Complaints

If the corrective action does not end the prohibited conduct, the complainant should immediately notify the Title IX coordinator, or a deputy Title IX coordinator, the provost or a division chair, dean or associate dean, EOD director; or at JPL, the section manager, talent management. In such cases, the complainant has the right to file another formal complaint based on new prohibited conduct.

Related Policies and Procedures:

- Sex- and Gender-Based Misconduct
- Nondiscrimination and Equal Employment Opportunity
- Unlawful Harassment
- Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation
- Violence Prevention

SUBSTANCE ABUSE

1.0 Policy

Caltech is committed to providing a safe, healthy, and productive work and academic environment for all its faculty, staff, postdoctoral scholars and students. Consistent with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendments of 1989, it is Caltech's policy to maintain a work and academic environment free from drug and alcohol abuse. Faculty, staff, postdoctoral scholars, and students are required to comply with this policy and the related guidelines provided by the academic divisions and student organizations.

2.1 Prohibited Conduct

The unlawful use, manufacture, distribution, cultivation, dispensation, possession, sale, or purchase of or offer to sell or purchase controlled substances* or alcohol on the Caltech campus or its off-site locations, including the Jet Propulsion Laboratory (“JPL”), or as any part of its activities, is prohibited. Controlled substances include, but are not limited to, marijuana, heroin, cocaine, LSD, and amphetamines. Despite recent changes to California law, marijuana still is a controlled substance under federal law, and therefore the use, manufacture, distribution, cultivation, dispensation, possession, sale, purchase of or offer to sell or purchase marijuana on the Caltech campus or its off-site locations, including JPL, or as any part of its activities, continues to be prohibited. The recreational use of nitrous oxide is also prohibited under this policy.

In addition, every employee is prohibited from being under the influence of controlled substances, alcohol, or any substance that may impair the employee’s ability to perform their job duties safely or productively, or that may otherwise impair their senses, coordination, or judgment while on duty. Any employee reporting to work (or otherwise at work) under the influence of, or having present in their body, any prescribed drug, alcohol, or other substances or medication that may adversely affect the employee’s ability to work in a safe, productive, or efficient manner, must advise their supervisor. Caltech may require an employee to submit to drug and alcohol testing consistent with Caltech policy and applicable federal and state law. Testing procedures that apply to JPL employees are available on the JPL Human Resources website.

2.2 Requirements for Employees and Students

As a condition of continued enrollment, every student is required to comply with this policy. As a condition of employment, all Caltech employees (this includes faculty, staff, postdoctoral scholars, and student employees), regardless of their location, are required to comply with this policy. A Caltech employee who violates this policy will be subject to disciplinary action up to and including termination of employment. A violation of this policy is likely to result in termination, even for a first offense. Similarly, all students, not just student employees, should understand that disciplinary action including involuntary leave or expulsion from Caltech may be invoked for violation of this policy and that intoxication is never an excuse for misconduct. Caltech may contact a student’s parents when a student under 21 violates this policy. If a student’s behavior with respect to alcohol and drugs presents a danger to themselves or others, Caltech may inform the parents. In addition, pursuant to federal law, a student’s eligibility for federal financial aid may be suspended if the student is convicted, under federal or state law, of any offense involving the possession or sale of illegal drugs.

A faculty, staff, postdoctoral scholar, or student who is convicted (including a plea of *nolo contendere* [no contest]) of a criminal drug statute violation occurring in the workplace or on Caltech property must notify Caltech in writing within five (5) calendar days after the conviction. Campus employees should inform the executive director of human resources, and students should inform their dean. JPL employees should inform the manager of employee relations.

2.3 Third Party Requirements

Persons who are not employees of Caltech but who perform work at Caltech for its benefit (such as contractors and their employees, temporary employees provided by agencies, visitors engaged in joint projects at Caltech, etc.), are required to comply with this policy. Violation of this policy is likely to result in being barred from the workplace even for a first offense.

3.0 Health Risks

The use of any mind- or mood-altering substance, including alcohol, can lead to psychological dependence, which is defined as a need or craving for the substance and feelings of restlessness, tension, or anxiety when the substance is not used. In addition, with many substances, use can lead to physical tolerance, characterized by the need for increasing amounts of the substance to achieve the same effect, and/or physical dependence, characterized by the onset of unpleasant or painful physiological symptoms when the substance is no longer being used. As tolerance and psychological or physical dependence develop, judgment becomes impaired, and the individual often does not realize they are losing control over the use of the substance and that they need help.

It is impossible to predict accurately how an individual will react to a specific drug or to alcohol because effects vary depending on the person, environmental variables, the dosage and potency of the substance, the method of taking the substance, the frequency of use, and whether the substance is taken in conjunction with other substances. Illegal drugs have particularly unpredictable effects due to variability in dosage and purity. Further, the overall potency of street drugs has increased dramatically over the past two decades, making users increasingly susceptible to negative effects.

Alcohol acts as a depressant to the central nervous system and can cause serious short- and long-term damage. Short-term effects include nausea, vomiting, and ulcers; more chronic abuse can lead to brain, liver, kidney, and heart damage, and even to eventual death. Ingesting a large amount of alcohol at one time can lead to alcohol poisoning, coma, and death. Drugs such as LSD, amphetamines, marijuana, and alcohol alter emotion, cognition, perception, physiology, and behavior in a variety of ways. Health risks include but are not limited to depression, apathy, hallucinations, paranoia, and impaired judgment, and all substances have an adverse effect on pregnancy and the fetus. When two or more substances are combined, the effect is often stronger than their additive sum.

4.0 Local, State, and Federal Legal Sanctions

Local, state, and federal laws establish severe penalties for violations of drug and alcohol statutes. These sanctions, upon conviction, may range from a fine to life imprisonment. In the case of possession and distribution of illegal drugs, these sanctions could include the seizure and summary forfeiture of property, including vehicles. It is especially important to know that federal laws have established penalties for illegally distributing drugs to include life imprisonment and fines of up to \$10,000,000.

4.1 Examples

- Unlawful possession of a narcotic drug is punishable by imprisonment in the state prison.
- The purchase, possession, or consumption of any alcoholic beverages (including beer and wine) by any person under the age of 21 is prohibited. It is illegal to provide alcohol to a person under the age of 21.
- Serving alcohol to an intoxicated person is prohibited.
- Selling any alcoholic beverages, except under the authority of a California Alcoholic Beverage Control License, is prohibited.
- It is a felony to induce another person to take various drugs and “intoxicating agents” with the intent of enabling oneself or the drugged person to commit a felony. The person who induced the other may be regarded as a principal in any crime committed.
- Any person found in a public place to be under the influence of an intoxicating liquor or drug and unable to care for their own safety, or who is interfering with the use of a public way, is guilty of disorderly conduct, which is a misdemeanor.
- It is illegal for a person to possess nitrous oxide (e.g. whippets) with the intent to inhale it for purpose of altering their mood or mental functioning.

5.0 Resources for Staff, Faculty, Postdoctoral Scholars and Students

Caltech recognizes drug and alcohol abuse and dependency as treatable conditions and offers faculty, staff, postdoctoral scholars, and students support programs for individuals with substance use problems. Faculty, staff, and postdoctoral scholars are encouraged to seek assistance for drug- and alcohol-related problems through the Caltech Staff and Faculty Consultation Center (SFCC) at campus and the Employee Assistance Program (EAP) at JPL. Individuals can contact the SFCC by calling (626) 395-8360, and the EAP by calling (800) 367-7474. Students are encouraged to seek assistance from the Student Wellness Services (SWS) at (626) 395-8331. In addition, faculty, staff, postdoctoral scholars, and students can seek confidential referral information through the Center for Diversity at (626) 395-3221.

The staff of the SFCC, the EAP, and the SWS will help employees and students to identify appropriate treatment resources and will refer them to counseling, treatment, or rehabilitation programs, as appropriate. Health insurance plans provide varying amounts of coverage for substance-abuse programs to address substance abuse and rehabilitation. Individuals may contact their health providers or Caltech Human Resources Benefits office at campus at (626) 395-6443, or JPL at (818) 354-4447, for plan details. Information obtained regarding a faculty, staff, postdoctoral scholar, or student during voluntary participation in services at the SFCC, EAP, SWS, or any related program will be treated as strictly confidential, and no information, including whether or not an individual is receiving services, will be shared with third parties, except by written consent or as required by law.

6.0 Drug and Alcohol Awareness Program

Caltech has established and will maintain a drug and alcohol awareness program to educate faculty, staff, postdoctoral scholars, and students about:

1. Caltech's substance abuse policy;
2. the dangers of drugs and alcohol in a work and academic environment; faculty, staff, postdoctoral scholar, and student assistance programs; and
3. disciplinary action that may be imposed on faculty, staff, postdoctoral scholars, and students for violations of this policy.

Caltech will distribute to all faculty, staff, postdoctoral scholars, and students a copy of this policy on an annual basis.

7.0 Supervisor's Responsibilities

If an employee is suspected of violating this policy, the employee's supervisor should consult with the director of employee and organizational development (EOD) at campus or the Employee Relations Department of the Human Resources Directorate at JPL regarding appropriate actions, which may include an investigation and discipline up to and including termination of employment. If a supervisor believes an employee's behavior raises safety concerns for the employee or others, the supervisor must take immediate action, including calling EOD on campus or the Employee Relations Department of the Human Resources Directorate at JPL, to assess and address the situation and to remove the employee from the worksite if necessary.

8.0 Caltech Sanctions

Caltech will impose sanctions for violations of or failure to comply with the requirements of this policy. These sanctions will be consistently enforced, and penalties will depend on the severity of the offenses. Penalties may include employment termination and student expulsion from Caltech, and referral to law enforcement for the most serious violations of the law and this policy (e.g. the manufacture or distribution of banned substances). Disciplinary action may be invoked entirely apart

from any civil or criminal penalties that the faculty, staff, postdoctoral scholars, and students might incur.

UNLAWFUL HARASSMENT

1.0 Policy

It is the policy of Caltech to provide a work and academic environment free of unlawful harassment (“harassment”). Harassment is a form of misconduct that includes unwelcome physical, verbal or nonverbal conduct that results in a person feeling intimidated, threatened, humiliated, or demeaned, and is likely to interfere with an individual’s work or education, or adversely affects an individual’s living conditions.

Harassment in any form, based on any of the following protected characteristics and protected activities (“protected characteristics”), is unlawful and is strictly prohibited at all times, as are all forms of prohibited conduct set forth in the Sex- and Gender-Based Misconduct Policy, including sexual and gender-based harassment and sexual misconduct:

- Race (includes hair texture and protective hairstyle)
- Color
- Religion (includes religious dress and grooming practices)
- Sex/gender (includes pregnancy, childbirth, breastfeeding, and/or related medical conditions)
- Gender identity and gender expression
- Sexual orientation
- Marital status
- Medical condition (genetic characteristics, cancer, or a record or history of cancer)
- Military or veteran status
- National origin (includes language use and possession of a driver’s license issued to persons unable to prove that their presence in the United States is authorized under federal law)
- Ancestry
- Disability (mental and physical, including HIV/AIDS, cancer, and genetic characteristics)
- Genetic information
- Request for family care leave
- Request for leave for a serious health condition
- Request for pregnancy disability leave
- Domestic violence victim status
- Age (over 40)
- Criminal background (Fair Chance Act)
- Any other factor protected by federal, state, or local law
- Association with an individual who is in one of the foregoing protected characteristics

Harassment in the employment environment may include, but is not limited to, these examples:

- Verbal, physical, and visual conduct that creates an intimidating, offensive, or hostile working environment, or that interferes with work performance, including conduct that denigrates or shows

hostility or aversion toward an individual because of any protected characteristic

- Verbal statements, such as slurs, offensive jokes, insults, epithets, name calling, or teasing
- Visual or graphic images, such as offensive and/or sexually oriented posters, photographs, symbols, cartoons, drawings, computer displays, e-mails, text messages, objects, or digital and social media activity, including blogs, forums, chat rooms, social networking sites, and other social media applications
- Physical conduct, including touching, physical assaults or threats, blocking someone's path or normal movement, gestures, and leering
- Other forms of intimidation, ridicule or mockery, insults or put-downs
- Interference with work performance
- Unwanted sexual advances, invitations, or comments•Threats and demands to submit to sexual requests as a condition of continued employment or to avoid loss of employment benefits
- Offers of employment benefits in return for sexual favors
- Conversation about one's own or someone else's sex life, sex, gender, sexual orientation, gender nonconformity, and/or gender identity
- Inappropriate conduct or comments consistently targeted at only one gender, race, or another protected characteristic

Harassment in the educational setting also includes harassment based on protected characteristics that is contrary to the pursuit of inquiry and education. The following are examples of behaviors that may constitute harassment in the educational setting:

- An adviser tells a minority student not to take a certain course because the adviser says that other minority students have had difficulty in the course
- A disabled individual is not included in an off-site outing because of lack of mobility
- A faculty member assigns only menial tasks to a minority student worker while assigning more complex tasks to a Caucasian student worker who is at the same educational level.
- A student tells racially offensive jokes within a study group session with other students
- An individual is ostracized from group activities because of their national origin
- A student posts racist jokes to a house email list

Complaints concerning sex and gender-based discrimination and harassment and sexual misconduct are governed by the Sex- and Gender-Based Misconduct Policy.

Caltech is committed to educating the community in ways to prevent harassment. Caltech requires all employees, including those responsible for directing or supervising other Caltech employees or evaluating the work of students, to regularly participate in training regarding harassment, and the prevention of harassment and other abusive conduct, consistent with federal and state legal requirements.

2.0 Scope

This policy applies to all members of the Caltech community, including at JPL (students, faculty, supervisory and nonsupervisory employees, postdoctoral scholars, volunteers, interns, vendors, contractors, persons performing services under contract with Caltech, visitors, and any other individuals regularly or temporarily employed, studying, living, visiting, or otherwise participating in Caltech's employment and education programs and activities). This policy applies to conduct occurring on Institute-controlled property, at Institute-sponsored events and in Institute employment and education programs and activities regardless of location.

3.0 Reporting Complaints and Concerns

Caltech's ability to remedy harassment and maintain a harassment-free environment is limited if incidents are not reported. Anyone who witnesses, experiences, or is otherwise aware of conduct that they believe to be in violation of this policy, including retaliation, is urged to immediately report it, or to request any assistance and guidance, from the Equity and Title IX Office or one of the Equal Employment Opportunity coordinators listed below, at campus, or the Employee Relations Group at JPL. Reports may be made at any time. A delay should not discourage anyone from reporting harassment. Delayed reporting is better than no reporting. Reports may be made in writing or orally.

Members of the Caltech community are encouraged to err on the side of reporting any conduct they think may be harassment covered under this policy, regardless of where the incident occurred or who committed it. Even if Caltech does not have jurisdiction over the incident or the perpetrator, Caltech will take reasonable action to remedy the effects of the harassment on the Caltech community and prevent any reoccurrence of the behavior.

Any employee in a supervisory role, including faculty, must promptly report all alleged harassment, discrimination, gender-based misconduct, and retaliation, regardless of its alleged severity or frequency, to the Equity and Title IX Office at campus or Human Resources at JPL, which will provide guidance and advice. In addition, other employees qualifying as responsible employees under the Sex- and Gender-Based Misconduct Policy, Section II, 6.2, must promptly report any instance of prohibited conduct, as defined in Section III, 13.0, to the Equity and Title IX Office or the Deputy Title IX coordinator for JPL, as appropriate.

If a member of the Caltech community would like support and guidance in filing a complaint, they may contact one of the Equal Employment Opportunity coordinators, the assistant vice president for equity and equity investigations in the Equity and Title IX Office, JPL's manager of employee relations, or the JPL section manager of talent management or Human Resources Business Partners at JPL.

4.0 Anonymous Reporting

Caltech provides the following resources for anonymous reporting:

Campus Hotline	(626) 395-8787 or (888) 395-8787
JPL Ethics Hotline	(818) 354-9999
JPL Protective Services Division's Workplace Violence Hotline	(818) 393-2851
For either Campus or JPL by submitting a compliance Hotline Contact Form	

If the reporting party wants to remain anonymous, they should not share any personally identifying information. If the reporting party does share such information, the Equity and Title IX Office will contact the reporting party with information about support resources and reporting options. If an investigation is pursued, the reporting party who identified themselves will be notified.

5.0 Contacting Outside Agencies

In addition, employees who believe they have been unlawfully harassed on the basis of a protected characteristic have the right to file a complaint with the federal Equal Employment Opportunity Commission or the California Department of Fair Employment and Housing, which have the authority to remedy violations. Employees, students, and others participating in Caltech's educational programs and activities may file complaints with the U.S. Department of Education Office for Civil Rights (415) 486-5555, ocr.sanfrancisco@ed.gov or (800) 421-3481 or OCR@ed.gov. Complaints may also be directed to the Bureau for Private Postsecondary Education at bppe.ca.gov.

6.0 Investigation of Complaints

Caltech will conduct an appropriate, timely, and thorough investigation into complaints within the scope of this policy to determine what occurred and take reasonable steps to remedy the effects of any harassment and prevent recurrence of the behavior. Caltech provides all parties with appropriate due process and reaches appropriate conclusions based on the evidence collected. Caltech takes appropriate action, including disciplinary measures, when warranted.

7.0 Prohibition against Retaliation

No one may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by this policy or the related procedures, or because the individual has made a report or complaint, testified, assisted, participated, or refused to participate in any manner in any action or process under this policy or the related procedures. Intimidation, threats, coercion, or discrimination, for the purpose of interfering with any right under this policy or the related procedures constitutes retaliation. The rights and privileges secured under this policy and the related procedures include but are not limited to: (i) filing or assisting in the filing of a complaint or report of a suspected violation of this policy; (ii) opposing any act or practice made unlawful by any federal, state, or local laws requiring equal opportunity; (iii) participating, assisting, or otherwise cooperating

in an investigation, compliance review, hearing, or any other activity related to a violation of this policy or administration of any federal, state, or local law requiring equal opportunity; and/or (iv) exercising any legal right protected by federal, state or local law requiring equal opportunity. Complaints of retaliation will be addressed under the Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation.

The following actions do not constitute retaliation: the exercise of rights protected under applicable law or Caltech's charging an individual with a policy violation for making a materially false statement in bad faith in the course of a resolution process. A determination that a respondent was responsible for alleged misconduct alone is not sufficient to conclude that any party made a materially false statement in bad faith.

8.0 Privacy

A member of the Caltech community who wishes to report unlawful discrimination, harassment, or retaliation should do so as soon as possible, although reports (hereinafter "complaints") may be made at any time. Complaints can be made orally or in writing. Complaints should be brought to the attention of one of the individuals designated in this Policy.

Privacy generally means that information related to a report of harassment will only be shared with those individuals who have a "need to know." The determination of who has a "need to know" is within the discretion of Caltech. These individuals are required to be discreet and respect the privacy of all individuals involved.

No meetings or conversations that take place under this policy or the Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation may be audio- or audio-visually recorded by anyone.

9.0 Confidential Resources

Caltech offers members of the Caltech community the choice of seeking confidential counseling outside of Caltech's procedural mechanisms for resolving unlawful harassment complaints. These confidential counseling services are intended for the personal benefit of the individual and offer a setting where various courses of action can be explored. Members of the Caltech community may access the offices below for confidential support. Counselors and designated confidential advocates in these offices will listen and help identify options and next steps. Talking to any of these staff members does not constitute reporting an incident to Caltech.

Confidentiality generally means that information shared by an individual with designated campus or community professionals cannot be revealed to any other individual without the express permission of the individual. These professionals are listed below. They are prohibited from breaking confidentiality unless there is an imminent threat of harm to self or others or as otherwise required or permitted by law. When a report involves suspected abuse of a minor under the age of 18, these confidential resources may be required by state law to notify child protective services and/or local law enforcement.

An individual who has experienced unlawful harassment and who first requests confidentiality may later decide to file a complaint with Caltech. The mental health professionals and other confidential resources listed below will provide the individual with assistance in filing a complaint if the individual wishes to do so.

Mental health professionals in the Student Wellness Services' Counseling Services and the Staff and Faculty Consultation Center provide mental health counseling services to the campus community. The JPL Employee Assistance Program provides mental health counseling services to the JPL community. They will not report any information about an incident to Caltech, including the Title IX coordinator, unless requested by their client. They can be contacted 24 hours a day/7 days a week at:

For students

(626) 395-8331	Student Wellness, Counseling Services
(626) 395-5000	after hours Counseling Services may be contacted via Security

For faculty, campus staff, and postdoctoral scholars

(626) 395-8360	Staff & Faculty Consultation Center
(626) 395-5000	after hours via Security

For JPL employees

(800) 367-7474	Empathia identify yourself as a JPL employee http://www.mylifematters.com (Password: JPL)
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Other Confidential resources are

Caltech Center for Diversity (students):	(626) 395-3221 or (626) 395-8108
Campus Hotline:	(626) 395-8787 or (888) 395-8787
JPL Ethics Hotline:	(818) 354-9999

**10.0 Equal Employment Opportunity Coordinators
and Title IX Coordinator**

Caltech has designated Equal Opportunity coordinators who are responsible for assisting with and coordinating the education and compliance efforts relating to equal opportunity and nondiscrimination laws and Caltech policies. The following individuals have been designated as Equal Employment Opportunity coordinators (EEO coordinators): the provost is the coordinator for faculty, the assistant vice president for human resources is the coordinator for campus staff and volunteers, the associate deans of students are the coordinators for undergraduate students and interns, the dean of graduate studies is the coordinator for graduate students and interns, and the director for human resources at the Jet Propulsion Laboratory is the coordinator for employees, interns and volunteers assigned there.

The assistant vice president for equity and equity investigations, who

manages the Equity and Title IX Office, also has been designated as Caltech's Title IX coordinator. The contact number is (626) 395-3132, email: TitleIXCoordinator@caltech.edu, or visit the office in Room 205, Center for Student Services.

11.0 Informational Resources

Information on unlawful harassment, as well as copies of Caltech's Nondiscrimination and Equal Employment Opportunity, Unlawful Harassment, Sex- and Gender-Based Misconduct, and Violence Prevention policies, are available from Caltech's Title IX coordinator and deputy coordinators, Human Resources, Student Affairs and Deans offices, the Caltech Center for Inclusion and Diversity, resident associates, the Staff and Faculty Consultation Center, and Employee & Organizational Development at campus, and Employee Relations and the Human Resources Business Partners at JPL. The policies are published in the Caltech Catalog and on the following Caltech websites: Caltech Human Resources, JPL Human Resources, Equity and Title IX Office, and Student Affairs.

Related Policies and Procedures

Nondiscrimination and Equal Employment Opportunity

- Procedures for Complaints of Unlawful Discrimination, Harassment, and Retaliation
- Sex- and Gender-Based Misconduct Policy
- Procedures for Complaints of Sex- and Gender-Based Misconduct Under Title IX
- Violence Prevention

VIOLENCE PREVENTION

1.0 Policy

It is the policy of Caltech to provide a safe and secure environment for all members of the Caltech community and to prohibit all forms of violence on its premises or in any of its programs or activities. Caltech promotes measures aimed at reducing incidents of violence and the management of situations that may lead to violence. All members of the Caltech community shall cooperate to maintain a safe environment and shall comply with this policy.

2.0 Scope

2.1 *Prohibited Conduct*

Caltech does not tolerate violence, threats of violence, child abuse, child neglect, or stalking on any Institute premises or in any Institute activity or program. All weapons are banned from Institute premises and at Institute activities and programs as set forth below.

2.2 *Definitions*

Acts of violence include any physical action, whether intentional or

reckless, that harms or threatens the safety of another individual at Caltech.

A threat of violence includes any behavior that by its very nature could be interpreted by a reasonable person as intent to cause physical harm to another individual.

Child means a person under the age of 18 years.

Child abuse includes physical injury inflicted on a child by another person, serious endangerment of a child's physical or mental health due to injury by act or omission, sexual exploitation of a child (including sexual intercourse between a child under 16 years of age and a person 21 years of age or older), lewd or lascivious acts, and child molestation; and unlawful corporal punishment.

Child neglect includes negligent treatment or maltreatment of a child under circumstances indicating harm or threatened harm to the child's health or welfare.

Stalking is a course of conduct directed at an individual that would cause a reasonable person to fear for his or safety or the safety of others, or suffer substantial emotional distress. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person or interferes with the person's property. Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim. Stalking that is sex or gender-based should be reported and will be handled pursuant to the Sex-and Gender-Based Misconduct policy and applicable procedures. Stalking that is not sex or gender-based is covered by this policy.

Weapon is defined as a firearm, ammunition, BB or pellet gun, paintball gun, stun gun, compressed air gun, or any replica firearm, martial arts weapon, fireworks, explosives, dangerous or highly flammable chemicals, dirk, dagger, ice pick, or knife having a blade longer than 2 1/2 inches (except for a knife or ice pick used for food preparation or consumption or for a lawful use in or around a residence), razor with an unguarded blade, razor blade, or box cutter (except for a razor, razor blade or box cutter for lawful use in a residence), or any object when used in a manner or under a circumstance that potentially may or does result in an act of violence or threat of violence.

An object otherwise defined above as a weapon is excepted when used for a lawful purpose within the scope of the person's employment or academic activities when approved by Caltech.

2.3 Reporting Violence

Any individual who experiences or observes a threat or act of

violence, or a weapon on Institute premises or at an Institute activity or program must immediately notify Campus Security or JPL Protective Services Division, or law enforcement. An individual at a non-campus or non-JPL location must immediately notify local law enforcement.

Campus Security	(626) 395-5000
JPL Protective Services Division	(818) 354-3530

If an individual becomes aware of behavior that they find concerning, the individual should notify one of the following individuals or offices:

Employee's supervisor/management	
Campus Human Resources — EOD	(626) 395-8039
Dean of Students	(626) 395-6351
Dean of Graduate Studies	(626) 395-6346
Provost Office	(626) 395-6320
Assistant Vice President for Equity And Equity Investigations, Title IX Coordinator	(626) 395-3130
Campus Security	(626) 395-5000
Caltech Hotline (anonymous)	(626) 395-8787 or (888) 395-8787
JPL Human Resources	(818) 354-4447
JPL Protective Services Division	(818) 354-3530
JPL Workplace Violence Hotline	(818) 393-2851
JPL Ethics Office	(818) 354-6338
JPL Ethics Help Line (anonymous)	(818) 354-9999 or (866) 405-7536

Caltech will handle all reports of violence in a confidential manner, with information released as determined to be appropriate by Caltech. Managers are required to immediately report any violation or suspected violation of this policy to Caltech Security, JPL Protective Services Division, Human Resources, the deans or the provost, whether the violation is observed on Institute premises or at any Institute activity or program. Caltech policy prohibits retaliation against any faculty, staff, postdoctoral scholar, student, or third party who, in good faith, reports a violation or suspected violation of this policy.

Caltech will not tolerate intentional false reporting of incidents. A good faith complaint that results in a finding of “no violation” is not considered a false report. However, when a complainant or third party is found to have fabricated allegations or to have given false information with malicious intent or in bad faith, they may be subject to disciplinary action.

2.4 Reporting Child Abuse or Child Neglect

Every member of the Caltech community who knows of or reasonably suspects child abuse or child neglect has a personal responsibility to report to Caltech Security or the JPL Protective Services Division immediately.

Certain members of the community—known as mandated reporters—have a legal responsibility to act. A mandated reporter is a Caltech employee who meets one of the following definitions: (a) holds a job recognized by the State of California as one that is legally required to report child abuse or neglect no matter where it occurs; or (b) engages in duties that bring them into contact with children on a regular basis or who supervises those whose duties bring them into contact with children on a regular basis, and thus are required to report child abuse or neglect occurring on Caltech premises or at an official activity of, or program conducted by, Caltech. All athletic coaches, including assistant coaches and graduate assistants involved in coaching, are mandated reporters under part (a) of the definition above and must report child abuse or neglect no matter where it occurs. Certain other professionals at Caltech, such as medical and mental health professionals, are also mandated reporters under part (a).

Mandated reporters must report child abuse and neglect whenever, in their professional capacity or within the scope of their employment, they observe or reasonably suspect it. A mandated reporter should reasonably suspect child abuse or neglect whenever “it is objectively reasonable ... to entertain such a suspicion, based upon facts that could cause a reasonable person in a like position, drawing, when appropriate, on his or her training and experience, to suspect child abuse or neglect.” (Penal Code § 11166(a)).

Mandated reporters have the additional responsibility to report immediately or as soon as practicably possible by telephone and to submit a written follow-up report within 36 hours of receiving information concerning the incident to the LA County Child Protection Hotline (800) 540-4000 (or from out of state (213) 639-4500) or to the Pasadena Police Department 911 (for emergencies) or (626) 744-4501 (for non-emergencies), or to another local police department. A Suspected Child Abuse Report (SCAR) can be completed online (where the initial report was made to the LA County Child Protection Hotline) at <https://mandreptla.org>. Mandated reporters will be provided the opportunity for training by Caltech and must sign an “Employee Acknowledgement of mandated reporter status.”

2.5 Investigating Prohibited Conduct

Reports of conduct that may violate any aspect of this policy will be taken seriously, properly investigated, and dealt with accordingly. Individuals who are found to have violated this policy may be subject to disciplinary action up to and including termination of employment, expulsion, or permanent removal from the premises. Additionally, when such acts potentially violate state or federal laws, the matter may be referred to law enforcement agencies for investigation.

3.0 Resources

The Staff and Faculty Consultation Center and the Student Counseling Center at campus or Empathia/Life Matters at JPL may provide resources such as intervention, consultation, or referral for clinical evaluation or treatment, including arranging for counselors to work with

at-risk individuals and victims and observers of an incident. In addition, training is available from Human Resources regarding violence prevention, public safety awareness, and child abuse. Contact information for these and other resources are:

Campus

Staff and Faculty Consultation Center	(626) 395-8360
Human Resources -EOD	(626) 395-8039

JPL

Human Resources	(818) 354-4447
Empathia/Life Matters	(800) 367-7474

Related Policies

- Unlawful Harassment
- Procedures Regarding Unlawful Harassment
- Sex- and Gender-Based Misconduct
- Procedures for Responding to and Resolving Complaints of Sex-and Gender-Based Misconduct

WHISTLEBLOWER POLICY

1.0 Policy

It is important to Caltech that employees disclose violations or potential violations of law or other serious breaches of conduct without the fear of retaliation. Caltech policy prohibits retaliation against an individual who makes a good faith disclosure of suspected wrongful conduct. Any individual who engages in retaliation in violation of this policy will be subject to disciplinary action up to and including termination of employment or permanent separation from Caltech.

It is Caltech's policy to comply with applicable laws and regulations, including California's whistleblower law protections provided under Labor Code Section 1102.5 and the whistleblower rights and remedies provided under 41 USC Section 4712, which are summarized at Enhancement of Employee Whistleblower. As employees of Caltech, each individual is responsible for making sure his or her conduct fully complies with all laws and regulations as well as Institute policies. Caltech expects employees with knowledge of specific acts that they reasonably believe violate the law or Caltech policy to disclose those acts to an appropriate Caltech official.

2.0 Reporting

An employee who becomes aware of any inappropriate or improper activity, or who believes they have been the subject of retaliation for making a good faith disclosure, is encouraged to contact their supervisor or one of the following offices: Human Resources, JPL Ethics Office, Audit Services and Institute Compliance (ASIC), or the Office of General Counsel. Anyone with questions or concerns regarding inappropriate or improper activities within Caltech may use one of the anonymous reporting mechanisms outlined below.

Web Hotline:

hotline.caltech.edu/

Telephone Hotline:

(626) 395-8787 or toll free (888) 395-8787

Interoffice Mail:

Audit Services and Institute Compliance, MC 250-64

U.S. Mail:

Audit Services and Institute Compliance
1200 E. California Blvd, MC 250-64, Pasadena, CA 91125

JPL Ethics Line:

(818) 354-9999 or toll free (866) 405-7536

STUDENT AFFAIRS POLICIES

In addition to the Institute Policies listed above, there are a number of Student Affairs policies, procedures and guidelines on the student affairs website:

- Alcohol and Other Drugs on Campus
- Fire Safety
- Good Samaritan
- Hazing Prevention
- Missing Student
- Mural Policy in Caltech Housing
- Student Problem-Resolution Process

For the text of the full policies, or additional policies on health and hygiene for the 2020-2021 academic year, please see the Student Affairs website at studentaffairs.caltech.edu/policies.

