

**2020 ANNUAL
SECURITY AND
FIRE SAFETY REPORT**

Caltech

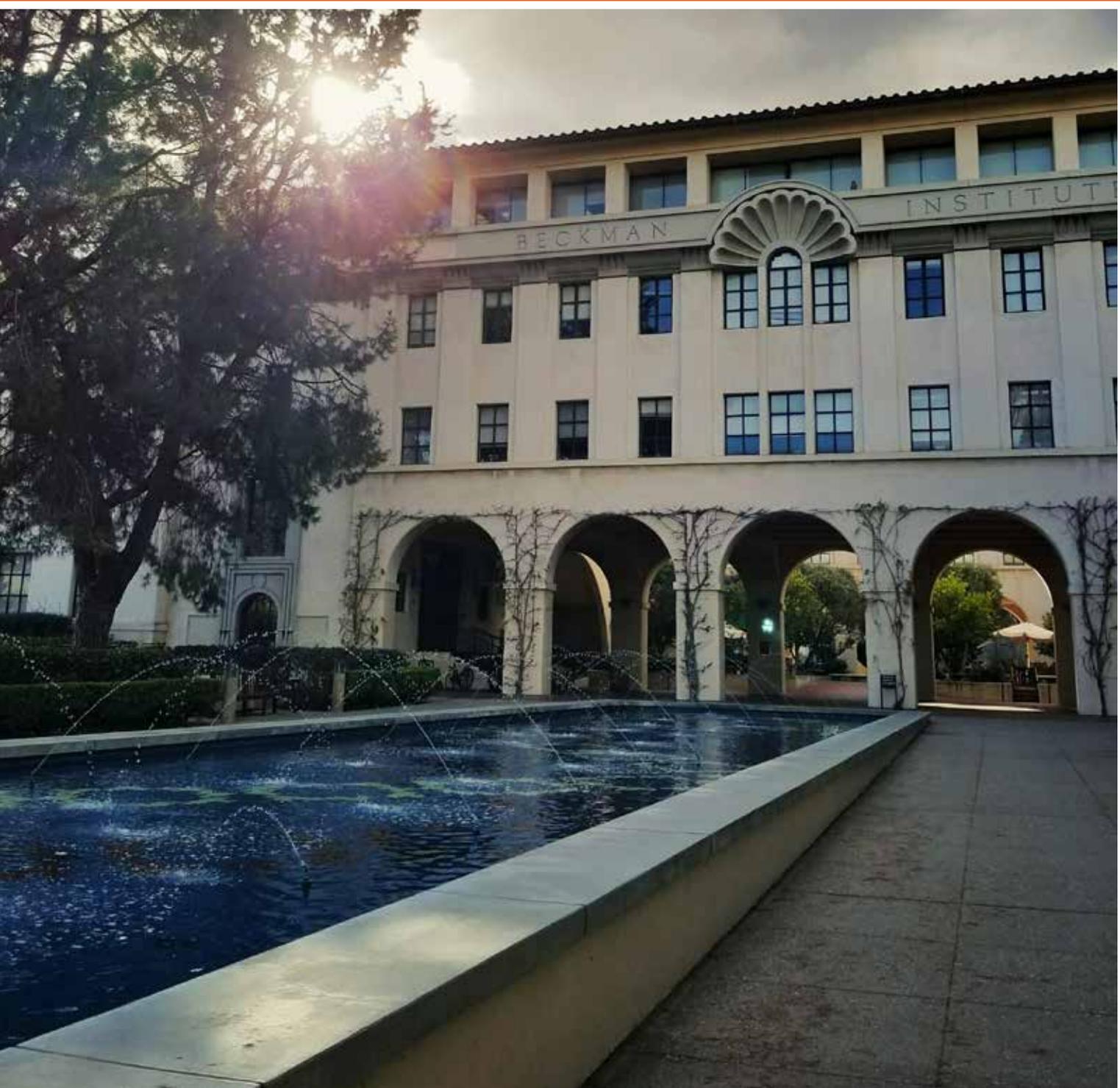


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EMERGENCY PHONE NUMBERS

From Caltech Phones

Fastest, closest response (security, fire, and medical)

DIAL 5000

From Cell Phones

(security, fire, and medical)

DIAL 626-395-5000

From Off Campus

(security, fire, and medical)

DIAL 626-395-5000

NON-EMERGENCY CONTACT INFORMATION

626-395-4701

INVESTIGATIONS

626-395-2099 | cnmatthe@caltech.edu

ESCORTS/RIDES

626-395-4701

LOST AND FOUND

Lost and Found submissions may be filed at
370 So. Holliston
or by calling 626-395-4701

CALTECH SECURITY DEPARTMENT

California Institute of Technology

515 So. Wilson Ave.

Building 63 Pasadena, CA 92557

Email:

security.supervisor@caltech.edu

To find out more about any information in this document or about the Department, please call us or visit the Caltech Security website at:

security.caltech.edu

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INTRODUCTION

Caltech 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 but prizes excellence and ambition. The Institute has one of the nation's lowest student-to-faculty ratios, with 300 professorial faculty members offering a rigorous curriculum and access to varied learning opportunities and hands-on research to approximately 1,000 undergraduates and 1,250 graduate students. Caltech is an independent, privately supported institution with a 124-acre campus located in Pasadena, California.

Caltech is committed to ensuring the safety and security of its community. This 2020 Annual Security and Fire Safety Report not only provides crime and fire statistics for calendar year 2019, but also details Caltech's crime-prevention and safety-related services and programs, as well as the resources Caltech has developed to educate and empower current and prospective students and employees.

Although it is published in response to federal requirements, maintaining a safe environment for the free and open exchange of ideas is very much part of the Institute's mission and reflects its values.

Caltech's [Code of Conduct](#) and Honor Code, which states that "No member of the Caltech community shall take unfair advantage of any other member of the Caltech community," has guided the campus since the Institute's earliest days. This means that all members of our community play an active role in ensuring campus safety and security; one way to do that is to review this report and follow the guidance and recommendations.

For additional information on campus security and safety, contact [Caltech's Department of Security and Parking Services](#) at (626) 395-4701. For additional information on fire safety, contact [Caltech's Environment, Health, and Safety Office](#) at (626) 395-6727.

COMMITMENT TO CLERY

Caltech complies with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, 20 USC 1092(f) (“Clery Act”). The Clery Act is a federal law that requires institutions of higher education to maintain a current crime log and publish annual security and fire reports by October 1 each year. The Annual Security and Fire Safety Report (ASFSR) contains three years of crime statistics and required policy statements and identifies how campus community members can report crimes. This report also complies with California Education Code 67380.

Caltech’s Clery Committee oversees Clery compliance at Caltech and manages how Caltech tracks crime statistics, documents security incidents, and implements and ensures campus safety and programming. Members of the committee represent Security; the Equity and Title IX Office; the undergraduate and graduate Deans’ offices; Athletics; Environment, Health, and Safety Office; Housing; Caltech Center for Inclusion and Diversity; Health and Counseling Services; Office of Residential Experience; and Human Resources.

The Charge of the Clery Committee is to:

- Ensure effective compliance with the law;
- Develop programs and policies to address compliance;
- Identify, notify, and educate the Caltech community about crimes on campus;
- Train and support Campus Security Authorities (CSAs);
- Meet to discuss Timely Warnings and emergency notifications;
- Review the Annual Security and Fire Safety Report;
- Notify the community regarding how to access Clery information, including the daily crime log; and
- Monitor and assess Clery programs and initiatives.

Clery Communications at Caltech

The Clery Committee is committed to broad-based communication with the Caltech community; to that end, the ASFSR is sent to all members of that community by October 1 each year. Caltech maintains a [Clery web page](#) with information on educational and training programs, crime reporting (including how to make an anonymous report), crime statistics, security policies and procedures, and the ASFSR. The ASFSR is also posted on the [Caltech Security web page](#) and the [Equity web page](#), and a link is included in communications with prospective students and employees.

PREPARATION OF THE ANNUAL SECURITY REPORT

The preparation of the ASFSR is a collaborative effort by the Clery Committee, and is a community undertaking that engages multiple offices throughout the Institute. Report preparation generally begins with Clery meetings where the Committee develops, evaluates, manages, and reviews various aspects of Clery compliance and programming. The purpose of the ASFSR is to inform the community on campus safety policies, programs, and practices to ensure a safe and secure community.

Subcommittees of the Clery Committee:

- Review policies, processes, and programs, including the Timely Warning procedure, the emergency notification procedure, and fire policies;
- Identify initiatives that contribute to efforts to prevent and respond to campus crimes; and
- Strengthen the Institute’s compliance efforts, including Caltech’s compliance with the information and programs required by the Violence Against Women Reauthorization Act

Reviewing and Confirming Crime Statistics

Crime statistics are gathered by Caltech Security from multiple sources, including security incident reports, Title IX reports, information received from the Pasadena Police Department and reports from Campus Security Authorities. Under very limited circumstances, pursuant to federal guidance, the Institute may remove reports of crimes that have been deemed “unfounded” by the Pasadena Police Department or other law enforcement officials. In such cases, the crime statistics will indicate that a crime was “unfounded.” Crime statistics do not disclose any identifying information about a complainant, respondent, or third parties.

As required by the Clery Act, statistics are reported for Clery crimes that occur on campus, on public property within or immediately adjacent to the campus, and in or on non-campus properties that Caltech owns or controls. Crime statistics and definitions are attached to this report in Appendix A and Appendix B, respectively. Pursuant to guidance issued in the 2016 edition of the Handbook for Campus Safety and Security Reporting, Caltech classifies off-campus housing properties that are within one mile of the campus as on-campus properties.

Crimes reported in the ASFSR are: criminal homicide including murder/non-negligent manslaughter and manslaughter by negligence; sex offenses including rape, fondling, incest, and statutory rape; robbery; aggravated assault; burglary; motor vehicle theft; arson; illegal weapons possession; liquor law violations; and drug law violations. Any of the above crimes—as well as incidents of larceny-theft, simple assault, intimidation, destruction/damage/vandalism of property—that were motivated by reported bias, are listed as hate crimes.

Bias means a preformed negative opinion or attitude toward an individual or group of persons based on their race, national origin, religion, disability, sexual orientation, gender, gender identity, or ethnicity.

The crimes reported in the ASFSR that are covered by Title IX are sexual assault, stalking, dating violence, and domestic violence.

ABOUT CAMPUS SECURITY



Organizational Structure and Role

Caltech Security exists to provide a stable environment for research, education, and employment in which security concerns are balanced with freedom of movement in an open campus atmosphere while protecting the life and property of the faculty, students, staff, visitors, and guests of the Institute.

The Director of Security, who has substantial police and security experience, leads the department. The Director is supported by a captain and four lieutenants who manage Security Systems, Clery Act Compliance, Investigations, and Parking Enforcement. Eight uniformed Special Response Officers are certified Emergency Medical Technicians. They provide emergency medical response and conduct high visibility patrols of the campus.

Contract Security

Caltech Security is assisted in its mission by uniformed, contract security personnel.

This auxiliary force is not empowered to make arrests or carry weapons; however, they assist Caltech Special Response officers in a variety of ways such as building security, property checks and added visibility within the community.

Contract security personnel are charged with providing additional visual presence at various campus locations. They are responsible for checking faculty, student and

staff identification, and conducting property checks of campus buildings. Contract security personnel are in constant contact with Caltech Security via radio or phone communications.

Additional officers are added to the security force as needed for special events and to maintain campus security. All Security staff are integrated into the campus emergency response organization in the event of a local or regional disaster. Certain members of the Security staff are trained in the National Incident Management System (NIMS) and have Incident Command System (ICS) certifications. The uniformed field officers are trained in first aid, CPR, and AED use for emergency situations requiring medical stabilization.

The Security Systems Administrator is responsible for all security-related technology on the campus, including electronic access control, alarm systems, and security cameras also referred to as closed-circuit television (CCTV).

The Parking Coordinator handles all aspects of parking on the campus including registration, reserved space assignments, and parking enforcement. The Parking Enforcement Officer ensures safe parking on campus and enforces campus parking regulations.

Security provides 24-hour patrol service, incident response, and other security-related services such as escorts and help with lock-outs, vehicular accidents, and medical emergencies on the Caltech campus and

its off-campus properties. Extra patrols and additional personnel are utilized for security when there is an apparent need. Security patrols all student housing and campus facilities.

Security coordinates outside emergency response units called to the campus, such as: the Pasadena police, fire, and paramedic departments; develops and implements security programs and regulations; enforces parking regulations; and is responsible for Caltech's carpool, vanpool, and other alternative transportation programs.

Caltech Security investigates crimes and other incidents where appropriate in conjunction with the Pasadena Police Department, and may distribute information regarding a crime within Caltech on a need-to-know basis, for review, discussion, and/or follow-up action as deemed necessary.

Security maintains a website at security.caltech.edu. Crime prevention information is available on that site; this includes personal safety tips, how to contact Caltech Security, and information on Security escorts, as well as links to other sites for information concerning overall public safety, emergency planning, and reporting of all Title IX-related incidents, including sexual harassment, sexual violence, stalking, domestic violence, and dating violence.

Authority and Jurisdiction

Security officers can issue municipal parking citations under an arrangement with the City of Pasadena.

Pasadena Police Department (PPD) has primary jurisdiction for all areas of campus and Pasadena. Caltech Security's jurisdiction is restricted to the boundaries of the Caltech campus and campus properties. A map of the campus is located in Appendix C.

Working Relationship with State and Local Police

Caltech maintains a close working relationship with the Pasadena Police Department. Pasadena police officers are often called upon to aid in the arrest of individuals suspected of crimes on campus. Campus Security staff work with other state and federal law enforcement agencies as necessary, including the California Highway Patrol, Federal Bureau of Investigation, Secret Service, and the Department of Justice.

Members of the Caltech community who are the victims of a crime are also encouraged to report the incident to the Pasadena Police Department. Caltech will assist both the victim and the police in the investigation of crimes occurring at the Institute.

Security has established a memorandum of understanding (MOU) with the Pasadena Police Department. The MOU, which is reviewed and updated every five years, formalizes aspects of the working relationship between Caltech and the Pasadena Police Department, in compliance with California law.

As part of that MOU, and in compliance with California law, the Institute discloses to the Pasadena Police Department reports of certain violent crimes, sexual assaults, and hate crimes.

Reports are made without identifying the victims, unless the victims consent to being identified after being informed of their right to have their personally identifying information withheld. If a victim does not consent to being identified, the alleged assailant cannot by law be identified unless Caltech determines that the alleged assailant represents a serious or ongoing threat to the safety of students and/or employees at Caltech, and that the immediate assistance of law enforcement is needed to contact or detain the alleged assailant. If Caltech identifies the alleged assailant under such circumstances, Caltech will notify the victim of the disclosure.

Accurate and Prompt Reporting

Caltech encourages prompt reporting of crimes and emergencies to Security and to the Pasadena Police Department. Security takes reports from all members of the Caltech community as well as from visitors, guests, and the broader community regarding criminal or other incidents.

Crime Log

Security maintains a daily log of all crimes reported to Security that occur within the Clery geography. The crime log includes the nature, date and time of the occurrence, date, general location of each crime, and the disposition of the complaint, if known. Only information the disclosure of which is prohibited by law, or which would jeopardize confidentiality of the victim, will be withheld.

The most recent 60 days of crime log entries are available for review on the Security website and upon request at the Security Office located at 515 S. Wilson Ave., 2nd floor, during regular business hours (Monday to Friday, 8 a.m. to 5 p.m.) Any portion of the crime log older than 60 days will be available within two business days of a request for inspection.

Entries or additions to entries in the crime log are made within two business days of the information being reported to Security. The crime log does not contain personally identifying information of victims or witnesses to the alleged crime.



Security Leadership

Director of Security Victor Clay arrived at Caltech in 2017. He brought 33 years of law enforcement and security experience to Caltech. His mission was to improve the department's service and responsiveness to the Caltech community, by focusing on four key goals: instilling a commitment to service, creating a safe and secure environment

on and around campus, training all personnel in the best security practices, and building lasting relationships with all Caltech community members. Since that time, Victor has restructured the department, decreased response times, improved the effectiveness of the department, increased the transparency of the department's operations, and introduced campus community-oriented strategies to the department's daily operations. The Caltech Department of Security and Parking Services' core values are a commitment to kindness, self-less service to others, and unwavering integrity. As the Chief of the department, Victor compels his staff to serve all community members with a high level of respect, compassion, and dignity.

Security Training

Northwestern Center for Public Safety – Supervision of Police Personnel—Online

A comprehensive course in first-line supervision that provides the cornerstone for managerial and supervisory positions. The course is designed to teach first-line supervisors how to overcome contemporary leadership challenges.

Alarm Response Training – Department of Energy—March 4-7, 2019

Understanding and preparing for threats. Monitoring and responding to lab alarm activations.

Library Security Town Hall—March 13, 2019

Discuss Building security concerns including elevator and building access, personal safety and unauthorized persons.

Resident Life Training—June 19, 2019

Discussed resources on campus, protocols, safety and preparedness in regards to responding to student requests for service. Participants included Office of Residential Life, Title IX Office, and Student and Faculty Programs.

Anyone can make a report to Caltech Security at (626) 395-5000 (emergencies) or (626) 395-4701 (non-emergencies).



TIMELY WARNINGS

Caltech issues [Timely Warnings](#), as required by the Clery Act, in order to alert the campus community to potentially dangerous criminal situations. Timely Warnings will be made for Clery-reportable crimes in a manner that is timely and intended to aid in the prevention of similar crimes. Examples may include multiple sexual assaults involving date rape drugs; strong arm robbery; or a rash of house burglaries. Community notices may also be sent for situations of significant interest to campus not covered by the Clery Act.

The criteria for a Timely Warning:

- Situation that occurs on geography defined by Clery as “on campus,” “non campus,” or “public property,”
- Situation reported to a Campus Security Authority (CSA) or local law enforcement officer, and
- Situation that represents a serious or continuing threat to students and/or employees.

Clery-reportable crimes include:

- Criminal homicide, including murder and manslaughter (negligent and non-negligent)
- Sex offenses (forcible and non forcible)
- Robbery
- Aggravated assault
- Burglary
- Motor vehicle theft
- Arson
- Hate crimes (including any of the above offenses, as well as any incidents of larceny/theft, simple assault, intimidation, or destruction/damage/vandalism of property that were motivated by bias)
- Domestic violence
- Dating violence
- Stalking
- Arrests and disciplinary referrals for violation of weapons, drug abuse, and liquor laws

Clery-defined geography for Timely Warnings includes:

On campus including Caltech properties within one mile of campus

- On public property immediately adjacent to campus, such as sidewalks and streets
- Non-campus properties that are owned or controlled by Caltech and that support Caltech's educational purposes, are frequently used by students, and are not considered part of the core campus.

Whether a crime meets the requirements for a Timely Warning will be evaluated by the Director of Security and/or the Assistant Vice President for Equity and Equity Investigations/Title IX Coordinator, or designees, on a case-by-case basis. The decision will be made in light of all the facts surrounding the incident, including but not limited to:

- the nature of the incident
- whether there is a serious or continuing threat to the campus community; and
- the possible risk of compromising law enforcement efforts.

If a decision is made that the Timely Warning requirements are met, a Timely Warning will be sent as soon as the pertinent information is available.

Timely Warnings made to the Caltech community include information about the crime that triggered the warning as well as information intended to promote safety and aid in the prevention of similar crimes. Timely Warnings are developed in consultation with the Director of Security and/or the Assistant Vice President for Equity and Equity Investigations/Title IX Coordinator, or their designees. The warnings are provided to the Incident Commander or the Vice President for Student Affairs, or their designees, for review and approval.

Victims' names and other identifying information will not be disclosed, but a Timely Warning may include the name, identifying information, or other characteristics of the accused.

Documentation regarding Timely Warnings is maintained by the Clery Act Compliance Coordinator at the Institute.



REPORTING CRIMES AT CALTECH

Caltech Security takes reports from all members of the Caltech community, including visitors, guests, parents, third parties, and anonymous reporters. Caltech encourages all members of the community to accurately and promptly report crimes and emergencies to Security, especially if the victim of a crime elects not to or is unable to make such a report. Reporting is critical to developing and disseminating Timely Warnings to the campus, creating programming, and being transparent about crime on campus in order to promote an informed, safe, and secure environment.

All community members are also encouraged to report crimes to the Pasadena Police Department. If requested, Security will call the police to the crime scene and assist the victim in filing a report. Victims and witnesses will be assisted, upon request, with transportation to and from off-campus resources.

CALTECH SECURITY CONTACT OPTIONS



In person:

Security Administrative Office

515 South Wilson Ave., 2nd floor
Monday through Friday,
8 a.m. to 5 p.m.

Security Dispatch Center

370 S. Holliston Ave.
(Holliston Parking structure), 1st floor
24 hours, 7 days a week



By Phone:

Emergencies: Police, Fire, and Paramedics

On campus
24 hours, 7 days a week:
x5000

Non-campus phones including cell phones 24 hours, 7 days a week:
(626) 395-5000

Non-emergency, escorts:
x4701 or (626) 395-4701

CAMPUS EMERGENCY PHONES



Caltech has 23 “blue light” emergency telephones: 20 are on-campus telephones; three are in the Catalina Apartments housing complex. The phones are “push to talk” and connect directly to Security Dispatch, which is staffed 24 hours a day.

“EVERBRIDGE” MOBILE APP



Security can also be contacted through Everbridge’s mobile app. The app allows Caltech community members to immediately report an emergency or suspicious activity via text to the Security dispatcher, and has an option to include a photo with the message.

Instructions for downloading and installing the Everbridge mobile app are available at <https://security.caltech.edu>.

Information on the Everbridge program and other security programs and tools are also part of the annual Caltech training and education plan.



CAMPUS SECURITY AUTHORITIES (CSAs)

Caltech provides students and employees with the option to report crimes to campus administrators with whom they may already have an association. Many administrators who work extensively with student groups are designated as CSAs to report crimes. They include Caltech's:

- Vice President for Student Affairs
- Assistant Vice President for Student Affairs Operations
- Assistant Vice President for Student Affairs and Residential Experience
- Assistant Vice President for Equity, Equity Investigator and Title IX Coordinator
- Equity and Title IX Office Lead Investigator
- Deputy Title IX Coordinators
- Dean of Undergraduate Students
- Associate Deans of Undergraduate Students
- Dean of Graduate Studies
- Associate Dean of Graduate Studies
- Registrar
- Assistant Vice President for Student Affairs, Enrollment & Career Services
- Director of Financial Aid
- Director of Fellowships Advising and Study Abroad and the Career Development Center
- Caltech Center for Inclusion and Diversity Directors
- Director of Athletics, Physical Education and Recreation
- Assistant Athletic Director, Intercollegiate Operations
- Assistant Athletic Director, Recreation
- Athletic Coaches
- Director of Student-Faculty Programs
- Senior Director of Student Activities and Programs
- Director of International Student Programs
- Director, International Offices
- Director of Housing
- Senior Director of Dining Services
- Residential Life Coordinators
- Resident Associates
- Division Administrators
- Employee and Organizational Development Consultants
- Student Event and Club Coordinator
- Student Club/Organization Advisors

Campus Security Authority Definition

The Clery Act definition of a Campus Security Authority (CSA) is

- 1) a campus police department or a campus security department of an institution;
- 2) any individual or individuals who have responsibility for campus security but who do not constitute a campus police department or campus security department under part (1) of this definition, such as an individual who is responsible for monitoring entrances into institutional property;
- 3) any individual or organization specified in an institution's statement of campus security policy as an individual or organization to which students and employees should report criminal offenses;
- 4) an official of an institution who has significant responsibility for student and campus activities, including, but not limited to, student housing, student discipline, and campus judicial proceedings. If such an official is a pastoral or professional counselor, the official is not considered a Campus Security Authority when acting as a pastoral or professional counselor.

Campus Security Authority Role

CSAs complete annual training and each year are sent updated information regarding their roles. The Caltech [Clery website](#) provides [online reporting forms](#). New CSAs are considered if a new or changed position includes significant oversight of student activities.

Mandatory Reporters

It is the policy of the Institute to provide a safe and secure environment for all members of the Institute community, including minors. To that end, all members of the Caltech community have a personal responsibility to report known or suspected child abuse and/or neglect. This is part of the Caltech community's values and approach to care and concern.

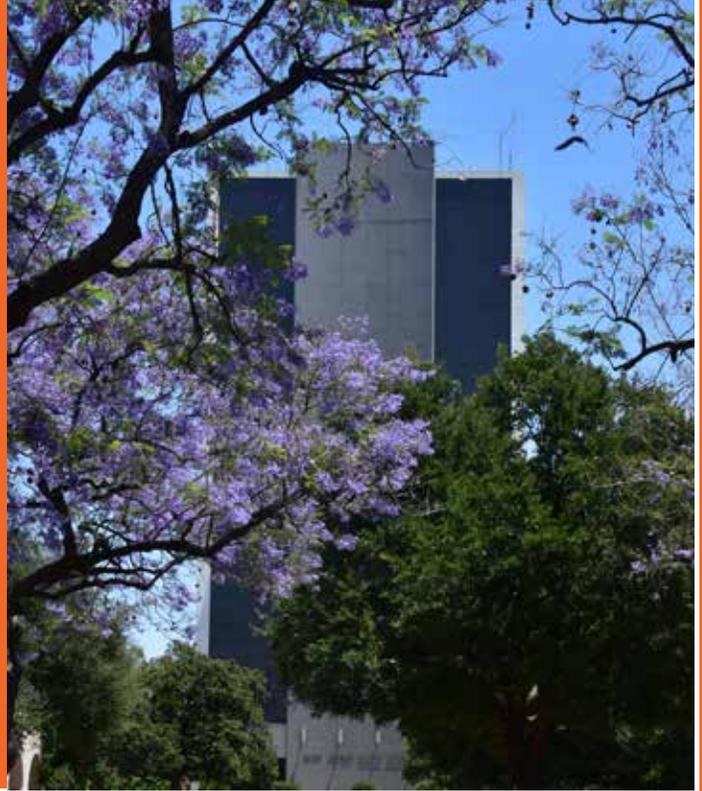
Caltech has a [Violence Prevention Policy](#) that describes Mandated Reporter responsibilities. A Mandated Reporter is an employee who is required by law to make a report to the appropriate authorities whenever, in their professional capacity, or within the scope of their employment, they have knowledge of or observe a child they know or reasonably suspect has been the victim of child abuse or neglect. All athletic coaches, including assistant coaches and graduate assistants involved in coaching, are Mandated Reporters. In

addition, Institute employees whose duties bring them into direct contact with children under 18 years of age on a regular basis or who supervise employees whose duties bring them into contact with children on a regular basis are Mandated Reporters as to child abuse or neglect occurring at Caltech or at an official activity of, or program conducted by, Caltech. Certain other professionals at Caltech, such as doctors, nurses, and psychologists, are also Mandated Reporters.

Mandated Reporters have the responsibility to report immediately or as soon as practicably possible by telephone to the LA County Child Protection Hotline (800) 540-4000 [or from out of state (213) 639-4500] or Pasadena Police Department 911 (for emergencies) or (626) 744-4501 (for non-emergencies), or to another local police department. For further information see the [Violence Prevention Policy](#).



SECURITY PRACTICES, CRIME PREVENTION, AND SAFETY AWARENESS PROGRAMS



Programs on Security Practices and Safety Awareness

Caltech Security develops programs to inform the community about campus security procedures and practices and to encourage the campus community, students, faculty, and employees to be responsible for their own safety and that of others. Crime prevention and personal safety tips are distributed periodically throughout the year to students and employees through training sessions and campus events.

Programs include theft prevention, personal safety, Security also posts a ["Be Alert!" handbook](#), which has personal and property safety tips, emergency and other important telephone numbers, report procedures, the locations of the Emergency Communications Center and Security office, parking regulations, and a map of the campus showing the locations of the emergency telephone stations. The "Be Alert!" handbook is discussed at student orientation and is available online.

Members of the Caltech community are also provided with personal safety and property security tips on an ongoing basis through security bulletins distributed via email, hard copy, and on the [Security website](#). These bulletins repeatedly encourage members of the community to be responsible for their safety and security and that of others.

Security participates in the Institute's orientation programs for new students, employees, and visiting students and faculty. These include:

- Two breakfast programs for first-year undergraduate students to review safety on campus and to identify ways in which the community can be prepared for and helpful in a crisis situation;
- An orientation for graduate students, in which Security reviews the ASFSR and talks about personal safety and the transportation program for students after hours, as well as about utilizing Security when there is a concern or issue; and
- Monthly new-employee orientation programs.

In all of these trainings, students and employees are encouraged to look out for themselves and others.

In addition, Security promotes a "See Something, Say Something" ongoing crime prevention program as a proactive measure for the campus community.

The [CARE Team](#) participates in a collaborative effort to support the academic success, health and emotional well-being of the Caltech community.

Crime Prevention Programs

Security provides website resources including [Tips for Personal Safety](#), [Tips on Preventing ID Theft](#), [Resources for Safety and Violence Prevention](#), and Institute policies regarding [social crimes](#). Security also provides the ongoing crime prevention programs listed below.

- **Bicycle Registration:** All members of the campus community are encouraged to [register their bicycles](#) with Caltech Security. Officers make periodic sweeps of the campus and remove bicycles that have been left unattended for long periods of time. If a bike is registered, they will contact the registered owner prior to its removal. Additionally, if a bicycle is stolen, they will have information on file that may assist in its recovery.
- **Security Escorts:** Security [provides escorts](#) for the campus community on request. An officer will accompany a Caltech community member to or from locations on or off campus. Security encourages all staff, faculty, students, visitors, and guests to make use of this service.
- **Lockouts:** In the event that a Caltech staff member, faculty member, or student is locked out of a Caltech facility, such as a room, office, or lab, [Security will assist them in gaining access](#) during non-business hours. The security officer will request the individual's Caltech identification and document the information prior to providing the requested assistance. If a staff member, faculty member, or student has requested access to a building that has electronic access, the officer will verify that the individual has card access to the building prior to admitting them.
- **Patrol:** Security provides [24 hour patrol service](#) to campus and off-campus facilities. Patrol is provided by a variety of methods including foot, electric cart, and motor vehicle. Additionally, officers are assigned to provide specific coverage to on-campus undergraduate housing and the Catalina Apartments complex.





Campus Safety Awareness Programs

Caltech Security oversees programs specifically designed to inform students and employees about campus safety and crime prevention. Programs for 2019 included the following:

First Aid and CPR Training

First Aid and CPR Training offered to all Housing Staff.

Disaster Recovery Team (DRT) Training

Training on how to conduct detail evaluations of buildings after a disaster.

Housing Office and Residential Life Team Earthquake Training

Training on how to respond during and after a major earthquake.

Annual ritual (Ditch Day) involving students from every student residence hall

Topics: Safety and security around planned events on and off campus.

Housing Office and Residential Life Team Earthquake Training

Training on how to respond during and after a major earthquake.

Senior Housing Leadership

Topics: Safety and security issues relevant to Housing, campus, and surrounding areas; emergency notification system; general information about crime reporting and Security's responsibilities and obligations.

New Graduate Student Orientation—

Topics: Safety and security issues relevant to housing, campus, and surrounding areas; emergency notification system; general information about crime reporting; and Security's responsibilities and obligations.

Freshman Orientation

Topics: Prevention of crime through awareness and reporting of suspicious activities; available resources; safety tips when traveling off campus; techniques to avoid being a victim of a crime; and summary of Security's responsibilities.

Residential Life Coordinators and Resident Associates Conference

Topics: Identifying specific obligations of Security and Residential Life at campus events or unauthorized parties; alcohol and drug policies. Oversight of safety procedures and reporting.

Security Alcohol Enforcement Management

Security officers trained on various techniques for effective management and enforcement of the alcohol policy.

First-Year Experience (First-year undergrads and graduate students only)

Initiated in fall 2018, First-Year Experience Program aims to ease the transition of first-year undergraduate and graduate students through programs and events developed specifically for them.

Orange Watch Training

Student security and event management program. This program is a two-hour educational module that addresses safety, security, bystander intervention, and event management techniques.

Housing Office Emergency Training and Policy Updates

Half day retreat

Bagel Monday in Graduate Housing

Topics: Residents of the Catalina's graduate housing complex are invited to a "meet and greet" to get to know Caltech Security staff

New Employee Orientation – Monthly

Topics: Crime prevention, including escorts, security measures regarding property crimes, reporting protocols, personal safety tips, and general information about the security staff.

JPL Events

JPL Foreign National Security Briefings—Weekly

Topics: All JPL personnel are briefed on security processes and procedures as they relate to the protection of information, assets, and resources that are entrusted to them as part of their JPL assignment: specifically, personnel working on programs requiring access to classified, sensitive, or export-controlled data items.

JPL Family Days—Apr 6 & 7, 2019

JPL employees bring their family and friends to the lab to show some of the exciting work being done at JPL. Attendance 4,500

Explore JPL: JPL Open House—May 18-19, 2019

Protective Services Division (PSD) developed an Operations Plan to protect people and safeguard the facility, and provide a timely, coordinated response to all emergency situations. Attendance 25,000

JPL Foreign National Escort Training—Annual

All JPL employees who wish to escort Foreign Nationals on lab must complete, on an annual basis, the NASA Foreign National Escort Training Module via the NASA SATERN training webpage.

JPL Surviving a Violent Encounter—Feb 25, Apr 15, Jun 10, Aug 28, & Nov 6, 2019

The training focused on options and techniques for how to survive an active shooter situation both at work and in public places. It explained how NOT to become a victim and how to increase one's odds dramatically in surviving a surprise violent confrontation with an active shooter.

JPL Executive Policy Committee Training—Aug 22 & Dec 19, 2019

Quarterly training on radiation, fire, earthquake, active shooter, and wildfire preparedness.

JPL Emergency Operations Training—Feb 28, May 15, Jul 24, & Oct 17, 2019

Quarterly training to test and maintain skills through tabletop exercises. All segments of JPL infrastructure are represented at the training.

JPL Joint Cause 2019—Sep 18, 2019

Annual Training with Los Angeles County Fire and Sheriff Department for Active Shooter Training.

ANONYMOUS REPORTING



Caltech encourages all members of the campus community—as well as those outside the community—to report campus-related crimes, even if they choose to do so anonymously. There are no restrictions as to who can make an anonymous report directly to Caltech Security or through one of Caltech’s hotlines. These hotlines offer an opportunity to report an issue to Caltech without identification of any kind. Each fall, the Institute sends a memo reminding the community of the hotline and the opportunity to come forward with a concern anonymously. Caltech addresses anonymous reporting in several policies including Sex- and Gender-Based Misconduct, Unlawful Harassment, Nondiscrimination and Equal Employment Opportunity, Violence Prevention, and Whistleblower Policy, as well as the Caltech Code of Conduct.

ANONYMOUS REPORTING OPTIONS



Campus Security:
(626) 395-5000



Campus Hotline:
(626) 395-8787 or
(888) 395-8787



JPL Protective Services:
(818) 393-3333



Submit a Complaint
[HOTLINE CONTACT FORM](#)

CONFIDENTIAL RESOURCES

Some members of the Caltech community may prefer to talk about crimes to one or more of the professional counselors or others who serve as confidential resources on campus. Professional counselors at Caltech play an important role in supporting the Caltech community. They provide confidential help and support by listening, offering options, and helping people decide what plan of action feels most comfortable. Professional counselors will not report crimes to the Institute.

Professional Counselors

Mental health professionals in Caltech's Student Counseling Center and Staff and Faculty Consultation Center provide mental health counseling and consultation services to the campus community.

They are specifically exempt under the Clery Act from disclosing reported offenses. This exemption is intended to protect the counselor-client relationship.

These professionals also are prohibited from breaking confidentiality unless there is an imminent threat of harm to self or others, or as otherwise permitted by law. When reported information involves suspected abuse or neglect of a minor under the age of 18, these professionals are required by state law to notify [Child Protective Services](#) and/or law enforcement. Caltech counseling professionals have procedures to inform people how to report crimes on a voluntary confidential basis. The Institute does not have pastoral counselors.

CALTECH STUDENT COUNSELING SERVICES STUDENT WELLNESS SERVICES

1239 Arden Rd. | (626) 395-8331

After hours: (626) 395-8331
Press "2" to be connected with a clinician.

If you are seeking support for a Title IX/sexual assault, let the clinician know and you will be connected to appropriate resources.

STAFF AND FACULTY CONSULTATION CENTER

315 S. Hill Avenue | (626) 395-8360

Both Caltech Student Counseling Services and the Staff and Faculty Consultation Center will share information with students and employees, respectively, about how they can make reports of their own anonymously or not – to Caltech and/or law enforcement. This information, along with Caltech's protocols on disclosure, is included in the annual CSA and Clery trainings, on the [Clery](#) and [Equity](#) web sites, in publications, and in online and in-person training.

Other Confidential Campus Resources

The confidential resources listed here, while not professional counselors, also serve as confidential support for the Caltech community. Unlike professional counselors, they are not exempt from Clery reporting. These confidential resources will not share any personally identifying information with the Institute. They only provide statistical information, which includes type of crime, date, time, and general location.

CALTECH CENTER FOR INCLUSION AND DIVERSITY RESOURCES

ERIN-KATE ESCOBAR

Assistant Director,
Center for Inclusion and Diversity
Center for Student Services 268
(626) 395-3221
ekescoba@caltech.edu

ANASTASIOS (TASO) DIMITRIADIS

Associate Director,
Center for Inclusion and Diversity
Center for Student Services 269
(626) 395-8108
taso@caltech.edu

SEXUAL VIOLENCE RESOURCE

TERESA MEJIA

Campus Sexual Violence Advocate
Central Engineering Services (CES) 211
(626) 395-4770
teresam@caltech.edu

SECURITY OF AND ACCESS TO CAMPUS FACILITIES



Access

Caltech is an open campus. Security officers are authorized to stop and question a person if the security officer (1) has a reasonable suspicion that the person may have committed, may be involved in committing, or may be about to commit a crime; (2) believes that the person may be a hazard to themselves, others, or property; or (3) believes that the person should be interviewed to prevent a possible crime. Additionally, security officers provide information and assistance to all members of the Caltech community and its visitors and guests.

Academic buildings and on-campus undergraduate housing are controlled by electronic card keys. Access to undergraduate housing is controlled 24 hours a day. In addition, the Housing Office reviews student access to residential facilities on a monthly basis to identify students who should no longer have access to student housing, and works with Security to remove campus housing access for those students. Students in Caltech-owned off-campus apartments use card access for laundry and recreation rooms only. Security patrols residential housing and has perimeter cameras on several campus housing facilities. There is increased security presence at large house events.

Campus buildings are normally locked after 5 p.m. and are unlocked after 5 a.m. Monday through Friday, except for Institute holidays. Patrols of buildings after 5 p.m. ensure that Caltech Security is aware of activity in the building after hours.

Buildings remain locked 24 hours a day on weekends and holidays. However, upon request and subsequent approval from division administrators, the registrar's office, or a building scheduler, buildings, labs, and offices may be opened for meetings and classes. Students may be provided keys in order to use certain offices and labs.

Students, both undergraduate and graduate, living in on-campus or Caltech-owned off-campus housing are provided with either a combination lock or key lock for their residence. Students are responsible for keeping their individual rooms or apartments locked.

Patrols and Escorts

Security officers are assigned to patrol the campus 24 hours a day, seven days a week. Campus housing owned by Caltech is also patrolled on a regular basis, 24 hours a day, seven days a week by an assigned security officer.

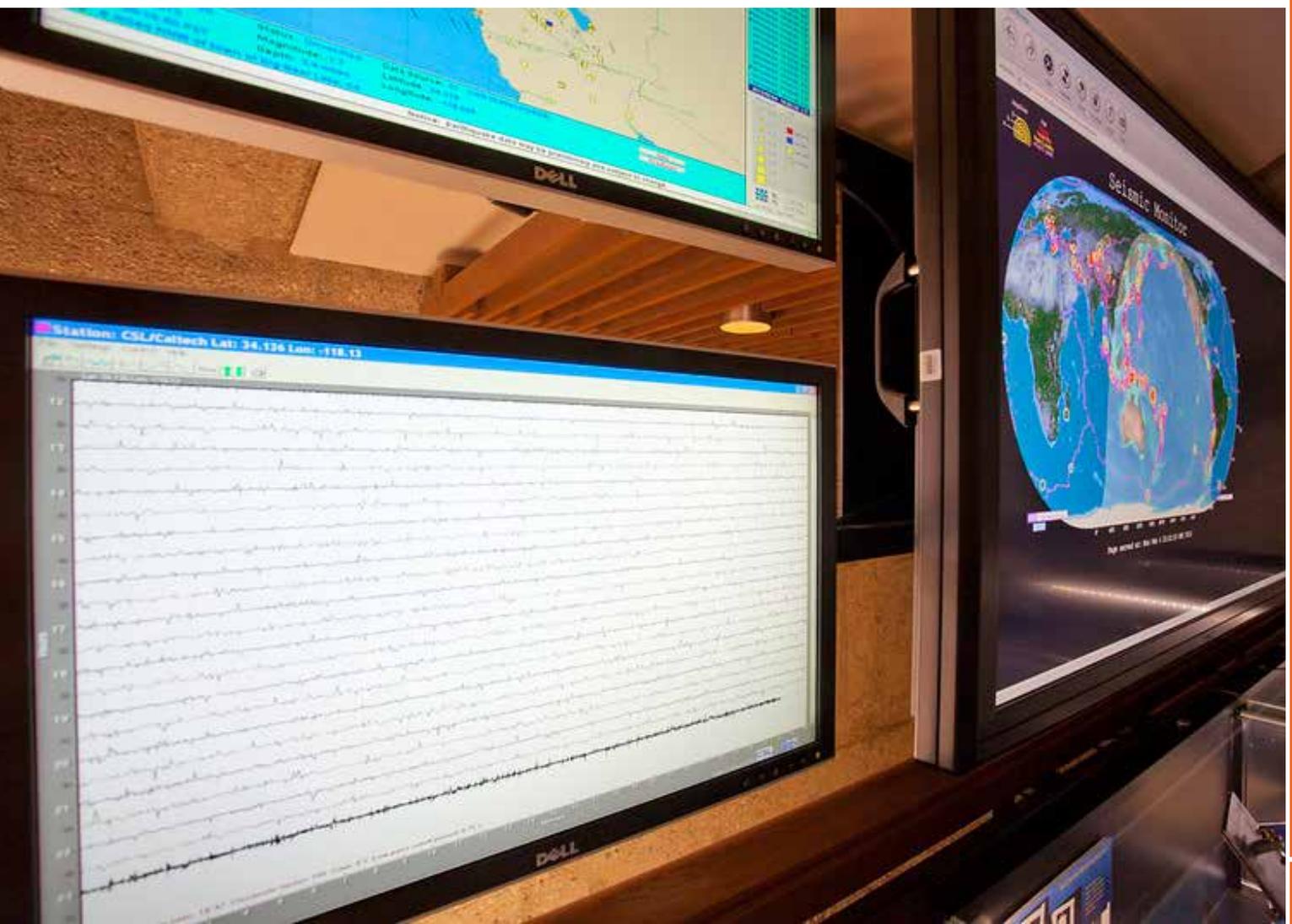
When requested, Security provides escorts to members of the Caltech community, including those who live within a reasonable walking distance from the campus in both Caltech-owned and non-Caltech housing. The service is provided to and from the campus as well as to and from buildings and parking areas located on the campus.

All members of the campus community are requested to report incidents such as theft and suspicious activity or persons to Security. Students are urged to be responsible for their personal safety in student housing facilities and are advised to call Security at (626) 395-5000 and/or the Pasadena Police Department in an emergency situation.

Security Considerations in the Maintenance of Campus Facilities

Security regularly checks to make sure pathways are well lit. Maintenance issues (for example, a burned-out pathway light) are reported to the Facilities Maintenance Service Center for repair.

Security improvements over the past 12 months include the installation or upgrade of 17 proxy card readers to limit facility access to authorized Caltech users only. In addition, 21 CCTV video cameras, two alarm systems, and three panic buttons were installed in various locations on campus.



EMERGENCY RESPONSE PROCEDURES

Caltech's robust emergency preparedness and response program includes the ongoing development of response and recovery plans, as well as the training and exercising of our emergency response teams, volunteers, and campus community members. Resources regarding emergency procedures and personal preparedness are provided to the campus community through various outreach events and are available [online](#) and via printed materials.

Community members can obtain information on emergency communications, specific incident response procedures, training opportunities, and personal preparedness resources by visiting www.emergencypreparedness.caltech.edu.

Emergency Notification Process and Assessment and Notification of a Threat

As set forth in Caltech's Emergency Notification policy and the Campus Emergency Management Plan, Caltech will immediately notify the campus community upon confirmation of a significant emergency or dangerous situation occurring on the campus that involves an immediate threat to the health or safety of students or employees.

Examples may include an active shooter, a gas leak, a terrorist incident, an earthquake, meningitis, extreme weather conditions, a credible bomb threat, civil unrest or rioting, an exposure, or a nearby chemical or hazardous waste spill.

Emergency notifications will always begin with the words "Caltech Alert." Caltech Alerts are sent using our mass notification provider, Everbridge. Alerts are sent using the following distribution methods: voice calls/messages to landline and mobile phones, emails, and text messages to mobile phones and through the Everbridge app. In order to receive Caltech Alerts, all members of the Caltech community should ensure that their emergency contact information is up to date in the personal information section of [AccessCaltech](#) and have downloaded the [Everbridge app](#).

Caltech Security will immediately respond to, investigate, and make an initial determination as to the level of threat, based on information gathered from relevant sources including, but not limited to: officers at the scene; Pasadena fire or police; other local, state, or federal agencies; and individuals inside and outside the Caltech community who provide information.

Confirming a Significant Emergency or Dangerous Situation

Upon confirmation that there is an immediate threat to the health and/or safety of the campus community, the Director of Security, or designee, will issue a Caltech Alert unless issuing a notification will, in the professional judgment of responsible authorities, compromise efforts to assist victims or to contain, respond to, or otherwise mitigate the emergency.

Notification will be made without delay. Confirmation means that an Institute official or officials has verified that a legitimate emergency or dangerous situation exists. It does not mean that all pertinent details are known or even available.

Determining the Segment of Campus Community to Receive Alerts

Caltech has the option to determine that only a segment of the campus community will receive a particular emergency notification. However, in most cases, including those in which a pre-scripted message is sent, Caltech sends the emergency notification to all individuals in the campus alert system. If only a segment of the campus community is notified, there will be a continuing assessment of the situation and additional segments of the campus community may be notified if the situation warrants such action.

Pre-scripted messages sent by a security supervisor or security dispatcher will be sent to all individuals in the campus community. When other than pre-scripted messages are to be sent, the Director of Security, Incident Commander, or designees will review the facts known to them at the time, including but not limited to the type and scope of the threat, the risk to health or safety, the date and time of day (e.g. whether students and/or employees are on campus), and other relevant information gathered, and will determine whether to notify all or a portion of the campus staff, faculty, and students.

Determining Content of the Alert

The individuals set forth below will, without delay, and taking into account the safety of the community, determine the content of the notification and initiate the notification system, unless issuing the notification will, in the professional judgment of responsible authorities, compromise efforts to assist a victim or to contain, respond to, or otherwise mitigate the emergency.

The content of the notification will be determined after review of the facts known to them at the time, including but not limited to, the type and scope of the threat, the risk to health or safety, the date and time of day (e.g. whether students and/or employees are on campus), and other relevant information gathered. The notice will include the nature of the emergency and instructions to the community on appropriate actions. Pre-scripted templates are used as set forth below.

Initiating the Emergency Notification (Caltech Alert) System

The individuals below are authorized to send emergency notifications without consultation or approval (except as noted) when a situation exists that threatens the life or safety of individuals on campus. Emergency notifications are called “Caltech Alerts.”

Pre-scripted Caltech Alerts may be used. Individuals authorized to issue pre-scripted Caltech Alerts without further approvals include:

- **Campus Security Supervisors**
- **Campus Security Dispatchers, at the direction of any of the authorities identified below.**

In addition to the use of pre-scripted messages, when appropriate, the following individuals are authorized to determine the content (as set forth below) and direct the issuance of a Caltech Alert without further approvals:

- **Director of Campus Security**
- **Captain, Campus Security**
- **Lieutenant, Campus Security**
- **Incident Commander**
- **President, Vice Presidents, and General Counsel**

All Emergency Notifications will begin with the words “Caltech Alert” and will include the nature of the emergency and instructions to the community on appropriate actions.

Additional follow-up Caltech Alerts may be sent in consultation between the Director of Security and the Incident Commander or other senior Institute officials. When possible, the Public Information Officer will also have an opportunity to review follow-up Caltech Alerts.

Once an emergency has been resolved, an “all-clear” communication will be issued and contain relevant information on the resolution of the emergency. An example of this would be “The armed intruder has been taken into custody by law enforcement. There were no injuries to members of the Caltech community.”

Dissemination Methods

Caltech alerts are sent using our mass notification provider, Everbridge. Alerts are sent using the following distribution methods: voice calls/messages to landline and mobile phones, emails, and text messages to mobile phones, and through the Everbridge app. In order to receive Caltech Alerts, all members of the Caltech community should ensure that their emergency contact information is up to date in the personal information section of [Access.Caltech](#) and have [downloaded the Everbridge app](#).

Caltech has contracted with its mass notification provider, Everbridge, to provide the campus with an interactive emergency communications tool. The Everbridge app also gives users the ability to communicate via text and send photographs of suspicious persons/events directly to Caltech Security.

Addition methods of communication may include messages:

- posted on the [Caltech website](#), Caltech’s [Facebook page](#), and/or Caltech’s [Twitter feed](#);
- relayed through VHF radio or runners; and/or
- placed in hard-copy form in strategic locations on campus.
- via text and send photographs of suspicious persons/ events directly to Caltech Security.

All members of the campus community are strongly encouraged to call Security at x5000 or (626) 395-5000 to report any emergency or potentially dangerous situation. In the event of a Caltech emergency that could impact the surrounding community, Caltech’s Strategic Communications team will alert local agencies to relay relevant information.

These communications will be coordinated through Caltech’s Public Information Officer.

The Director of Security or designee will promptly consult with other senior Institute officials regarding the significant emergency or dangerous situation and will determine what follow-up information, if any, to release; to whom it should be sent; the content of the notification; and which of the above distribution channels should be used.

Notifications Outside Campus Community

Information may be posted on the Caltech website, Facebook and/or Caltech’s Twitter feed; messages may be relayed through VHF radio or runners; and hard copy postings may be made in strategic locations on campus. These communications will be coordinated through the Public Information Officer.

EMERGENCY DRILLS, TESTING, AND EVACUATION PROCEDURES



Emergency Response Drills and Exercises

Caltech's Campus Emergency Management Plan is tested and evaluated through numerous exercises and drills designed for assessment and evaluation of emergency plans, procedures, and capabilities. Caltech follows established Institute procedures and schedules annual drills, publicizing the emergency response and evacuation procedures in conjunction with the test to educate the campus community. These exercises are broadly publicized and include the nature of the exercise and the date and time of the exercise.

In addition, information is provided to the community regarding access to emergency plans and evacuation procedures in conjunction with the test. Assessment and evaluation plans are part of each drill and exercise. Information on campus emergency preparedness, including annual reports, is available [online](#).

Caltech performs quarterly campuswide tests of its electronic notification system. Additionally, exercises are conducted on a regular basis to test the response and capabilities of the Emergency Operations Center (EOC) and associated campus critical operations.

One such drill is the annual statewide Great California ShakeOut, which occurs in October. All members of the Caltech community—including students, faculty, and staff—are advised of the drill and encouraged to participate. This drill is broadly announced through the weekly *Ion Caltech* newsletter for the Caltech community, community-wide email messages, Everbridge alert system, and specific communications to building coordinators, floor wardens, and division administrators. An After Action Report (AAR) is developed after all drills.

Campus buildings are evacuated annually; student housing is evacuated four times a year. These drills are unannounced. In 2019, campus evacuation drills took place in March, June, October and December. Emergency response and evacuation procedures are posted throughout campus in emergency response guides and online at www.emergencypreparedness.caltech.edu.



Emergency Management Programs, 2019

In 2019, several specific emergency management educational programs took place to better prepare and train the Caltech campus community. These events are highlighted in the [Emergency Management 2019 Annual Report](#) and include:

Building Safety Assessment Training and Exercise—January 24, January 25, and July 10, 2019

Disaster Recovery Team (DRT) members from Facilities, Student Housing, Faculty Housing and Security's Special Response Officers were trained on team activation procedures, building assessment, and reporting protocols. Three sessions were offered to allow for maximum attendance.

Virtual EOC (Emergency Operations Center) Exercises—January 30, July 26, August 1, 2019

Three virtual EOC training exercises were held in 2019 with the EOC Command and select EOC members to strengthen the team's ability to manage incidents and share information when the EOC cannot activate in a physical location.

Executive Policy Group Tabletop—February 25, 2019

The Executive Policy Group participated in an active shooter exercise that considered key strategic decisions that should be anticipated during the initial, early, and long-term recovery stages.

FEMA Incident Command System (ICS) Certification—Feb-June, 2019

Eighty-five percent of EOC members have received certification in Incident Command System trainings. The Incident Command System is a standardized approach to the command, control, and coordination of emergency response providing a common hierarchy within which responders from multiple agencies can be effective. All EOC members were asked to complete three online FEMA classes: ICS-100 Introduction to the Incident Command System (ICS), IS-700 Introduction

to the National Incident Management System (NIMS), and IS-800 Introduction to the National Response Framework (NRF) between. EOC members were asked to complete the classes at their convenience between February and June.

Building Safety Assessment Drill—March 6, 2019

Applying the knowledge from the Building Safety Assessment training in January, a drill was held to practice activation, assessment, and reporting procedures. The EOC team practiced consolidating and mapping damage reports. Participants included Facilities, Faculty Housing, and EOC members. Disaster Recovery Team members also participated in the Annual Earthquake Exercise on November 12.

Campus Violence Prevention Campaign—May 10-24, 2019

Each spring, Divisions and Departments are encouraged to conduct workplace violence tabletop exercises. Scenarios tailored to reflect individual work environments are provided to facilitators along with facilitator training and guidance. Participating groups discuss scenarios and individual response procedures, practice securing and exiting their locations, and facilitators ask attendees to complete an Individual Action Plan. Since the campaign began in 2013, most administrative departments have participated; many on an annual basis. Several Lab groups have participated in the past year. Increased faculty awareness and support of the campaign is a focus for 2020.

Water Filtration Training and Activation—June 6, 2019

Facilities personnel that would be assigned as members of the Water Retrieval team received training on the Institute's emergency water filtration unit and practiced setting up the unit.

Building Evacuations—June 24-28, 2019

In coordination with annual Fire Bell testing, all campus building occupants were evacuated over four days of unannounced drills. Evacuation procedures, including assembly at the designated "Emergency

Assembly Area” and the process for accounting for building occupants, were evaluated. Student Housing evacuations are conducted four times a year and occurred on March 8, June 25, October 6 and December 3.

Pasadena Fire Department Tabletop Exercises—July 1, 11, 15, 2019

All Pasadena stations are escorted through campus on an annual basis by Environment, Health and Safety personnel. These tours are divided into 9 sessions over 3 days. In addition to familiarizing firefighters with the campus, hazmat response tabletop exercises were conducted during each tour. Exercise participants obtained useful feedback on how information at the Command Post is best shared to maximize the Fire Department’s response capabilities.

Generator Refueling Exercise —July 31, 2019

Facilities personnel were provided with hands-on emergency generator refueling procedures and practiced refueling a campus generator.

Great California ShakeOut Drill—October 17, 2019

Members of the Caltech community, along with over 10.8 million other Californians, practiced earthquake preparedness by following the “Drop, Cover and Hold On!” procedure during the annual Great ShakeOut Earthquake Drill. This was the 12th year of participation in this earthquake preparedness drill. A Personal Preparedness Fair was held in Avery Courtyard following the drill.

Functional Earthquake Exercise—November 12, 2019

The Emergency Operations Center, Hazmat Response Team, Disaster Recovery Teams, Security, Student Affairs, and representatives from several Divisions and business units, as well as affiliates such as the Athenaeum and the Caltech Childcare Center, participated in the annual functional earthquake exercise. Teams practiced communicating between Division Control Centers and the EOC using radios, phones, and runners. Building conditions and urgent issues were collected and prioritized using both an online collaboration tool and non-electronic boards. Plans in the Campus Emergency Management Plan were activated and tested.

Family and Victim Assistance Training and Exercise – November 21, 2019

A session was held to review elements of the Family and Victim Assistance Plan. The plan addresses how the Institute will interface with law enforcement, medical providers and the City to ensure appropriate information and support services are provided to victims and families of victims involved in a mass casualty event. An active shooter scenario was discussed to highlight roles and responsibilities and identify areas for further plan development.

VIOLENCE PREVENTION



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.

Scope

A. 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.

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 ages 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.

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 –
Employee Relations | 626-395-8039**

Dean of Students | 626-395-6351

Dean of Graduate Studies | 626-395-6346

Provost's Office | 626-395-6320

**Assistant Vice President of Equity and Equity
Investigations, and 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
818-354-9999 or 818-405-7536

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.

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.”

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.

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

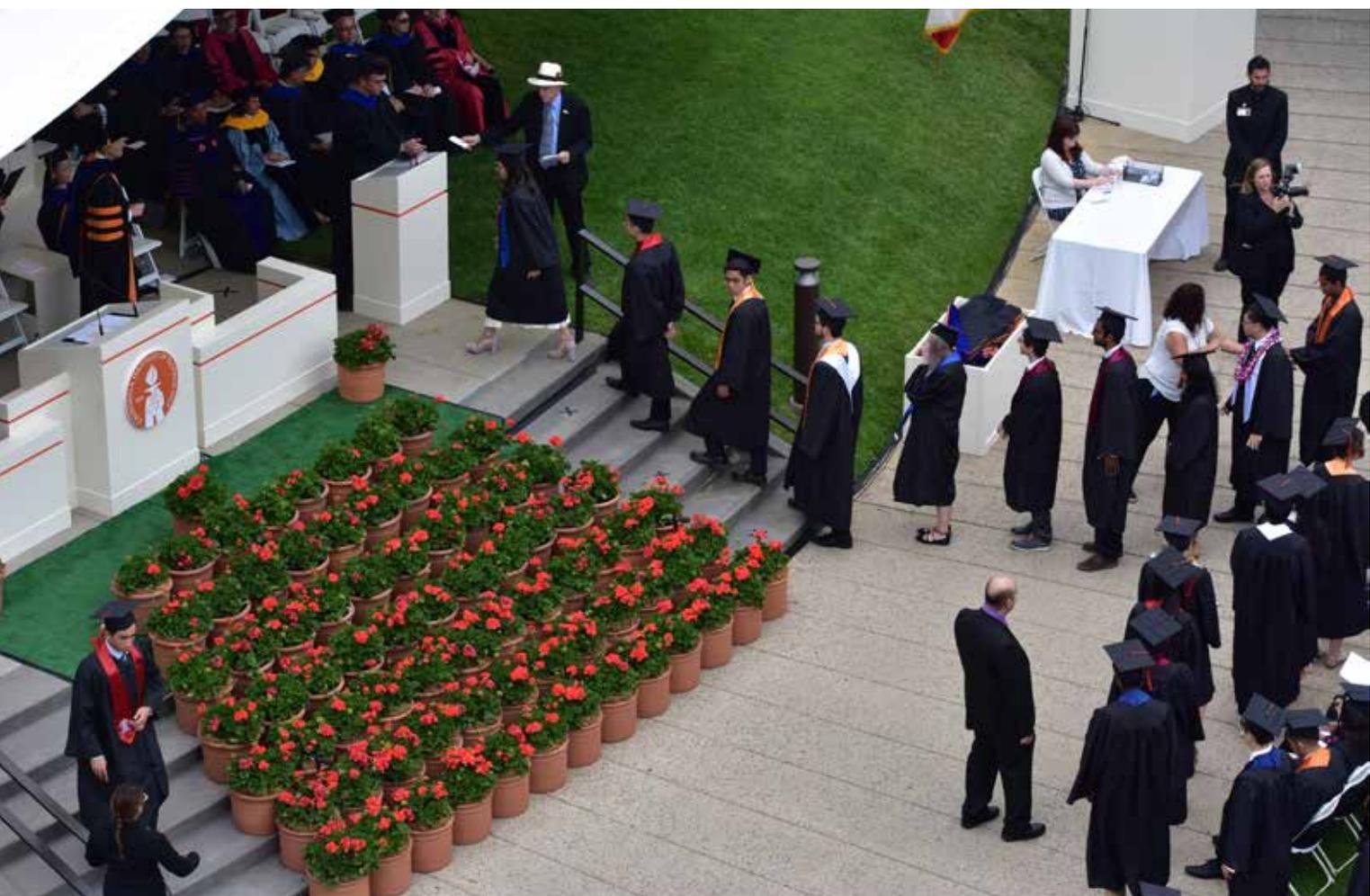
Staff and Faculty Consultation Center
626-395-8360

Human Resources/EOD | 626-395-8039

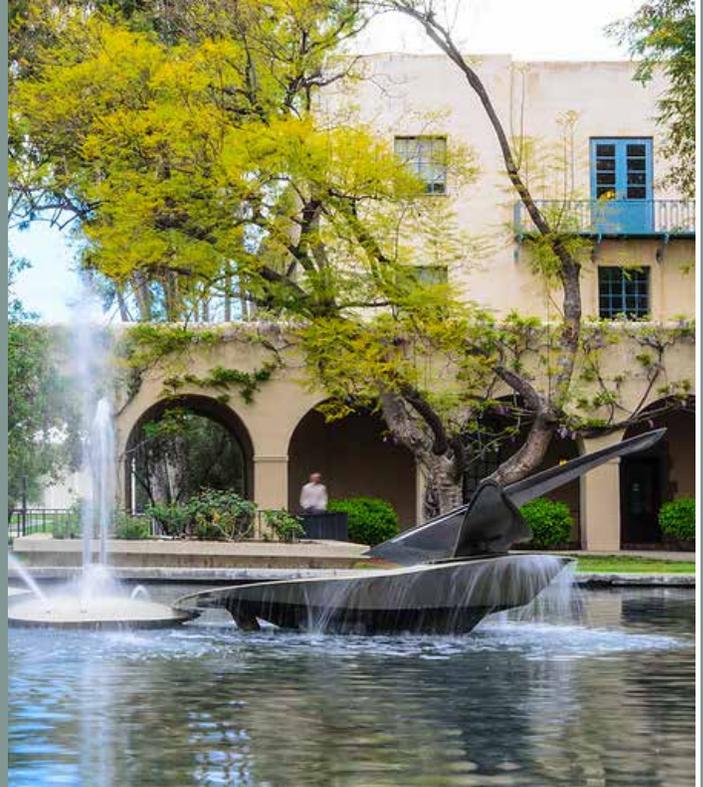
JPL

Human Resources | 818-354-4447

Empathia/Life Matters | 800-367-7474



SUBSTANCE ABUSE POLICY



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.

Scope

A. 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.

B. 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..

C. 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.

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.

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.

A. 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..

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.

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.

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.

Caltech Sanctions

Caltech will impose sanctions for violations 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 suspension or expulsion from Caltech, and referral to law enforcement for the most serious violations of the law and this policy. Disciplinary action may be invoked entirely apart from any civil or criminal penalties that the faculty, staff, postdoctoral scholars and students might incur.



STUDENT AND EMPLOYEE SUBSTANCE ABUSE POLICY



Caltech Student Programs

Our annual primary prevention program is Everfi's Alcohol Education and Sexual Assault Prevention program. This online educational program surveys incoming students and provides them with information on alcohol and other drug use, sexual misconduct prevention, expectations for policy compliance, and consequences of problem behavior. Incoming undergraduate students are then surveyed again in the fall after the start of the school year.

Trends and concerns are identified and suggestions are made for policy and educational changes, referral processes, and risk-reduction programming. This program has helped Caltech frame conversations with students on their behavior and the potential outcomes of their choices.

Ongoing student programs include informational presentations and student discussions within various residential environments. Informational presentations are utilized to provide evidence-based alcohol and other drug education, as well as to foster conversations about making healthy choices, bystander intervention, and how individual behaviors impact the larger community. Caltech also provides prevention training for the Summer Undergraduate Research Fellowship students, including a workshop on college drinking culture, signs of alcohol poisoning, the effects of alcohol and other drugs on the body, and making decisions to drink in lower risk ways.

Discussion-based programs are offered by Student Counseling Services to all graduate and undergraduate communities. Various workshops and lunchtime trainings are offered to the campus community throughout the academic year.

Students may be referred for individual alcohol and other drug consultations, assessment, and treatment by the residential life coordinators, deans' offices, or other campus partners. Caltech's alcohol and other drug education and intervention coordinator is Naj Alikhan, LMFT. Counseling Services maintains a number of [substance abuse resources](#) online.

Caltech Employee Programs

For employees, the Staff and Faculty Consultation Center (SFCC) presents drug and alcohol education to new staff and postdocs on a monthly basis. The SFCC also presents programs to academic divisions and employee groups to distribute information on drug/alcohol voluntary self-identification and encourage voluntary Employee Assistance Program (EAP) participation in case of abuse.

SEXUAL MISCONDUCT AND TITLE IX

Caltech prohibits all forms of sex- and gender-based discrimination, harassment, and sexual misconduct including sexual assault, non-consensual sexual contact, dating violence, domestic violence, sexual exploitation, and stalking. Caltech also prohibits retaliation against an individual who reports, submits a complaint, or otherwise participates in good faith in any matter related to Caltech's Sex- and Gender-Based Misconduct policy.

Caltech Prohibits Sexual Assault, Dating Violence, Domestic Violence, and Stalking

Caltech's Sex- and Gender-Based Misconduct Policy and the related procedures set forth Caltech's policy, including responses to reports of sexual misconduct including sexual assault, non-consensual sexual contact, dating violence, domestic violence, sexual exploitation, and stalking. These documents provide comprehensive information on: prohibited conduct, the definition of consent, retaliation, privacy, preservation of evidence, resources, reporting option and procedures, notification to law enforcement, and requests for confidentiality or that a complaint not be pursued.

The Institute is committed to providing supportive measures for both parties in the process.

Accommodations and supportive measures that may be taken include mutual "no contact orders," changes to housing, and academic accommodations. The Equity and Title IX Office, together with Caltech Security, will assist complainants with restraining orders and assistance from law enforcement. State jurisdictional information is available in Appendix B.

The Institute will protect the privacy of complainants and respondents by not disclosing personally identifying information about them in publicly available records except as required or allowed by law as well as by maintaining privacy regarding accommodations or supportive measures. Accommodations or supportive

measures are available if the complainant requests them and if they are reasonably available and do not unreasonably burden the other party. The Institute also provides written notification to complainants regarding rights and options, counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, student financial aid, and other resources, both within the Institute and community.

The Title IX Coordinator and/or Deputy Title IX Coordinators (for staff, postdocs, faculty, and JPL education programs) will provide written notification to complainants regarding options and assistance with academic, living, working, and other supportive measures. The Institute provides the complainant with Caltech's Sex- and Gender-Based Misconduct Policy, which explains their rights and options following a report of sexual misconduct.

The Policy and related procedures address the Institute's procedures for investigating formal complaints and other available options, as well as respondents' rights, including a respondent's right to receive notice of the alleged factual basis underlying the complaint and a summary of the evidence supporting the complaint. Respondents may also request supportive measures. Further specifics of the procedures for investigating complaints of sexual misconduct are detailed in the Procedures for Complaints of the Sex- and Gender-Based Misconduct under Title IX.

The Institute has made concerted efforts to reduce the risk of sexual violence—including sexual assault, dating violence, domestic violence, and stalking—on campus by providing extensive training and offering discussion sessions with students, faculty, and employees exploring these concerns. A key area of focus for the Equity and Title IX Office is lab-based training for faculty, students, staff, and postdocs regarding policy scope, bystander intervention, lab communications, and resources.

Title IX training is consistently conducted throughout the campus with students, faculty, and employees, both in person and online.

Both Clery and California jurisdictional definitions of sexual assault, dating violence, violence, and stalking are included in Appendix B.

The policy and procedures, as well as detailed information concerning resources, reporting, and training information are available at the [Equity website](#).

Available Support

The community is given clear and ongoing instruction about whom to contact regarding sexual violence. If someone wants to report a policy violation, or needs support as the result of an experience with sexual misconduct, there are many resources available. These include:

- A.** Security for emergency response;
- B.** Campus Sexual Violence Advocate for crisis response, case management, and advocacy
- C.** the Title IX Coordinator and Security, and/or local law enforcement for reporting options;
- D.** confidential support from the Student Wellness Services Counseling Center or the Staff and Faculty Consultation Center; and
- E.** local medical personnel for health response and pregnancy and disease prevention.

Caltech's Sex- and Gender-Based Misconduct Policy outlines the resources available to support a student or employee who has experienced sexual violence.

CARE

The campus has a multidisciplinary [CARE team](#), which may be brought together in the aftermath of a serious student incident, including sexual assault, in order to

ensure that all resources and support are available for all parties. Resources include notification of academic, living and other supportive measures that are available and determined to be reasonable for the safety and support of both parties. The CARE team will also advise Security if the team believes that a Timely Warning is necessary.

Resolution of Complaints

Caltech's Procedures for Complaints of Sex- and Gender-Based Misconduct under Title IX—which include procedures for domestic violence, dating violence, stalking, and sexual assault—provide for a prompt, fair, and impartial process from the initial investigation to the final result.

The complainant and the respondent are provided the same opportunity to have an advisor of choice to support them in the proceedings, including the opportunity to be accompanied by their advisor to any related meeting or proceeding. Both parties are given equal opportunity to present their cases, to suggest others who might be interviewed, and to present other evidence. Comprehensive information on complainants' and respondents' rights, responsibilities, and options for support are all available in the Caltech Procedures for Complaints of Sex- and Gender-Based Misconduct under Title IX, which is included in this report.

The Institute will, upon written request, disclose to the alleged victim of a crime of violence or a non-forcible sex offense, the report on the results of any disciplinary proceeding conducted by the Institute against a student who is the alleged perpetrator of such crime or offense. If the alleged victim is deceased as a result of such crime or offense, the next of kin of the victim shall be treated as the alleged victim.

Bystander Options

Caltech has developed a bystander education program for students that includes information to promote safety at events and healthy and safe interactions among students. Bystander intervention training is conducted for all first-year undergraduate and graduate students at the Institute as well as for athletes, leaders, peer educators, and residential experience teams. The curriculum for the program involves the four “Ds.” These include empowering a bystander to distract someone in an unsafe situation, delegating the need to intervene to someone who can, because of position or relationship to the student, delaying an interaction so that the

bystander has time to access one of the other methods for preventing a problem, or using direct language to confront someone.

All trainings emphasize the importance of prevention as a mechanism for addressing sexual misconduct in the community. Helping students appreciate that they can reduce the possibility of sexual misconduct is key to this effort. The message includes how sexual violence can destroy or end someone's college experience and that neither of these outcomes is congruent with the values of the community. Programs also offer students information on warning signs. Discussions about alcohol, sexual behaviors when alcohol is present, and how to manage a situation before something bad happens are critical to these programs.

Overview of Student Programs

Sexual misconduct awareness and prevention programs, bystander intervention programs, and risk reduction programs are presented to the community each year. Incoming students are trained on Caltech policies and procedures including the definitions of sexual misconduct, domestic violence, dating violence, stalking, sexual assault, and consent. They are also educated on how to file a Title IX complaint, the confidential and programmatic resources available at Caltech, and ongoing prevention and bystander intervention initiatives. These programs all have the goal of risk reduction and support for students.

"Responsible Employees" are identified in the policy, along with their roles as reporting resources for students. A Responsible Employee is a Caltech employee who has the authority to redress sexual misconduct.

Programs are mandatory for all new students to ensure that each person has a clear understanding of the Institute's expectations. During these presentations, the definitions of each offense are reviewed and sanctions are discussed. Student groups, leaders, athletes, peer educators, residential life personnel, undergraduate and graduate Title IX Student Council board members, and resident associates are all exposed to ongoing education about the issues associated with harassment and misconduct.

Caltech also provides bystander intervention training in order to encourage students to intervene when there's a risk of sexual violence against another person. Risk reduction is a key component of all programming at Caltech.

In addition, undergraduate students participate in a Title IX summit that addresses issues of harassment and sexual misconduct. At the summit, students identify issues and prepare a plan for programming in order to meet community needs and ensure that their peers are effectively educated and trained.

Overview of Staff and Faculty Programs

Caltech's Title IX Coordinator works in conjunction with Human Resources and other campus organizations to provide ongoing awareness and prevention programs, bystander intervention programs, and risk reduction programming to current staff and faculty. Human Resources conducts Title IX training and covers all Institute policies for incoming employees and new faculty through orientation.

In addition, Caltech requires that all supervisory personnel participate in a two-hour training covering sexual harassment and Title IX every two years and California law requires all employees to attend online training as well every two years. These were offered online and in-person to the community. Responsible Employees are trained to assist students with reporting and resources in cases of sexual misconduct, sexual harassment, and/or discrimination. Title IX resource cards, which include information on how to talk with someone who wants to make a report, how to follow up, and what information to provide the reporting party, are distributed to all Responsible Employees at training programs to provide reporting, counseling, and practical tips for helping students/employees.

The student, staff, postdoc, and faculty programs reinforce Caltech's policy that sexual misconduct in any form, including sexual assault, dating violence, stalking, or domestic violence, will not be tolerated. They provide information on

- the options for reporting sexual violence, including reporting to Caltech authorities or local law enforcement;
- what constitutes consent;
- safe and positive options that a bystander can take if they witness potential domestic violence, dating violence, sexual assault, or stalking; and
- how to recognize the risks and warning signs of potential violence

The Equity and Title IX team and Student Affairs provide ongoing programs that heighten the community's awareness of the need to take action to prevent sexual violence on campus. These programs include presentations focused on sexual assault, dating violence, stalking, and domestic violence.

Sexual Misconduct Awareness Educational Programs

The Equity and Title IX Office is a high visibility, highly connected campus resource for students, faculty, and employees. The office develops and implements an annual calendar of formal training and communication messages to be disseminated across all campus communities on a planned and recurrent schedule, with the collaborative involvement of many campus partners. The programs listed below represent ongoing Title IX training and education efforts. Caltech training identifies that the Institute prohibits all forms of sexual misconduct including dating violence, domestic violence, sexual assault, and stalking, and provides definitions of these crimes.

Title IX Training

The Equity and Title IX Office provides highly visible, annual, and ongoing training for Caltech undergraduate and graduate student groups. Training includes information on Title IX and Clery policies, protocols, responsibilities, bystander education, reporting options, confidential resources, and other on- and off-campus resources for students and employees. Training includes how employees should respond if a crime is reported to them and rights and options available to them if they become a victim of crime. Student groups trained include all first-year students (during orientation), upper-class counselors, the Graduate Honor Council, international students, advisory councils, freshman advisers, student housing facilities, option representatives, Residential Life Coordinators, and many student activity groups.

Students—Training the Title IX Undergraduate and Graduate Advisory Councils

The Equity and Title IX Office provides highly visible, ongoing training, leadership development, and community discussion regarding Title IX issues with students. The advisory councils meet two to three times per academic period to provide campus feedback from students and to further Title IX education through peer education.

Training includes Title IX policies, protocols, reporting options, responsibilities, on- and off-campus resources, and guidelines for how to help a friend, bystander education, and house training needs.

Students—Bystander Intervention Training

This training is focused on bystander intervention as a strategy for preventing sexual violence. Strategies addressed include: learning ways to prevent sexual violence, such as naming and stopping situations that could lead to sexual violence before it happens; stepping in during an incident; and speaking out against ideas and behaviors that support sexual violence.

Students—Title IX Training and Assessment for Graduate Students

The program discusses the climate on campus and addresses issues of concern, including how to train and educate the community, provide resources for faculty and student recruitment, and reduce barriers to reporting.

Students—Title IX Summit

This program is for all undergraduate student leaders to discuss definitions, protocols, reporting and resource information, bystander education, and how to help a friend. Plans and programs are developed for the following year.

Students—Giving Voice

The Equity and Title IX Office collaborated with Caltech Professor Melany Hunt with her NSF grant to create videos using student advocates to address issues of consent, bystander intervention, and community responsibility to make Caltech a safer place and a stronger community whose members care for one another.

Students—Title IX at House Dinners

The Equity and Title IX Office attended student house dinners to discuss Title IX issues, trends, house culture and ongoing training opportunities.

Students—Title IX Trainings at Orientation

All new graduate and undergraduate students attend a required training on Caltech policies, definitions, protocols, reporting and resource information, possible sanctions, bystander education, and skill development regarding how to help a friend in need.

Students—Online Training

New graduate and undergraduate students, other undergraduate students, and student athletes review policies, bystander intervention, reporting information, and other resources regarding Title IX. Undergraduate students also receive alcohol use education.

Students—Frosh Camp Counselor Diversity Training

Frosh Camp Counselor (FCC) Diversity training provides tools and techniques to help FCCs create a safe and welcoming environment for incoming freshmen. Training topics include identity, unconscious bias, and managing micro-aggressions.

Students—Tabletop Investigation with Graduate Student Council

This Equity and Title IX training is a mock situation and corresponding investigation so that graduate students can better understand the investigation process and decisions that are made by investigators.

Students—Take Back the Night

This program includes speakers, a vigil, and a speak-out, in which survivors of sexual assault tell their stories.

Students, Faculty, and Staff—Denim Day

This rape prevention campaign includes the wearing of denim in support of rape prevention, and is organized by the Equity and Title IX Office in conjunction with the Caltech Center for Inclusion and Diversity.

Students, Faculty, and Staff—Sexual Assault Awareness Month

This campaign includes various events focused on breaking the cycle of interpersonal violence, including a self-defense workshop, Art Night and *Hunting Ground* screening.

Students, Faculty, Postdocs and Staff—Safe Zone Trainings

The purpose of the Caltech Safe Zone Program (“Tech Zone”) is to continue to foster an affirming and engaging campus climate by identifying and educating members of our campus community who are visibly supportive of lesbian, gay, bisexual, transgender, intersex, queer, and questioning students, as well as all individuals regardless of sexual orientation and gender identity.

Faculty—Faculty Meetings

The Equity and Title IX Office trained faculty members at the Faculty Board meeting and through division-specific faculty meetings to address Title IX issues, trends, Responsible Employee reporting, and bystander intervention.

Staff—Title IX Training for Athletic Staff

This training is for Caltech coaches and athletic department employees and covers policies, Responsible Employee protocols, bystander education, and team training needs.

Staff—Quarterly Managers Briefing

The Equity and Title IX Office provides Title IX information, trends, updates and training to Caltech managers to encourage awareness and implementation of Responsible Employee guidelines.

Staff—Title IX for Employee Groups

The Equity and Title IX Office provides highly visible, annual, and ongoing training for Caltech employee groups. Training includes Title IX policies, protocols, responsibilities, bystander education, reporting options, confidential resources, and other on- and off-campus resources for students and employees. Employee groups trained include Security, Residential Experience, Student Affairs administrators, staff, faculty, and postdocs.

Staff—New Employee Orientation

This regular orientation for new employees includes information about how to report and seek support regarding Equity and Title IX issues. Responsible Employee requirements are also discussed.

Staff—Mandated Reporter Training

These trainings are for personnel who work with minors at the Institute.

Staff—Caltech Postdoc Association

The Equity and Title IX Office collaborated with the CPA Board to deliver targeted training to postdoc Board leadership and then division-specific training on Title IX issues, bystander intervention, climate concerns, and relevant scenarios.

Students, Faculty, and Staff— Lab-Based Trainings

Working collaboratively with labs on campus, the Equity and Title IX Office conducts training regarding policy scope, bystander intervention, lab communication, scenarios, and resources.

Prospective Parents— Title IX Training for Parents of Prospective Undergraduate Students

This training focuses on educating parents regarding the reporting and resource information on campus and how to prevent and respond to all forms of harassment and violence.

Students, Faculty, and Staff— Personal Preparedness Fair

The information and vendor fair provides key resources regarding personal preparedness to the campus community, including Title IX information.

Staff—Title IX Training for Security Staff

This training is for Caltech security officers and covers mandated reporting, Responsible Employee protocols and responding to sexual assaults.

Staff—Trauma Informed/ Title IX Training for Security Staff

This training is for Caltech security officers and covers what to expect when responding to calls from individuals involving trauma situations indicating sexual assault.

CALTECH'S SEX- AND GENDER-BASED MISCONDUCT POLICY



SECTION 1: 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 nonsupervisory 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 (see the Resources chart on Page 18) 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.

SECTION II: REPORTING CONCERNS AND COMPLAINTS

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 Coordinators 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

HIMA VATTI
Assistant Vice President for Equity and
Equity Investigations
Office: 205 Center for Student Services
(626) 395-3132
equity@caltech.edu

Lead Investigator

BRIAN QUILLEN
Office: 348 Center for Student Services
(626) 395-4424
bquillen@caltech.edu

Deputy Title IX Coordinator for Students

ALLIE MCINTOSH
Office: 105 Center for Student Services
(626) 395-1743
allie@caltech.edu

Deputy Title IX Coordinator for Faculty

MELANY HUNT
Office: 265 Gates-Thomas
(626) 395-4231
hunt@caltech.edu

Deputy Title IX Coordinator for staff and postdoctoral scholars

OFELIA VELAZQUEZ-PEREZ
Office: 206 Central Engineering Services
(626) 395-3819
Ofelia.Velazquez-Perez@caltech.edu

Deputy Title IX Coordinator for JPL

JACKIE CLENNAN-PRICE
Office: Human Resources T1720-149
(818) 354-2983
Jackie.A.CleNNanprice@jpl.nasa.gov

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

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](#)

207 N. Garfield Ave. | Pasadena, CA 91101

Call 911 for Emergency Response

Non-Emergency Response:

(626) 744-4241

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

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 <https://www.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 <http://bppe.ca.gov>.

NASA-funded program participants may file a complaint at AssistedProgramComplaint@nasa.gov or find more information at <https://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 <https://www.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 individual 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

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

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

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

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.¹

- 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.

¹ A minor under the age of eighteen (18) is deemed to be incapable of providing affirmative consent under this policy.

13.5.1 Dating violence

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

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

Sexual assault means an offense classified as a forcible or nonforcible sex offense under the uniformed 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

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

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: [1E1](#) Human Resources, Equity and Title IX Office, and Student Affairs.



Thomas F. Rosenbaum
President



24-Hour a Day/7 Days a Week

Campus Security (reporting and/or to reach confidential or other resources)

(626) 395-5000

Security can assist with safety situations, contact law enforcement, provide transportation vouchers to off-campus resources and contact mental health resources. The caller must simply provide a phone number where the confidential or other resource can reach the caller. Names and other information regarding the incident need not be provided to Campus Security.

JPL Protective Services Division (reporting and/or to reach confidential or other resources)

(818) 393-3333 | (818) 354-3333

The JPL Protective Services Division can assist with safety situations, contact law enforcement, arrange for transportation to access off-campus resources, and contact the caller's choice of a confidential or other resource. The caller must simply provide a phone number where the confidential or other resource can reach the caller. Names and other information regarding the incident need not be provided to the Protective Services Division.

On-Campus Confidential Resources

Caltech offers members of the Caltech community the choice of seeking confidential counseling. 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. Except as otherwise provided below, confidential resources will not share information without the express permission of the individual. Speaking to a confidential resource is not a report to Caltech, and no investigation will be triggered.

CALTECH MENTAL-HEALTH PROFESSIONALS

Caltech's mental-health professionals in Student Counseling Services and the Staff and Faculty Consultation Center will not report any information about an incident to Caltech, including to the Title IX Coordinator unless requested by their client. These professionals are prohibited from breaking confidentiality unless there is an imminent threat of harm to self or others or as otherwise permitted by law. When a report involves suspected abuse of a child under the age of 18, these confidential resources are required by state law to notify child protective services and/or local law enforcement. They can be contacted 24 hours a day/7 days a week.

For Students:

(626) 395-8331

Student Counseling Services

(626) 395-8331

after hours, press #2 to be connected to on-call service

For faculty, campus staff, and postdoctoral scholars:

(626) 395-8360

[Staff and Faculty Consultation Center](#)

(626) 395-5000

after hours via Security

For JPL employees:

(800) 367-7474

Empathia/Life Matters – identify yourself as a JPL employee

mylifematters.com (Password: JPL)

CALTECH CENTER FOR INCLUSION & DIVERSITY

Designated confidential resources (identified below) in the [Caltech Center for Inclusion & Diversity](#) can generally talk to a complainant or respondent without revealing to Caltech any personally identifying information about an incident. Designation as a confidential resource exempts the resource from reporting information received about Prohibited Conduct to the Title IX Coordinator, but does not exempt them from other legally mandated disclosure obligations, such as under child abuse reporting laws, the CLERY Act and in legal proceedings. For example, when a Clery report is required, a Confidential Resource in the Caltech Center for Inclusion & Diversity will keep the identify of the individual(s) confidential, but will report the nature, date, time and general location of an incident to Security for purposes of Clery reporting. This information will be included in aggregate statistics (with no identifying information) for inclusion in Caltech's Annual Security Report, if required.

Taso Dimitriadis | (626) 395-8108

Erin-Kate Escobar | (626) 395-3221

CAMPUS ADVOCACY

The Sexual Assault Advocate Case Manager is a Peace Over Violence (POV) staff person who is located on the Caltech campus; they will have their own designated office to provide confidential support to students and staff.

The Sexual Assault Advocate Case Manager is trained to provide:

- A. Crisis Intervention**
- B. Emergency Advocacy, including accompaniments**
- C. Follow-up services and comprehensive case management**

Teresa Mejia | (626) 395-4770

ON-CAMPUS MEDICAL RESOURCES

Note that medical providers (but not psychological counselors) are required to notify law enforcement when they receive a report of assaultive or abusive conduct, including sexual assault.

Caltech's Student Wellness Services is committed to providing compassionate and quality medical help to a student who has experienced sexual violence. Caltech's medical professionals will not report any information about an incident to Caltech, including the Title IX Coordinator, unless requested by their client.

Student Wellness Services

**1239 Arden Rd. | Pasadena, CA 91106
(626) 395-6393**

OFF-CAMPUS RESOURCES

Peace Over Violence

(24-hour emergency services offer victims of sexual assault, domestic violence and stalking emotional support, information, compassion, accompaniment, referral and advocacy services.)

892 N. Fair Oaks Avenue, Suite D
Pasadena, CA 91103

(626) 584-6191
(626) 793-3385 (24 hours)

San Gabriel Valley Medical Center

(24-hour medical care, emotional support and comprehensive exams including forensic evidence collection (the “rape kit”). The Sexual Assault Response Team (SART) Hotline provides immediate connection to on-call nurse for sexual assault services.)

438 West Las Tunas Drive
San Gabriel, CA 91776

(626) 289-5454

Sexual Assault Response Team (SART) Hotline:

(877) 209-3049 (24 hours)

The Rape Treatment Center at Santa Monica-UCLA Medical Center

(24-hour emergency medical treatment for victims of sexual assault, including forensic services (the “rape kit”.)

(310) 319-4000
Press “3” to be connected to a clinician

www.911rape.org

Huntington Memorial Hospital

(24-hour emergency and trauma services. Social workers available to provide counseling as needed.)

100 W. California Blvd. | Pasadena, CA 91105

(626) 421-7733

Planned Parenthood

(Health clinic for emergency contraception and disease prevention, pregnancy resources, birth control and family planning.)

1045 N. Lake Avenue | Pasadena, CA 91104

(626) 798-0706

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:

- A.** a reasonable assessment of any safety concerns posed to any member of the Caltech community or Caltech's campus;
- B.** 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;
- C.** whether and what supportive measures are warranted; and
- D.** 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 coordinator 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 that knowingly making false statements or submitting false information is prohibited and may subject the offending party to discipline

XI. Dismissal of 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, decision 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.

REGISTERED SEX OFFENDERS

The Campus Sex Crimes Prevention Act requires the police to track convicted sex offenders enrolled at or employed by institutions of higher education. Sex offenders are required to register with local law enforcement. The Pasadena Police Department is the local law enforcement agency for registering and getting information regarding sex offenders in the area. To identify local sex offenders, online access is available at <http://meganslaw.ca.gov/>.

PASADENA POLICE DEPARTMENT

201 Garfield Ave. | Pasadena, CA 91101
(626) 744-4501



MISSING STUDENT NOTIFICATION

Caltech takes student safety very seriously. To this end, the following policies and procedures have been established to assist in locating Caltech students living in Caltech on-campus housing who, based on the facts and circumstances known to Caltech, the Institute has determined to be missing for more than 24 hours.

At the beginning of each academic year, Caltech will provide students with information about its missing student notification procedures for students who reside in on-campus student housing facilities.

The information will include the following:

- Students have the option of identifying an individual to be contacted by Caltech within 24 hours after the time the student has been determined to be missing.
- Undergraduates can register their confidential contact information with the Dean of Students Office (626-395-6351) and graduates can register it with the Office of Graduate Studies (626-395-6346). This information will be accessible only to authorized campus officials and may not be disclosed except to law enforcement personnel in a missing person investigation. If a student chooses not to provide a confidential contact and is deemed to be missing, Caltech will notify the student's emergency contact or parent.
- If the student is under 18 years of age, and not an emancipated individual, Caltech is required to notify a custodial parent or guardian within 24 hours of the determination that the student is missing, in addition to any additional contact person designated by the student.
- Caltech will notify the appropriate law enforcement agency within 24 hours after the time that the student is determined to be missing.
- If Caltech Security or law enforcement personnel have been notified and subsequently make a determination that a student who is the subject of a missing person report has been missing for 24 hours and has not returned to campus, Caltech will initiate the emergency contact procedures in accordance with the student's designation.
- Caltech will follow this notification procedure for a missing student who resides in on-campus housing.
- Any faculty, staff, or student who believes a student is missing or has been missing for 24 hours, must immediately notify Security. Once Caltech receives this missing student report, Security will notify the following offices and administrators:
 - A. Vice President for Student Affairs and the deans
 - B. Director of Housing and the Senior Director, Student Activities and Programs.
- Any official missing person report relating to this student shall be immediately referred to Security.
- If Security, after investigating the report, determines that a student has been missing for 24 hours, Caltech will contact the individual identified by the student, the custodial or legal guardian, if the student is under 18 and not emancipated, and local law enforcement within 24 hours.

The full text of the Missing Student Policy and Procedure can be found [here](#).

FIRE SAFETY REPORT

Under the Campus Fire Safety Right-to-Know Act, colleges and universities are required to maintain a written fire log that records, by date reported, any fire that occurs in an on-campus student housing facility. The act also requires colleges and universities to provide to all current students, employees, and any applicant for enrollment or employment, upon request, an annual fire safety report containing information about the campus fire safety practices and standards.

Fire Safety

The mission of the Environment, Health, and Safety (EHS) Office is to facilitate innovative research at Caltech through a comprehensive safety program that promotes the health and safety of students, faculty, staff, and visitors. Through education, training, and information, safety awareness and practices are integrated into all activities at Caltech.

The EHS office provides supporting services to the campus, including monitoring evacuation and emergency drills and safety training for new students, staff, and faculty, and helps develop building-specific emergency action plans. EHS also partners with City of Pasadena Fire Department activities such as training, response activities, and building inspection visits.

Log

The EHS Office maintains a fire log that contains information on all fires occurring in on-campus housing. The fire log includes the date that the fire was reported, the nature of the fire, the date and time of the fire, and the general location of the fire. The fire log for the most recent 60-day period is available [here](#). A fire log with older entries is available within two business days of a request to view it. To make such a request, please contact the EHS Office at (626) 395-6727.

Annual Report

Under the provisions of “The Campus Fire Safety Right-to-Know Act,” incidents involving fire in student residential facilities are compiled and reported annually by EHS in this Annual Security and Fire Safety Report. This report contains:

- Fire safety practices and standards at Caltech
- Evacuation procedures
- Description of the fire safety system for each student residential facility
- Fire statistics (number of fires, injuries, property damage)

Copies of this report are available during normal working hours at the EHS Office located in Room 25 on the lower level of the Keith Spalding Building or online at <http://www.safety.caltech.edu/>.

Fire Safety Policy and Procedures

Caltech's [Fire Safety Policies and Procedures](#) for students is posted on the [Student Affairs website](#), and includes rules for portable electrical appliances and open flames in student housing facilities.

Barbecues: Prior to their initial use, barbecues must be approved by Housing. Gas burning barbecues are permitted. Charcoal barbecues are only permitted for use in conjunction with Dining Services events. Propane tanks must be stored separately from the barbecues when not in use. Barbecues may only be used outdoors. Dining Services will provide storage for propane tanks at the Chandler cage dock. Propane tanks cannot be stored indoors.

Bonfires: Bonfires are not permitted on campus.

Candles: Candles and any other open-flame items are not permitted in campus housing.

Decorations: In general, decorations must not cover, block, or hide exit signs, lights, or fire safety equipment. To the extent possible, students should minimize the amount of combustible materials that are used and/or stored in living areas. Decorations such as fishnets, parachutes, and fabrics are a source of fuel and can spread a fire. Old newspapers, cardboard boxes, and magazines can also accelerate a fire. Particular attention should be given to decorations for special occasions. Freshly cut Christmas trees must be treated with fire retardant and artificial trees must be labeled as made of non-combustible material. Fresh cut Christmas trees must be taken down within a certain time limit. Trees cannot be stored at any off-campus alleys. Any fire safety equipment including, but not limited to, smoke detectors, pull stations, fire sprinklers, etc., must not be painted over or covered at any time.

Electrical Appliances: All equipment utilized (lights, halogen lights, wires, plugs, connections, etc.) must be Underwriters Laboratories (UL) or Factory Mutual (FM) approved and in good condition. Pole or torchiere halogen lamps are not permitted. The use of improvised wiring and multi-outlet adapters (i.e., adapters that allow two or more appliances to be plugged into one outlet) are prohibited. Extension cords are not allowed but surge protectors or power strips

are allowed as long as they are not ganged or joined together. Electrical cooking appliances such as coffee pots and hot plates and other cooking appliances must be used only in kitchen areas, and should be attended at all times while in use. Housing-approved space heaters may be used in student rooms and must be attended while in use.

Explosives and Improvised Explosive Devices:

Explosives, including fireworks, are extremely hazardous, and it is illegal and against Institute policy to possess manufactured or improvised explosives in a residence or living quarters. Use and storage of explosives is strictly controlled by local, state, and federal laws, and with the exception of a few specific research labs, are not allowed on campus. Explosive materials used for the Fleming Canon are contained in an appropriate storage magazine. The Bureau of Alcohol, Tobacco, and Firearms (BATF) regulates types of explosives from fireworks to dynamite. See <http://www.gpo.gov/fdsys/pkg/FR-2011-10-19/pdf/2011-26963.pdf> for the latest list of such materials. Misuse of chemicals and stockroom privileges is a serious matter.

Flammable Liquids and Gases: Flammable liquids and gases pose a particular hazard when stored or used in living areas. The hazard is typically created by the evaporation of fuels or solvents in confined spaces mixing with air to form a flammable region and ignition by open-flame pilot lamps, stoves, cigarette lighters, or faulty wiring. Gasoline, acetone, camping stove fuel (white gas or butane), lighter fuel, and propane torch canisters are common items that supply the fuel.

The propellant in aerosol spray cans (paint) is also a flammable gas in some cases. No such materials may be used or stored in student living areas. Certain household combustibles such as hair spray and nail polish are exempt from this requirement and may be possessed by students in their living areas. Mopeds and motorcycles must not be stored inside residences since their gas shut-off valves can leak or not be properly used, creating a flammable vapor hazard. Caltech does not provide campus residences with approved storage locations for flammable materials.

Electronic Cigarettes: Caltech prohibits the use, possession, and storage of electronic cigarettes in all Caltech Housing locations.

Fire Alarms: It is a violation of Institute policy to intentionally set off a false fire alarm. Actions such as setting off a false fire alarm, tampering with or disabling a fire alarm, or suppressing a warning device are illegal and may result in criminal penalties as well as campus disciplinary actions.

Fire Doors: Fire doors must be kept closed at all times.

Fire Drills and Evacuation Procedures: Students must understand and conform to all Institute procedures for fire drills and evacuation procedures. Housing provides evacuation procedures, which can be found on the back of each student residence room door. When a fire alarm is sounded, all individuals in the building must exit promptly to their designated evacuation site, and must cooperate with any responding emergency personnel.

Fire Extinguishers: Fire extinguishers are located, labeled, and maintained by Caltech Environment, Health, and Safety (EHS) so that they may be easily identified and remain in good operating condition. All fire extinguishers are checked monthly by Safety to provide reasonable assurance that they operate properly.

Hallways and Walkways: Hallways, walkways, exit corridors, staircases, doors, and passageways leading to exits must be kept clear of all items that may obstruct the hallway or impede evacuation. Caltech's Safety, Housing, Security, and Facilities Management offices reserve the right to remove any combustible materials or items that may impede normal passage or evacuation routes.

Hoverboards: Caltech prohibits the use, possession, and storage of hoverboards, hands-free Segways, and self-balancing scooters (collectively "hoverboards") on campus and in campus-owned or -controlled buildings. When safety standards are developed and implemented by the manufacturers, this prohibition will be revised.

Indoor Fireplaces: Indoor fires are permitted only in fireplaces inside the student houses and apartments. These fireplaces must be used safely in accordance

with accepted practices. The fireplace screens must not be removed. The burning of wood or other materials is strictly forbidden.

Open Burnings: No open burnings shall be allowed on Institute property.

Outdoor Fireplaces: Outdoor fireplaces are not permitted on Institute property.

No Smoking Policy: Residents will not smoke in or around the premises and agree to keep the premises smoke free (including use of e-cigarettes) at all times.

Fire Evacuation Drills

The Office of Student Affairs and EHS conducted four fire evacuation drills for all on-campus housing during the 2019 calendar year. Participation in fire evacuation drills is mandatory.

Procedures for Student Housing Evacuations

Evacuation procedures are posted on the back of each on-campus student's room door, which has a building map to identify the closest exit for each room. When an alarm is sounded, all individuals in the building must exit promptly to their designated emergency assembly areas, and must cooperate with any responding emergency personnel.

Policies Regarding Fire Safety Training and Education

The objective of the Institute's fire safety training is to increase awareness about fire safety, to provide fire safety training through demonstration, and to provide information to enable students to respond to a fire emergency.

Caltech offers various fire safety training opportunities to all students, faculty, and employees. Training opportunities are listed on the EHS website under the Training tab at [Safety.caltech.edu/training](https://safety.caltech.edu/training).

New incoming students, faculty, and staff are offered initial fire safety training during orientation events such as Freshman Orientation and New Researcher Training, and at the Institute's New Employees forum.

Residential life coordinators (RLCs) and resident associates (RAs) receive fire safety training on an annual basis. Training includes information on the use of a fire extinguisher, evacuation assembly areas for their buildings, the contents and use of their portable emergency equipment bags, and specific fire policies for student housing.

There are publications available that include pertinent information on fire safety. These include the [New Student Orientation Guide](#) and the [Resident Guide to Institute Housing](#).

Students are expected to conform to all Institute procedures for fire drills and evacuations. Housing provides evacuation procedures. When an alarm is sounded, all individuals in the building must exit promptly and proceed to their designated emergency assembly areas, and must cooperate with any responding emergency personnel.

Reporting Procedures

In case of a fire, individuals should immediately call Security dispatch at x5000. They must then provide information regarding the nature of the emergency (smoke, fire) and their name, location, and phone number. After that, they should wait for the arrival of emergency personnel at the assembly area or in a safe location.

The following persons must be notified that a fire has occurred for reporting purposes:

- Assistant Vice President for Student Affairs Operations
- Chief of Security
- Director of Environment, Health, and Safety

Plans for Future Improvements in Fire Safety

- The Institute seeks annual input from students and staff to improve training material and methods used to educate incoming and returning students about fire safety.
- Outreach efforts meeting with students at their residences to discuss and answer questions about fire safety proved valuable and will continue.
- Continue to engage PFD in outreach and education activities.

STATISTICS FOR CALTECH ON-CAMPUS STUDENT HOUSING

Fire Statistics 2017-2019

Year	Location	Cause of Fire	Number of Injuries that Resulted in Treatment at a Medical Facility	Number of Deaths Related to a Fire	Value of Property Damage Caused by Fire
2017	Ricketts	Poster lit on fire	0	0	\$0-\$99.00
2017	Ricketts	Unauthorized fire in courtyard	0	0	\$100-\$999
2017	Marks	Halogen Lamp fire	0	0	\$25.00
2018	Ricketts	Poster lit on fire	0	0	\$0-\$99.00
2019					

STUDENT RESIDENCES WITH NO FIRES REPORTED IN 2019

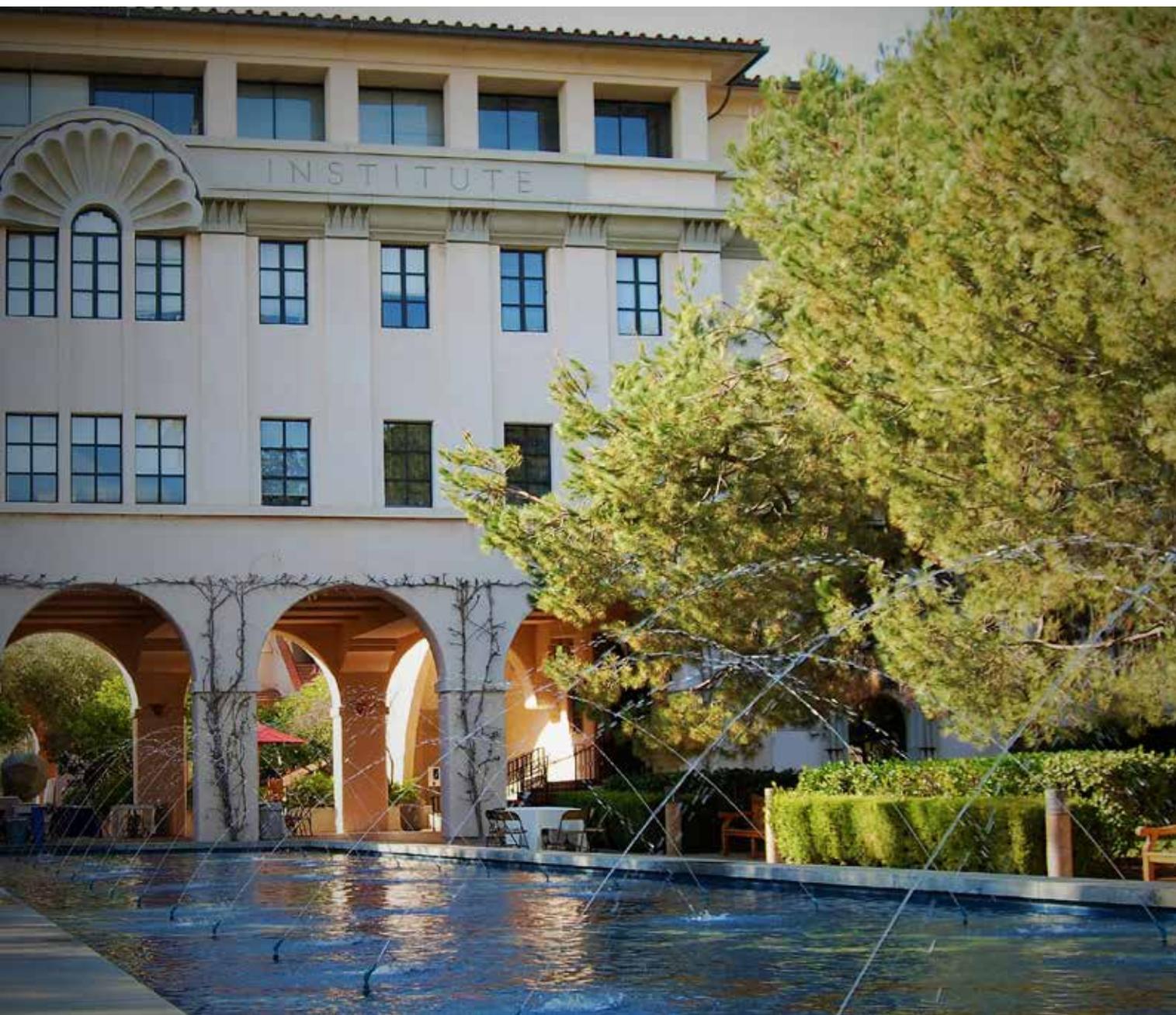
Avery	Bechtel	Blacker	Braun	Dabney	Fleming
Lloyd	Marks	Page	Ricketts	Ruddock	Catalina 1
Catalina 2	Catalina 3	131 S. Chester	135 S. Chester	145 S. Chester	145 ½ S. Chester
147 S. Chester	147 ½ S. Chester	150 S. Chester	153 S. Chester	155 S. Chester	180 S. Catalina
188 S. Catalina	216 S. Chester	222 S. Chester	229 S. Wilson	230 S. Chester	217 S. Holliston
232 S. Chester	234 S. Chester	236 S. Chester	240 S. Chester	240 S. Michigan	242 S. Catalina
244 S. Catalina	250 S. Catalina	250 S. Chester	252 S. Catalina	255 S. Hill	260 S. Chester
260 S. Michigan	266 S. Michigan	267 S. Wilson	269 S. Wilson	271 S. Wilson	272 S. Michigan
273 S. Wilson	295 S. Wilson	297 S. Wilson	307 S. Wilson	555 S. Catalina	1001 E. Villa
1043 E. Del Mar	1052 E. Del Mar	1053 E. Del Mar	1055 E. Del Mar	1057 E. Del Mar	1059 E. Del Mar
1060 E. Del Mar	1061 E. Del Mar	1163 E. Del Mar	1165 E. Del Mar	1066 E. Del Mar	1067 E. Del Mar
1170 E. Del Mar	1205 E. Del Mar	1364 Cordova			

INSTITUTE FIRE SYSTEMS FOR ON CAMPUS HOUSING

FIRE SAFETY FEATURES	ON-CAMPUS HOUSING	
<ul style="list-style-type: none"> ■ Fully outfitted with sprinklers ■ Supervised fire alarm system ■ A supervised smoke detector in each sleeping room 	Avery House Catalina 1 Fleming House	
	Blacker House Dabney House	
	Bechtel Residence Ricketts House	
<ul style="list-style-type: none"> ■ Supervised fire alarm system ■ A smoke detector in each sleeping room 	Braun Page Lloyd Ruddock	
	Marks 150 S. Chester	
	Catalina 2 Catalina 3	
<ul style="list-style-type: none"> ■ A smoke detector in each sleeping room 	131 S. Chester	135 S. Chester
	145 S. Chester	145 ½ S. Chester
	147 S. Chester	147 ½ S. Chester
	153 S. Chester	155 S. Chester
	180 S. Catalina	188 S. Chester
	216 S. Chester	217 S. Holliston
	222 S. Chester	229 S. Wilson
	230 S. Chester	232 S. Chester
	234 S. Chester	236 S. Chester
	240 S. Chester	240 S. Michigan
	242 S. Catalina	244 S. Catalina
	250 S. Catalina	250 S. Chester
	252 S. Catalina	255 S. Hill
	260 S. Chester	260 S. Michigan
	266 S. Michigan	267 S. Wilson
	269 S. Wilson	271 S. Wilson
	272 S. Michigan	273 S. Wilson
	297 S. Wilson	295 S. Wilson
	307 S. Wilson	555 S. Wilson
	1001 E. Villa	1043 E. Del Mar
	1052 E. Del Mar	1053 E. Del Mar
	1055 E. Del Mar	1057 E. Del Mar
	1059 E. Del Mar	1060 E. Del Mar
	1061 E. Del Mar	1163 E. Del Mar
	1165 E. Del Mar	1066 E. Del Mar
	1067 E. Del Mar	1170 E. Del Mar
1205 E. Del Mar	1364 Cordova	

CONCLUSION

Caltech is committed to ensuring the safety and security of its community. This report, therefore, is provided to the Institute community not just as a fall initiative or compliance effort, but as a sincere attempt to ensure that any member of this campus is able to access the information (including crime and fire statistics) and guidance (lists of services, programs, and other campus resources) it provides.



APPENDIX A

Crime Statistics 2019

FINAL NUMBERS	ASR 2019 STATISTICS			
	ON-CAMPUS	RES. FACILITY	NON-CAMPUS	PUBLIC PROPERTY
Murder & Non-Negligent Manslaughter	0	0	0	0
Manslaughter by Negligence	0	0	0	0
Rape	1	1	1	0
^Fondling	27	18	3	0
Incest	0	0	0	0
Statutory Rape	0	0	0	0
Domestic Violence	2	1	0	0
Dating Violence	3	2	0	0
Stalking	6	1	0	0
Robbery	0	0	0	0
Aggravated Assault	0	0	0	0
Burglary	23	12	0	0
Motor Vehicle Theft	0	0	0	0
Arson	0	0	0	0
WEAPONS LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	0	0	0	0
DRUG LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	5	4	0	0
LIQUOR LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	226	126	0	0
*Hate Crimes	0	0	0	0

***Hate Crimes:**

(1) No hate crimes reported in 2019

No unfounded crimes for 2019

Fondling – Twenty-one of the incidents came from two cases

Crime Statistics 2018

FINAL NUMBERS	ASR 2018 STATISTICS			
	ON-CAMPUS	RES. FACILITY	NON-CAMPUS	PUBLIC PROPERTY
Murder & Non-Negligent Manslaughter	0	0	0	0
Manslaughter by Negligence	0	0	0	0
Rape	3	2	0	0
^Fondling	72	2	0	0
Incest	0	0	0	0
Statutory Rape	0	0	0	0
Domestic Violence	0	0	0	0
Dating Violence	2	1	0	0
Stalking	3	0	0	0
Robbery	0	0	0	0
Aggravated Assault	0	0	1	0
Burglary	5	1	0	0
Motor Vehicle Theft	0	0	0	0
Arson	1	1	0	0
WEAPONS LAW VIOLATIONS				
Arrest	0	0	1	0
Disciplinary Referral	0	0	0	0
DRUG LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	13	13	0	0
LIQUOR LAW VIOLATIONS				
Arrest	0	0	0	1
Disciplinary Referral	107	106	0	0
*Hate Crimes	0	0	0	0

***Hate Crimes:**

(1) No hate crimes reported in 2018

No unfounded crimes for 2018

^Fondling - Seventy of the incidents occurred between the same complainant and respondent.

Statistics may overlap for dating violence, rape and stalking.

Crime Statistics 2017

FINAL NUMBERS	ASR 2017 STATISTICS			
	ON-CAMPUS	RES. FACILITY	NON-CAMPUS	PUBLIC PROPERTY
Murder & Non-Negligent Manslaughter	0	0	0	0
Manslaughter by Negligence	0	0	0	0
Rape	6	6	0	0
^Fondling	24	24	0	0
Incest	0	0	0	0
Statutory Rape	0	0	0	0
Domestic Violence	0	0	0	0
Dating Violence	5	5	0	0
Stalking	5	3	0	0
Robbery	1	0	0	0
Aggravated Assault	0	0	0	0
Burglary	5	2	0	0
Motor Vehicle Theft	3	0	0	3
Arson	2	2	0	0
WEAPONS LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	0	0	0	0
DRUG LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	1	1	0	0
LIQUOR LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	22	21	0	0
*Hate Crimes	0	0	0	0

***Hate Crimes:**

(1) No hate crimes reported in 2017

No unfounded crimes for 2017

^Fondling - Twenty-two of the incidents occurred between the same complainant and respondent.

Statistics may overlap for dating violence, rape and stalking.

Sex Offenses

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

Rape

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, without the consent of the victim.

Fondling

The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.

Incest

Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

Statutory Rape

Sexual intercourse with a person who is under the statutory age of consent.

Domestic Violence

The term “domestic violence” includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, or by any other person against an adult or youth victim who is protected from that person’s acts under California’s domestic or family violence laws.

Stalking

The term “stalking” means engaging in a course of conduct directed at a specific person that would cause a reasonable person to (a) fear for his or her safety or the safety of others; or (b) suffer substantial emotional distress.

Dating Violence

The term “dating violence” means violence committed by a person (a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (b) where the existence of such a relationship shall be determined based on a consideration of the following factors:

- i. The length of the relationship;
- ii. The type of relationship; and
- iii. The frequency of interaction between the persons involved in the relationship.

Arson

Any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.

Manslaughter by Negligence

The killing of another person through gross negligence.

Murder and Non-negligent Manslaughter

The willful (non-negligent) killing of one human being by another.

Robbery

The taking or attempting to take anything of value from the care, custody, or control of a person or persons by force, threat of force or violence, and/or by putting the victim in fear.

Aggravated Assault

An unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm. (It is not necessary that injury result from an aggravated assault when a gun, knife, or other weapon is used which could and probably would result in serious personal injury if the crime were successfully completed.)

Burglary

The unlawful entry of a structure to commit a felony or a theft.

Motor Vehicle Theft

The theft or attempted theft of a motor vehicle.

Weapons: Carrying, Possessing, Etc.

The violation of laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices, or other deadly weapons.

Drug Law Violations

The violation of laws prohibiting the production, distribution, and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use. The unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation, or importation of any controlled drug or narcotic substance. Arrests for violations of state and local laws, specifically those relating to the unlawful possession, sale, use, growing, manufacturing, and making of narcotic drugs.

Liquor Law Violations

The violation of state or local laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, or use of alcoholic beverages, not including driving under the influence and drunkenness.

Larceny-Theft (Except Motor Vehicle Theft)

The unlawful taking, carrying, leading, or riding away of property from the possession or constructive possession of another. Attempted larcenies are included. Embezzlement, confidence games, forgery, worthless checks, etc., are excluded.

Simple Assault

An unlawful physical attack by one person upon another where neither the offender displays a weapon nor the victim suffers obvious severe or aggravated bodily injury involving apparent broken bones, loss of teeth, possible internal injury, severe laceration, or loss of consciousness.

Intimidation

To unlawfully place another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Destruction/Damage/Vandalism of Property

To willfully or maliciously destroy, damage, deface, or otherwise injure real or personal property without the consent of the owner or the person having custody or control of it.

California Definitions of Domestic and Dating Violence, Stalking, and Sexual Assault

Caltech's policy defines domestic violence, dating violence, sexual assault, and stalking for purposes of Caltech's response to the policy violation. When a victim reports a crime to the police, the police and district attorney will look to the California Penal Code definitions of the crime, which are summarized below.

Domestic violence (including dating violence) is defined by California Penal Code sections 243 and 273.5 as: When a person willfully inflicts bodily injury resulting in a traumatic condition upon a victim who is or was one or more of the following:

the offender's spouse or former spouse; (b) the offender's cohabitant or former cohabitant; (c) the offender's fiancé or fiancée, or someone with whom the offender has, or previously had, an engagement or dating relationship; (d) the mother or father of the offender's child. Dating relationship means frequent, intimate associations primarily characterized by the expectation of affection or sexual involvement independent of financial considerations.

Stalking in California is defined by California Penal Code section 646.9 as: Anyone who willfully, maliciously, and repeatedly follows or willfully and maliciously harasses a person and who makes a credible threat with the intent to make the person fear for their safety or the safety of their family.

Crimes generally known as "sexual assault," are prosecuted in California as the crimes of sexual battery, rape, criminal sodomy, criminal oral copulation, and sexual penetration.

Sexual battery is defined by California Penal Code section 243.4 as: Any person who touches an intimate part of another person while that person is unlawfully restrained by the accused or an accomplice, and if the touching is against the will of the person touched and is for the purpose of sexual arousal, sexual gratification, or sexual abuse, is guilty of sexual battery; any person who touches an intimate part of another person who is institutionalized for medical treatment and who is seriously disabled or medically incapacitated, if the touching is against the will of the person touched, and if the touching is

for the purpose of sexual arousal, sexual gratification, or sexual abuse; any person who touches an intimate part of another person for the purpose of sexual arousal, sexual gratification, or sexual abuse, and the victim is at the time unconscious of the nature of the act because the perpetrator fraudulently represented that the touching served a professional purpose; any person who, for the purpose of sexual arousal, sexual gratification, or sexual abuse, causes another, against that person's will while that person is unlawfully restrained either by the accused or an accomplice, or is institutionalized for medical treatment and is seriously disabled or medically incapacitated, to masturbate or touch an intimate part of either of those persons or a third person; any person who touches an intimate part of another person, if the touching is against the will of the person touched, and is for the specific purpose of sexual arousal, sexual gratification, or sexual abuse.

Touching means physical contact with another person, whether accomplished directly, through the clothing of the person committing the offense, or through the clothing of the victim.

Rape is defined by California Penal Code sections 261 and 262.

Section 261 defines rape as: An act of sexual intercourse accomplished with a person not the spouse of the perpetrator, where a person is incapable, because of a mental disorder or developmental or physical disability, of giving legal consent, and this is known or reasonably should be known to the person committing the act; where it is accomplished against a person's will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the person or another; where a person is prevented from resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known by the accused; where a person is at the time unconscious of the nature of the act, and this is known to the accused; where a person submits under the belief that the person committing the act is someone known to the victim other than the accused, and this belief is induced by any artifice, pretense, or concealment practiced by the accused, with intent to induce the belief; where the act is accomplished against the victim's will by threatening to retaliate in the future against the victim or any other person, and

there is a reasonable possibility that the perpetrator will execute the threat; where the act is accomplished against the victim's will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

Section 262 defines the rape of a person who is the spouse of the perpetrator as: An act of sexual intercourse accomplished against a person's will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the person or another; where a person is prevented from resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known, by the accused; where a person is at the time unconscious of the nature of the act, and this is known to the accused; where the act is accomplished against the victim's will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the act is accomplished against the victim's will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

Sodomy is defined by California Penal Code section 286 as: Sexual conduct consisting of contact between the penis of one person and the anus of another person, where the act is accomplished against the victim's will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the victim is at the time unconscious of the nature of the act and this is known to the person committing the act; where the victim is at the time incapable, because of a mental disorder or developmental or physical disability, of giving legal consent, and this is known or reasonably should be known to the person committing the act; where the victim is prevented from resisting by an intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known by the accused; where the victim submits under the belief that the person committing the act is someone known to the victim other than the accused, and this belief is induced by any artifice, pretense, or concealment practiced by the accused, with intent to induce the belief; where the act is

accomplished against the victim's will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

Oral copulation is defined by California Penal Code section 288a as: The act of copulating the mouth of one person with the sexual organ or anus of another person, when accomplished against the victim's will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the victim or another person; where accomplished against the victim's will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the victim is at the time incapable, because of a mental disorder or developmental or physical disability, of giving legal consent, and this is known or reasonably should be known to the person committing the act; where the victim is at the time unconscious of the nature of the act and this is known to the person committing the act; where the victim is prevented from resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known by the accused.

Sexual penetration is defined by California Penal Code section 289 as: The act of causing the penetration, however slight, of the genital or anal opening of any person or causing another person to so penetrate the defendant's or another person's genital or anal opening for the purpose of sexual arousal, gratification, or abuse by any foreign object, substance, instrument, or device, or by any unknown object when the act is accomplished against the victim's will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the victim or another person; when the act is accomplished against the victim's will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the victim is at the time incapable, because of a mental disorder or developmental or physical disability, of giving legal consent, and this is known or reasonably should be known to the person committing the act or causing the act to be committed; where the victim is at the time unconscious of the nature of the act and this is known to the person committing the act or causing the act to be committed; where the victim is prevented from

resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known by the accused; where the victim submits under the belief that the person committing the act or causing the act to be committed is someone known to the victim other than the accused, and this belief is induced by any artifice, pretense, or concealment practiced by the accused, with intent to induce the belief; where the act is accomplished against the victim's will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

In a prosecution where consent is an issue, California Penal Code section 261.6 defines consent as: Positive cooperation in act or attitude pursuant to an exercise of free will. The person must act freely and voluntarily and have knowledge of the nature of the act or transaction involved. A current or previous dating or marital relationship is not sufficient to constitute consent.

Seeking a Restraining Order and Orders of Prevention

An individual can seek a domestic violence restraining order from a California court if they have been abused or been threatened with abuse by someone with whom they have a close relationship—they are married or registered domestic partners, divorced or separated, dating or used to date, living together or used to live together (as more than roommates), are the parents together of a child, or are closely related (parent, child, brother, sister, grandmother, grandfather, in-law). Abuse does not have to be physical. Abuse can be verbal, emotional, or psychological. California Family Code 6200-6219. For help seeking a restraining order, contact Security at 626-395-5000.

For orders of protection, the Title IX office issues and enforces no contact orders. Security delivers cease and desist letters. The Title IX office and Security work with community agencies and law enforcement regarding restraining orders.

JPL Map

