



**2016 ANNUAL
SECURITY AND FIRE
SAFETY REPORT**

Caltech

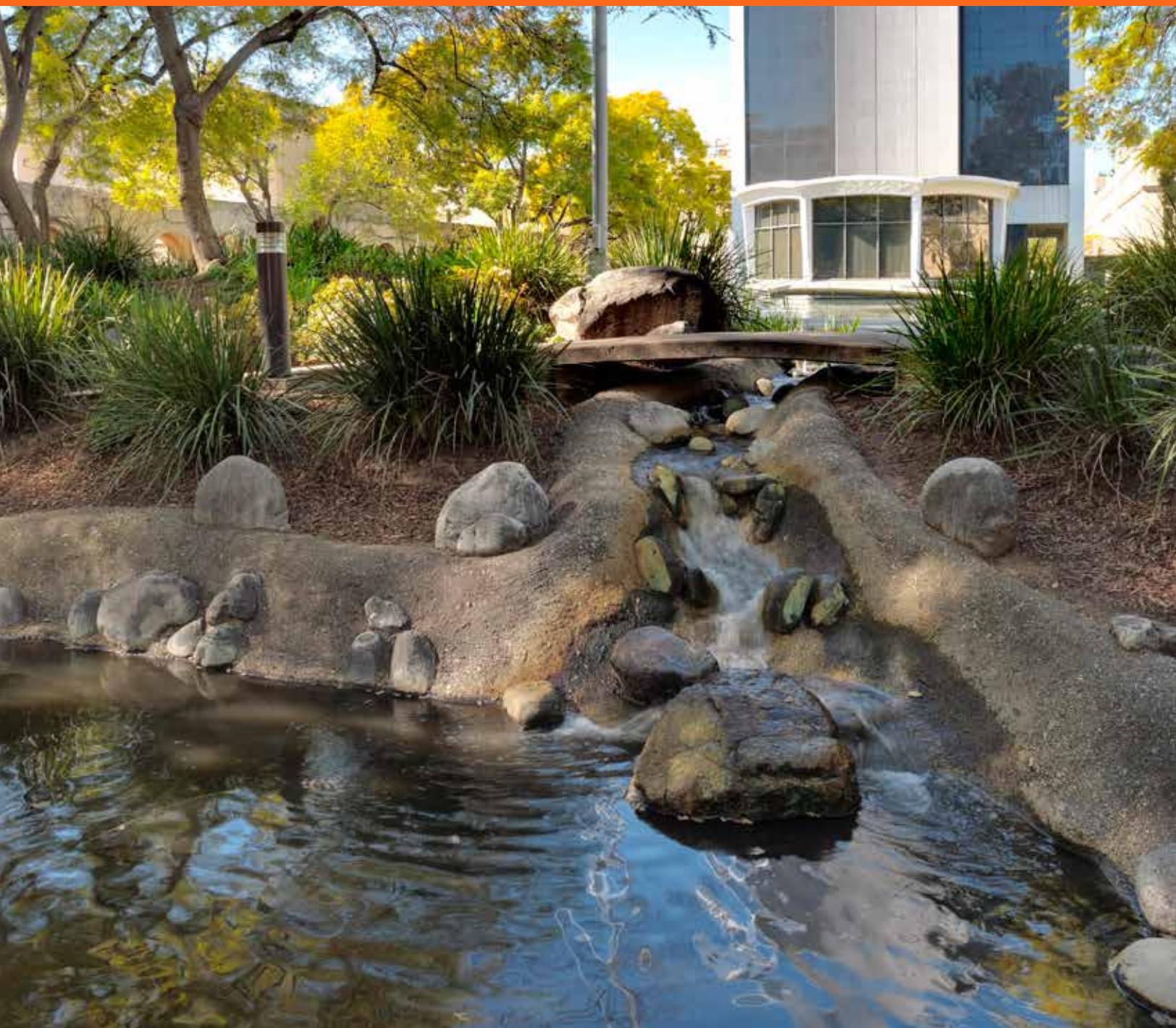


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INTRODUCTION

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. 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, but also has some offsite facilities including NASA's Jet Propulsion Lab. The Institute employs almost 3,000 employees and postdoctoral researchers in support of education goals.

Caltech is committed to ensuring the safety and security of its community. This Annual Security and Fire Report not only provides crime and fire statistics, but also details Caltech's crime-prevention and safety-related services and programs, as well as the resources we have developed in order 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. We strongly encourage the Caltech community to review this report and to play an active role in ensuring the safety and security of our campus.

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 Report (ASR) contains three years of crimes statistics and required policy statements, and it identifies how campus community members can report crimes. This report also complies with California Education Code 67380.

Caltech has formed a Clery Committee, which is a campus-wide and highly collaborative team co-chaired by Caltech’s Chief of Campus Security and Parking Services (“Chief of Security”), Gregg Henderson, and Caltech’s Assistant Vice President Equity, Accessibility and Inclusion Initiatives, Title IX Coordinator, Felicia Hunt. Together they oversee Clery compliance at Caltech and manage how Caltech tracks crime statistics, documents security reports, and implements and ensures campus safety and programming. Members of the Committee represent Security, the Title IX office, the Undergraduate and Graduate Deans’ offices, Athletics, Environmental Health and Safety, the Office of General Counsel, 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
- Meet to discuss Timely Warnings and emergency notifications
- Review the Annual Security Report and Fire Safety Report
- Notify the community regarding how to access Clery information, including the daily crime log
- Monitor and assess Clery programs and initiatives

Clery Communications at Caltech

The Clery Committee is committed to broad-based communication at Caltech, and to that end, the ASR is sent to all members of the Caltech community by October 1 each year. This year Caltech unveiled a Clery webpage with information on educational and training programs, crime reporting (including how to make an anonymous report), crime statistics, and security policies and procedures and the ASR. The ASR is also posted on the Caltech Security webpage, the Title IX webpage, and a link is included in communications with prospective students and employees.

PREPARATION OF THE ANNUAL SECURITY REPORT

The preparation of the ASR is a collaborative effort by the Clery Committee. The ASR is a community effort that engages multiple offices throughout the Institute. Report preparation generally begins with a Clery retreat at which the Committee develops, evaluates, manages, and reviews various aspects of Clery compliance. This ASR is just one part of Caltech's commitment 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 contributed to efforts to prevent and respond to campus crimes
- Strengthen the Institute's compliance efforts, including Caltech's compliance with the information and programs required by the Violence Against Women Reauthorization Act
- Review and confirm crime statistics

Crime statistics are gathered by Security from multiple sources including 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 "unfounded" by the Pasadena Police Department or other law enforcement officials. 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. The crime definitions and statistical information are also attached to this report. Pursuant to guidance issued in the 2016 edition of the Handbook for Campus Safety and Security Reporting, Caltech is, starting this year, classifying off-campus faculty and student housing that are within one mile as on-campus property.

Crimes reported in the ASR 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; and arson. Any of the above crimes and incidents of larceny-theft, simple assault, intimidation, destruction/damage/vandalism of property that were motivated by bias are listed as "hate crimes." Bias includes a preformed negative opinion or attitude toward a group of persons based on their race, national origin, religion, disability, sexual orientation, gender, gender identity, or ethnicity. The crimes reported in the ASR that are covered by Title IX include sexual assault, stalking, dating violence, and domestic violence.

TIMELY WARNINGS

Caltech is committed to issuing Timely Warnings, per the Clery Act, in order to provide information and recommendations on situations of concern. The crimes which may trigger a Timely Warning are those covered by the Clery Act, which have been reported to a Campus Security Authority or local law enforcement, which occurred on campus or on Clery-defined off-campus or public property, and which are determined to constitute a serious or continuing threat to students and employees.

Whether a matter meets the requirements for a Timely Warning will be evaluated by the Chief of Security, the Director of Security Operations, and/or the Assistant Vice President for Equity, Accessibility and Inclusion Initiatives/Title IX Coordinator, or their designees, on a case-by-case basis. The decision will be made in light of all the facts surrounding the incident, including such factors as: the nature of the incident, the continuing danger to the campus community, and the possible risk of compromising law enforcement efforts. If these requirements are met, a Timely Warning will be sent when pertinent information is available.

Timely Warnings are made to the Caltech community through Security Bulletins. Security Bulletins 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. Security Bulletins are written by the Chief of Security, or his designee, and approved by the Associate Vice President for Facilities. Security Bulletins are distributed by Graphic Resources via campus email to students, faculty and staff, and via hard copy documents to staff and faculty without access to email or who prefer receiving information via hard copy. Graphic Resources has 24/7 access to the campus email system to ensure timely delivery of information. Security Bulletins are also posted on the Caltech Security website.

The type of crime, whether it occurred on campus or in Clery-defined off-campus, non-campus property or public property will be included. Victim's names and other identifying information will not be disclosed. A Security Bulletin may release the name, identifying information, or other characteristics of the accused.

REPORTING CRIMES AT 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 when the victim of a crime elects to or is unable to make such a report. Reporting is paramount to developing and disseminating Timely Warnings to the campus, creating programming, and being transparent with crimes on campus in order to promote an informed and 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 court.

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, consisting of 20 on-campus telephones and three telephones in the Catalina Apartment housing complex. The phones are “push to talk” and connect directly to Security Dispatch, which is staffed 24 hours a day.

EMAIL ADDRESS &

“EVERBRIDGE CONTACTBRIDGE” MOBILE APP

Security can be also be contacted through its emergency email address, 5000@caltech.edu, and through Everbridge's mobile app “Everbridge ContactBridge.” The app allows Caltech community members to immediately report an emergency or suspicious activity via text to the Security Dispatcher with an option to include a photo with the message. Instructions for the “Everbridge ContactBridge” app are available at https://security.caltech.edu/documents/51-mobile_member_app-sso.pdf.

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

Caltech also wants students and employees to be able 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 Campus Security Authorities (“CSAs”). Crimes may be reported to the following CSAs:

- Vice President for Student Affairs
- Assistant Vice President for Student Affairs Operations
- Assistant Vice President of Equity, Accessibility, and Inclusion Initiatives and Title IX Coordinator
- Deputy Title IX Coordinators
- Dean of Undergraduate Students
- Associate Deans of Undergraduate Students
- Dean of Graduate Studies
- Associate Dean of Graduate Studies
- Registrar
- Executive Director of Undergraduate Admissions and Financial Aid
- Director of Financial Aid
- Director of Fellowships Advising and Study Abroad and the Career Development Center
- Director for the Caltech Center for Diversity
- Director for Athletics, Physical Education and Recreation
- Assistant Athletic Director of Intercollegiate Teams
- Associate Athletic Director for Recreation
- Coaches
- Director of Student-Faculty Programs
- Senior Director of Student Activities and Programs
- Director of International Student Programs
- Associate Director of International Student Programs
- Director of Housing
- Senior Director of Dining Services
- Residence-Life Coordinators
- Resident Associates
- Division Administrators
- Director of Employee and Organizational Development

CSAs complete annual training and each year are sent updated information regarding their roles. The Clery website provides online reporting forms as well as delineation of CSA responsibilities to ensure clarity in the CSA roles and how to report concerns immediately. New CSAs are considered if they have significant oversight of student activities.

ANONYMOUS REPORTING

Caltech encourages all members of the community to report crimes. Anonymous reports are one way members of the Caltech community, and others, can report crimes—anyone can make an anonymous report to Caltech’s Security. Anonymous reports can also be made to one of Caltech’s hotlines. These hotlines offer anyone the chance 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.

ANONYMOUS REPORTING OPTIONS



CAMPUS SECURITY:
(626) 395-5000



CAMPUS HOTLINE:
(626) 395-8787 or (888) 395-8787



**SUBMIT A COMPLIANCE
HOTLINE CONTACT FORM**

These reporting options are publicized in every campus training session related to sexual violence.

CONFIDENTIAL RESOURCES

Some members of the community prefer to talk about crimes to only one or more of the professional counselors or other confidential campus resources. Counselors at Caltech play an important role supporting the Caltech community. They provide confidential help and support: They listen, offer options, and help people decide what plan of action feels most comfortable. However, as set forth below, these professional counselors do not report crimes to the Institute and the other confidential resources report only non-personally identifying information.

Professional Counselors

Mental-health professionals in the Student Counseling Center and the Staff and Faculty Consultation Center provide mental-health counseling 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 are prohibited from breaking confidentiality unless there is an imminent threat of harm to self or others or as otherwise permitted by law. When 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 local law enforcement.

CALTECH COUNSELING CENTER

1239 Arden Rd. | (626) 395-8331
After-hours contact Security (626) 395-4701
and ask for On-Call Psychologist

STAFF AND FACULTY CONSULTATION CENTER

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

Both the Student Counseling Center and the Staff and Faculty Consultation Center will share information with students and employees respectively about how they can make reports of their own—anonously or not—with Caltech and/or law enforcement. This information and Caltech's protocols on disclosure are included in the annual CSA and Clery trainings.

Other Confidential Campus Resources

While maintaining a client's confidentiality, the Caltech Center for Diversity and the Sexual Assault Prevention Coordinator will report the nature, date, time, and general location of a Title IX offense (with no personally identifying information) for inclusion in Caltech's Annual Security Report.

CENTER FOR STUDENT SERVICES RESOURCES

ERIN-KATE ESCOBAR

Assistant Director, Center for Diversity

Center for Student Services 268
(626) 395-3221 | ekescoba@caltech.edu

ANASTASIOS (TASO) DIMITRIADIS

Assistant Director, Center for Diversity

Center for Student Services 269
(626) 509-496-3492; (626) 395-8108
taso@caltech.edu

JENNIFER MAHLUM

Sexual Misconduct Prevention Coordinator

Center for Student Services 248
(626) 395-2961 | jmahlum@caltech.edu

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 Chief of Security, who has substantial police and security experience, leads Security. The Director of Security Operations manages the uniformed Supervisors and Field Officers, and is supported by a Security Manager of Technical Operations and a Training Supervisor, the latter of whom develops and implements training for uniformed field personnel. Four uniformed Supervisors provide direction to unarmed, uniformed Field Officers assigned to their shifts. There are 21 Field Officers employed by the Institute and assigned to the campus.

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 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 Supervisors and Field Officers are trained as “First Responders” (emergency medical personnel) for the response to emergency situations requiring medical stabilization beyond simple first aid and cardiopulmonary resuscitation (“CPR”).

Other, non-uniformed employees in Security include the Director of Security Field Operations, Security Systems Administrator, the Transportation Coordinator, the Parking Coordinator, the Parking Enforcement Officer, and the department assistant. The Security Systems Administrator is responsible for all security-related technology on the campus including electronic access control, alarm systems, and closed-circuit television (“CCTV”). The Transportation Coordinator manages carpool, vanpool, and other alternative transportation programs. The Parking Coordinator, supported by the department assistant, 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, 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. Additionally, it represents the U.S. government in classified document control and security clearances.

Crimes and other incidences are investigated by Security where appropriate in conjunction with the Pasadena Police Department, and Security 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 <http://www.security.caltech.edu>. Crime prevention information is available at the site, including personal safety tips, how to contact Security, 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 incidences, including sexual harassment, sexual violence, stalking, domestic violence, and dating violence.

Authority and Jurisdiction

The authority of Caltech's uniformed Security Officers is defined in the California Penal Code, Section 837. Security is empowered to affect an arrest, as is any other private citizen. Security can arrest another person for a misdemeanor committed or attempted in his/her presence; when a person has committed a felony, although not in his/her presence; and when a person has committed a felony and he/she has reasonable cause for believing the person arrested committed the crime. In addition, Security Officers issue municipal parking citations under an arrangement with the City of Pasadena. Local law enforcement has primary jurisdiction for all areas. Caltech Security's jurisdiction is restricted to the boundaries of the Caltech campus and campus properties.

Working Relationship with State and Local Police

Caltech maintains a close working relationship with the Pasadena Police Department. Pasadena Police officers are called upon to aid in the arrest of individuals suspected of crimes on campus. Members of the Caltech community who are the victims of a crime are encouraged to report the incident to the Pasadena Police Department. Caltech assists 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 that formalizes certain aspects of the working relationship, in compliance with the California Education Code. This MOU is reviewed and updated every five years.

Caltech also works with state and federal officers in the event of a state or federal investigation and to ensure the security of visiting dignitaries.

In compliance with California law, the Institute discloses to the Pasadena Police Department reports of certain violent crimes, sexual assault, and hate crimes without identifying the victim, unless the victim consents to being identified after being informed of their right to have their personally identifying information withheld. If the victim does not consent to being identified, the alleged assailant cannot

be identified unless Caltech determines that they represent a serious or ongoing threat to the safety of students and/or employees, and that the immediate assistance of law enforcement is needed to contact or detain the alleged assailant.

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, visitors, guests, and the broader community regarding criminal or other incidents.



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

Crime Log

Security maintains a daily log of all crimes ("crime log") reported to Security that occur within the Clery geography. The crime log includes the nature, date, time, and general location of each crime and the disposition of the complaint, if known. The most recent 60 days of crime log entries are available for review 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: only information whose disclosure is prohibited by law, or which would jeopardize confidentiality, will be withheld.

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 subject may have committed, may be involved in committing, or may be about to commit a crime; (2) believes that the subject may be a hazard to themselves, others, or property; or (3) believes that the interview may have a proactive effect in the prevention of a crime or incident. Additionally, Security Officers are encouraged to 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 2015, Caltech conducted a review of facility safety and made improvements. In addition, the Housing Office now 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. The student housing apartments close to campus use card access for laundry and recreation rooms only.

Other administrative buildings are normally locked after 5 p.m. and are unlocked after 5 a.m., Monday through Friday except Institute holidays. Patrols of buildings after 5 p.m. are part of the standard review of security in these buildings and 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 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. Students are responsible for keeping their individual rooms or apartments locked.

Security Officers are assigned to patrol the campus 24 hours a day, seven days a week. Off-campus housing owned by Caltech is also patrolled on a regular basis, 24 hours a day, seven days a week by the Security Supervisor or Lead Security Officer as assigned to the patrol security vehicle.

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 off-campus 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. Reports for maintenance issues such as lights not working are reported to the Facilities Maintenance Service Center for repair.

Security improvements over the past 18 months include the installation or upgrade of eight facility proxy readers to limit facility access to authorized Caltech users. In addition, two video cameras, two alarm systems, and three panic buttons were installed. More proxy readers will be installed over the next 24 months.



EMERGENCY RESPONSE AND EVACUATION PROCEDURES

Emergency Management

Caltech is dedicated to providing a safe and secure environment for its students, faculty, staff, visitors, and guests every day. Caltech is prepared to respond to emergency situations 24 hours a day, seven days a week. The Campus Emergency Management Plan (“CEMP”) outlines the Institute’s emergency preparedness and response plan. The CEMP identifies activation procedures, command structure, communication protocols, and response procedures for specific incidents that could affect the safety and well-being of members of the campus community.

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 on emergency procedures and personal preparedness to the campus community are provided through various outreach events and are available online and in printed materials.

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

Emergency Notification Process and Assessment and Notification of a Threat

In the event of a significant emergency or dangerous situation on campus involving an immediate threat to the health or safety of students or employees, Caltech Security will immediately respond, investigate, and make an initial determination as to whether there is an immediate threat to the health and/or safety of the campus community. They will make this determination based on information gathered from relevant sources, including but not limited to, officers at the scene, Pasadena Fire or Police, other local, state, and federal agencies, and individuals inside and outside the Caltech community who provide information.

Upon confirmation that there is an immediate threat to the health and/or safety of the campus community, the Chief of Security, the Director of Security Operations, or designee will determine the segment(s) of the campus community to receive the notification. The Chief of Security, Director of Security Operations, or designee 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, 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.

The Chief of Security, Director of Security Operations, or designee will also determine the content of the notification. 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.

The Chief of Security, Director of Security Operations, or designee has the authority to independently issue a notification via the emergency-notification system, called Caltech Alerts, without consultation or approval when a situation exists that threatens the life or safety of individuals on campus.

Notifications sent via Caltech Alerts may include any of the following methods of dissemination: voice calls/messages to landline and mobile phones, email, text messages to mobile phones and alerts to the “Everbridge ContactBridge” app. In order to receive emergency notifications via 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 Caltech Access.

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

If appropriate, including but not limited to as a way to notify individuals and/or organizations outside of the campus community, information may also be posted on the Caltech website, Facebook, and/or Caltech’s Twitter feed; recorded messages may be placed on the emergency information lines at (888) 427-7465 and (888) 427-7512; 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.

The Chief of Security, Director of Security Operations, 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 via which of the above dissemination processes.

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 Communication team would alert local agencies to relay relevant information.



EMERGENCY DRILLS, TESTING, AND EVACUATION PROCEDURES

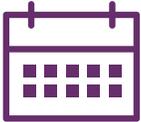
Emergency Response Drills and Exercises

The 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 of scheduling annual drills and 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 are available online.

Caltech performs campus-wide tests of the electronic notification system quarterly. 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 participation in the statewide Great California ShakeOut, which occurs in October. All members of the Caltech community, students, faculty, and staff, are advised of the drill and encouraged to participate. This drill was broadly announced through the Caltech Ion newsletter, community-wide email message, Everbridge alert, and specific communications to Building Coordinators, Floor Wardens, and Division Administrators. An After Action Report (AAR) is developed after this and other drills and is submitted to the Crisis Management Council, included in the Emergency Preparedness Annual Report, and posted online.

Campus buildings are evacuated twice a year, with student housing evacuated four times a year. These drills are unannounced. In 2015, campus evacuation drills took place during the weeks of February 2 and August 31. Emergency response and evacuation procedures are publicized annually to the campus community.



Emergency Management Programs 2015

In 2015, several specific emergency management educational programs took place to better prepare and train the campus community. These events are highlighted in the Emergency Management 2015 Annual Report and include:

EMERGENCY OPERATIONS SECTION TRAINING— APRIL 14, JUNE 3, AND JUNE 10, 2015

EOC Section Leaders and members of their teams participated in refresher training. An overview of the Incident Command System and the roles and responsibilities of the functions within the Emergency Operations Center were reviewed, followed by a short tabletop exercise. Additional sessions for new members and those unable to attend were held in the first quarter of 2016.

CAMPUS EMERGENCY RESPONDERS FORUM— APRIL 2015

“Resilience through Action” was the theme for the 2015 annual Campus Emergency Responders’ Forum. The purpose of the Forum is to bring together members of our campus community who have designated emergency roles for a special presentation and series of exercises. The keynote presentation was given by Chris Hawker, Director of the University of Canterbury’s Center for Risk, Resilience, and Recovery in Christ Church, New Zealand.

DISASTER RECOVERY TEAM DRILLS— JUNE AND JULY 2015

Members of the Disaster Recovery Team participated in one of three drills that required them to practice activation procedures, building assessments, and communications. Reviewing radio protocols, developing new checklists, and streamlining team formation were all among the valuable outcomes.

GREAT CALIFORNIA SHAKEOUT—OCTOBER 15, 2015

For the ninth consecutive year, members of the Caltech community, along with millions of other Californians, practiced earthquake preparedness by following the, “Drop! Cover! Hold On!” procedure during the annual statewide earthquake drill. A Personal Preparedness Fair was held on San Pasqual Mall following the drill.

PERSONAL PREPAREDNESS FAIR—OCTOBER 15, 2015

The third annual Personal Preparedness Fair was held in conjunction with the Great California ShakeOut Drill. There were representatives from Environment Health and Safety, Campus Security, the Staff and Faculty Consultation Center, Student Affairs, Student Health Services, the Caltech Amateur Radio Club (CITARC), the American Red Cross, and Safe-N-Ready, as well as Caltech’s Emergency Operations Center Incident Commander. More than 400 members of the community were in attendance.

SECURITY PRACTICES, CRIME PREVENTION, AND SAFETY AWARENESS PROGRAMS

Programs Regarding Security Practices and Safety Awareness

Security provides programs to inform the community about campus security procedures and practices and to encourage the campus community, student, 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 for students and employees through training sessions and campus events. Programs include Theft Prevention, Personal Safety, and Active Shooter drills. Security also employs an ongoing program, the "Security Blanket," which provides an informal discussion with students, faculty, and staff regarding personal safety and reporting incidents and suspicious activity to Security. A microfiber towel (i.e., a "Security Blanket") is given to the person(s) contacted and provides instructions to call x5000 in the event of an emergency on campus and to call x4701 for routine reports and escorts.

The "Be Alert!" handbook has personal and property safety tips, emergency and other important telephone numbers, report procedures, the location of the Emergency Communication 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 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 the distribution of Security Bulletins via email, hard copy, and at the Security website. Through these bulletins, members of the community are repeatedly encouraged to be responsible for their safety and security and that of others.

Security participates in the Institute's annual orientation for new students and employees, as well as orientation programs for visiting students and faculty. For first-year undergraduate students, Security participates in two breakfast programs to review safety on campus and to identify ways in which the community can be prepared for and helpful in a crisis situation. For graduate students, Security reviews the ASR, talks about personal safety and the transportation program for students after hours as well as utilizing Security when there is a concern or issue. New employees have the benefit of training from Security as well. All trainings encourage students and employees 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 Caltech Cares Committee (formerly Safety Net Committee) participates in a collaborative effort to promote and support the academic success, health, and emotional well-being of the Caltech community. The Committee focuses on suicide and violence prevention through outreach, awareness promotion, early engagement, training, and evaluation. Confidential resources and reporting processes are key topics for this committee to educate the campus community.

Security continually looks for ways to improve campus safety. Security conducts an annual All-Hands Training Day for Security staff to integrate campus efforts and provide updates on relevant and emerging topics.

Crime Prevention Programs

Security provides website resources including Tips for Personal Safety, Tips for Preventing ID Theft, Resources for Safety and Violence Prevention, and Social Crimes. Security also provides ongoing crime prevention programs listed below.

Bicycle Registration

All members of the campus community are encouraged to register their bicycles with Campus Security. Officers make periodic sweeps of the campus and remove bicycles that have been left unattended for long periods of time. If the bike is registered, they will contact the registered owner prior to its removal. Additionally, if the bicycle is stolen, they will have information on file that may assist in its recovery.

Security Escorts

Security provides escorts to the campus community. 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.

Lock Outs

In the event 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.

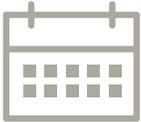
Patrol

Security provides 24-hour patrol service to the campus and off-campus facilities. Patrol is provided by a variety of methods including foot, electric cart, and motor vehicle patrol. Additionally, officers are assigned to provide specific coverage to on-campus undergraduate housing and the Catalina apartment complex. Security patrols student housing and campus facilities.

Crimes Involving Student Organizations

The Chief of Security and the Director of Security Operations communicate as needed with the Pasadena Police Department regarding criminal activity on and around campus. All recognized student organizations are based on the Caltech campus. Caltech does not have off-campus locations of student organizations that are officially recognized by the institution.

There are several "alleys," which are associated with on-campus undergraduate student houses, but these are all owned by Caltech and are patrolled by Caltech Security.



Campus Safety Awareness Programs

Caltech Security has a number of programs specifically designed to inform students and employees about campus safety and crime prevention. Programs for 2015 included the following:

UNDERGRADUATE BOARD DINNER—MAY 5, 2015

Undergraduate Council Members

Topic: Discussed their role in the protection of the students during suspicious persons, active-shooter situation, and other emergencies. Ensured they have all emergency numbers and contacts.

VISITING STUDENTS ORIENTATION—JUNE 18, 2015

Visiting Students and Faculty

Topic: Discussed security concerns and emergency contacts as well as how and when to report suspicious activity and persons to Security.

EMERGENCY COORDINATORS—JULY 9, 2015

Pasadena-Area Emergency Coordinators

Topic: Discussed with City of Pasadena First Responders the protocol for protection of Caltech students, faculty, staff, and guests during emergency situations, suspicious activity, and natural disasters.

CAMPUS VIOLENCE—JULY 20, 2015

Caltech Security Supervisors

Topic: Discussed planning of security protocol in evacuation of students in housing areas during active-shooter situation or suspicious activity. Also discussed working with Pasadena Police to coordinate perimeters.

SECURITY VISITS—AUGUST 28, 2015

Resident-Life Coordinators and Resident Associates

Topic: Discussed the role that RLCs and RAs have while working as a team with Security during emergencies, active shooter, and suspicious activity in housing areas.

FRESHMAN ORIENTATION—SEPTEMBER 24, 2015

Incoming Freshman Students

Topic: Discussed emergency contact numbers and told to be vigilant of surroundings and report suspicious activity or persons immediately to Security.

EMERGENCY ACTION PLAN, ATHLETICS DEPARTMENT—OCTOBER 1, 2015

Desk staff, coaches, lifeguards, athletic trainers, managers

Topic: Active-shooter protocol as well as responding to fire alarms and reporting suspicious persons.

COMMUNITY MEETING—OCTOBER 19, 2015

Professors and postdocs in faculty housing

Topic: Discussed reporting suspicious persons and active-shooter protocol.

SUBSTANCE ABUSE POLICY

The California Institute of Technology (“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 a Caltech 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.

The unlawful manufacture, distribution, cultivation, dispensation, possession, sale, offer to sell, purchase, offer to purchase, and/or unlawful use of controlled substances* or alcohol on the Caltech campus or its offsite 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.) In addition, every employee is required to remain free from the influence of controlled substances, alcohol, or any substance that may impair the employee's ability to perform his/her job duties safely or productively, or that may otherwise impair his/her senses, coordination, or judgment while on duty. Any employee reporting to work (or otherwise at work) under the influence of, or having present in his/her 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 his/her supervisor. Caltech may require an employee to submit to drug and alcohol testing consistent with Institute policy and applicable federal and state law.

As a condition of continued admission, every student is required to comply with this policy. As a condition of employment, all Caltech employee (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 suspension or permanent separation from Caltech may be invoked for violation of this policy and that intoxication is never an excuse for misconduct. Legally, institutions of higher education may contact parents when their adult child violates a school's alcohol or drug policy. If a student's behavior with respect to alcohol and drugs presents a danger to himself/herself and/or others, Caltech may inform the parents.

A faculty member, 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 calendar days after the conviction. Campus employees should inform the Executive Director of Human Resources, and students should inform his/her dean. JPL employees should inform the People Services Section Manager in Human Resources.

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 he/she is losing control over the use of the substance and that he/she needs 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 chronicity 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. 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 in excess of \$1,000,000. Some examples of local or state laws are as follows:

- 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 his/her own safety, or who is interfering with the use of a public way, is guilty of disorderly conduct, which is a misdemeanor.

Examples of local, state and federal laws and regulations may be accessed at the Caltech Security website.

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.

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) on campus and the Employee Assistance Program (EAP) at JPL. Individuals can contact the SFCC by calling (626) 395-8360, and the EAP by calling (818) 354-3680. Students are encouraged to seek assistance from the Student Counseling Center (SCC) 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 SCC 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) 393-3191, for plan details. Information obtained regarding a faculty member, staff, postdoctoral scholar, or student during voluntary participation in services at the SFCC, EAP, SCC, 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

As required by the Drug-Free Schools and Communities Act, 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;
3. faculty, staff, postdoctoral scholar, and student assistance programs; and
4. 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 & Organizational Development (EOD) at Campus or the People Services Section Manager in Human Resources 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 People Services Section in Human Resources 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 offense. Penalties may include employment termination and student suspension or permanent separation 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.

Caltech enforces California state underage drinking laws through Security patrols of student housing and campus events. Security Officers check student identification when they find students in possession of alcohol to assess underage status. Students in violation of local, state, or federal underage drinking laws are referred to the Undergraduate Dean's Office for evaluation.

Caltech Student Programs

Caltech's student initiative regarding alcohol and substance misuse is managed by the Alcohol Committee, which meets bimonthly and is charged with managing and identifying programs and interventions specifically for students. These programs are based on the feedback and data gathered about substance misuse on campus.

One annual program at Caltech is Alcohol 101. This online educational program surveys incoming students and then provides them information on alcohol use, expectations for policy compliance, and the consequences of problem behavior. The students are then surveyed again in the fall after the start of the school year. Trends and concerns are identified and suggestions made for policy changes, educational changes, referral changes, and risk-reduction programming. This program has helped Caltech frame conversations with the students on their behavior and outcomes of their choices.

Ongoing student alcohol programs include alcohol student discussions in the residential facilities and an alternative-to-alcohol program in which students served mocktails outside of the campus Red Door café and distributed literature on drugs and alcohol and the impact on the body. Caltech also provides alcohol training for the Summer Undergraduate Research Fellowships students including a workshop on the college drinking culture, signs of alcohol poisoning, the effects of alcohol and drugs on the body, and how to make better drinking decisions. This workshop includes graduate students as well.

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's Sexual Violence Policy makes clear to students and employees that all forms of sexual violence, including sexual assault, dating violence, domestic violence, and stalking, are considered to be serious offenses and are prohibited at Caltech.

Sexual Assault, Dating Violence, Domestic Violence, and Stalking

Caltech's Sexual Violence Policy covers Caltech's response to reports of sexual assault, dating violence, domestic violence, and stalking. This policy provides complainants with comprehensive information on reporting of incidents; preservation of evidence; notification to law enforcement, as well as assistance in notifying to law enforcement and their rights to decline such notification; rights of complainants to and the Institute's responsibility for orders of protection; confidential and other on-campus and community resources for dealing with issues of sexual misconduct; and comprehensive options and procedures for responding to reports of sexual misconduct.

The Institute is committed to protecting complainants reporting sexual assault, dating violence, domestic violence, and stalking. The Title IX Coordinator and/or Deputy Title IX Coordinator (for staff and postdocs) will provide written notification to complainants regarding options and assistance available to them. Accommodations and protective or interim measures that may be taken include "no contact orders" instituted by written notification to both parties, changes to housing, financial aid, transportation, and academic accommodations. Security will assist complainants with restraining orders and assistance from law enforcement. State jurisdictional information about restraining orders is available in Appendix B. Accommodations and protective measures are available to a complainant, regardless of whether the complainant chooses to report to Security or law enforcement.

The Institute will protect the privacy of complainants and other parties by not disclosing personally identifying information about them in publicly available records as well as maintaining privacy regarding accommodations or protective measures. Accommodations or protective measures are available if the victim requests them and if they are reasonably available. The Institute also provides written notification to complainants regarding counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, student financial aid, and other resources, both within the Institution and the community. Written information is provided to complainants and is available on the Title IX website as well. These resources are included in Caltech's Sexual Violence Policy.

The Title IX Coordinator and/or Deputy Title IX Coordinator (for staff and postdocs) will provide written notification to victims regarding options and assistance with academic, living, working, transportation and protective measures. The Institute provides the complainant with a written explanation of their rights and options following a report of sexual assault, dating violence, domestic violence, and stalking. The Institute's procedures for investigation of formal complaints and other available options in cases of sexual assault, dating violence, domestic violence, and stalking are addressed in Caltech's Sexual Violence Policy. Respondents' rights also are covered in this policy, 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 interim measures. Further specifics of the procedures for investigating complaints of sexual misconduct are detailed in the Sexual Violence policy. Accommodations and protective measures are available to a complainant, regardless of whether the victim chooses to report to Security or law enforcement.

The Institute has made concentrated 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. Two key areas of focus include educating students on issues of consent and introducing bystander intervention programs. These programs help to reduce risk by empowering individuals to act in a beneficial way for themselves and others. Recent undergraduate training programs took place in the student houses to create a shared understanding of consent and bystander intervention for the Caltech community. Title IX training is consistently conducted throughout the campus with students, faculty, and employees.

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

Overview of Student Programs

Sexual violence 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 violence, 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, as well as ongoing prevention and bystander intervention initiatives. These all have the goal of risk reduction and support for students. "Responsible Employees" are identified along with their roles as reporting resources for students. A Responsible Employee is a Caltech employee who has the authority to redress sexual violence, who has the duty to report incidents of sexual violence or other student misconduct, or whom a student or employee could reasonably believe has the authority or duty to do so.

Programs are mandatory for all new students, and make-up sessions are also available 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, Title IX student advisory boards and Resident Advisors are all exposed to ongoing education about the issues associated with harassment and violence.

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 to all programming at Caltech. This year more than 80 percent of all undergraduates participated in some kind of formal bystander training program.

In addition, each year, both graduate and undergraduate students participate in a Title IX Summit and graduate students participate in an assessment that addresses issues of harassment and violence, particularly sexual violence. At this year's summit, the policies were reviewed, and students prepared 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 others campus organizations to provide ongoing awareness and prevention programs, bystander intervention programs, and risk reduction programming to current staff and faculty. Human Resources provides an overview of Title IX and all Institute policies to incoming employees and new faculty through orientation. In addition, Caltech requires that all supervisory personnel participate in sexual harassment training, including training on Title IX, every two years. Responsible Employees are trained to assist students with reporting and resources in cases of sexual violence, 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 faculty at training programs to provide reporting, counseling, and practical tips for helping students/employees.

The student, staff, and faculty programs reinforce Caltech's policy that sexual violence 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 risks and warning signs of potential violence.

In addition, the Caltech Center for Diversity provides ongoing programs that heighten the community's awareness of the prevention of sexual violence on the campus. These programs include presentations focused on sexual assault, dating violence, stalking, and domestic violence.

24-Hour Support Available

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) the Title IX Coordinator and Security, and/or local law enforcement for reporting options; (b) confidential support from the Student Counseling Center or the Staff, Faculty, Consultation Center; and (c) local medical personnel for health response and pregnancy and disease prevention. Caltech's Sexual Violence Policy outlines the resources available to support a student or employee who has experienced sexual violence.

SART Team

The campus has a Sexual Assault Response Team ("SART team"), which may be brought together in the aftermath of a report of sexual violence in order to ensure that all resources and support are available for the reporting party and responding party. Resources include notification of academic, living and other interim measures that are available if requested and determined to be reasonable. The SART team meets to help make important decisions, changes, updates, and takes action to ensure that the reporting party has the immediate care necessary and is safe and supported. The SART team will also advise Security if the team believes a Timely Warning is appropriate.

Resolution of Complaints

The procedures under Caltech's Sexual Violence Policy, including domestic violence, dating violence, stalking, and sexual assaults, provide for a prompt, fair, and impartial process from the initial investigation to the final result. The accuser and the accused are provided the same opportunity to have others present, and an advisor of choice, during an institutional disciplinary proceeding, including the opportunity to be accompanied 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 complainant's and respondent's rights, responsibilities, and options for support are all available in the Caltech Sexual Violence Policy, which is included in this Report. This Policy, together with Caltech's Sexual Harassment Policy and Nondiscrimination and Equal Employment Opportunity Policy, are distributed with a support packet every person who reports an incident of sexual violence or is a respondent.

Bystander Options

Caltech 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 life teams. The curriculum for the program involves the four "Ds." These include empowering a bystander to distract someone in an unsafe situation, delegate the need to intervene to someone who can, because of position or relationship to the student, delay a student interaction so that you have time to access one of the other methods for preventing a problem, or using direct language to confront someone. In addition, a campus video that includes bystander intervention techniques is sent to all students annually and is shared at trainings and programs.

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 violence is key to this effort. The message includes how sexual violence can destroy or end someone's college experience and that neither of these are outcomes are 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.

One example of a program at Caltech is bystander education done together with the Santa Monica–UCLA Rape Treatment Center. In this joint training, students are each given red and green cards, while an accompanying video is shown. The students must display the cards to show that they think the party is able to proceed (green) or that something is becoming a problem and that the party needs to stop the situation from moving forward (red). The intention of the program is to help students practice identifying and acting when they see something wrong at an event. As the students begin to show their red cards, the video is stopped and the students are asked to discuss what they observed when they held up their cards. Students are also asked to discuss what that experience was like for them to show concern in front of peers. They are reminded that they are practicing what it means to intervene as a bystander in a problematic situation.

Sexual Offense Awareness Educational Programs

The Title IX Office, addressing both Title IX and Clery policies, is a high visibility, highly-connected campus resource for students, faculty, and employees. An annual calendar of formal training and communication messages is developed and implemented across all campus communities on a planned and recurrent schedule with collaborative involvement of many resources. The programs listed below represent ongoing training and education efforts.

STUDENTS–TITLE IX AND CLERY TRAINING FOR STUDENT GROUPS

The Title IX office provides highly visible, annual, and ongoing training for Caltech undergraduate and graduate student groups. Training includes Title IX and Clery policies, protocols, responsibilities, bystander education, reporting options, confidential resources, and other on-campus and off-campus resources for students and employees. Student groups trained include all first year students at Orientation, Upper Class Counselors, Graduate Honor Council, international students, Advisory Boards, Freshman Advisors, student housing facilities, Option Representatives, Residential Life and many student activity groups.

STUDENTS–TRAINING THE TITLE IX UNDERGRADUATE AND GRADUATE ADVISORY BOARDS

The Title IX office provides highly visible ongoing training, leadership development, and community discussion regarding Title IX issues with students. The Advisory Boards 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 and Clery policies, protocols, reporting options, responsibilities, on-campus and off-campus resources, guidelines for how to help a friend, bystander education, and house training needs.

STUDENTS–TITLE IX TRAINING: SEXUAL MISCONDUCT PEER EDUCATION PROGRAM

Peer education training includes policies, definitions, and bystander education, and how to help a friend in need of support related to Title IX issues. Caltech students were awarded a grant for the “Burritos not Doritos” training program, a house-based Title IX and

Clery training program that rewarded for full training participation. This program reward is food rather than snacks at house party events.

STUDENTS–SEX POSITIVE WEEK PRESENTATION

This week features presenters, including Planned Parenthood, to debunk myths, discuss safer sex practices, and access to resources and Pleasure Chest and focuses on safer, pleasurable sex, healthy sexuality, and consent/communication in romantic encounters.

STUDENTS–BYSTANDER INTERVENTION TRAINING

This training is focused on bystander intervention as a strategy for preventing sexual violence. Strategies are addressed for learning ways to prevent sexual violence, including 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 POLICY REVIEW MEETING

All students—undergraduate and graduate—are given the chance to review Title IX policies and offer feedback, express concerns, and suggest ways to make the documents user-friendly.

STUDENTS–TITLE IX TRAINING AND ASSESSMENT FOR UNDERGRADUATES/MEETING WITH THE PRESIDENT

The group discusses the climate on campus and addresses issues of joint 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 gather 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–SCREENING OF *THE HUNTING GROUND* AND DISCUSSION

The Hunting Ground is about sexual-assault crimes on college campuses and how the colleges handled complaints and discouraged women from reporting rape. The film follows assault survivors on their path to continued education and justice. Panel discussion afterward.

STUDENTS–“IT’S ON US” VIDEO

The Title IX office has created a Caltech video for the “It’s on Us” Campaign addressing consent, rape culture, bystander intervention, and community responsibility for making Caltech a safer place to be and a stronger community whose members care for one another.

STUDENTS–ALCOHOL AND CONSENT: “BURRITOS, NOT DORITOS” GRANT PRESENTATION

In this workshop, topics addressed include consent, definitions of sexual violence, the relationship between alcohol and consent, bystander intervention, and resource information. Members of an undergraduate house are able to count their attendance at this event toward their house’s participation in the completion of the “Burritos, Not Doritos” grant.

STUDENTS–FROSH WOMEN SERIES (SEXVERSATIONS)

This conversation with freshmen is about safer sex practices, consent, healthy relationships, and communication.

STUDENTS–TITLE IX TRAINING AT ORIENTATION

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

STUDENTS–ONLINE TRAINING

New students review policies, bystander intervention, resources, and reporting information.

STUDENTS–ONLINE TRAINING

Student Teaching Assistants review policies, resources, and reporting information.

STUDENTS, FACULTY, AND STAFF–DENIM DAY

Rape Prevention campaign includes wearing denim in support of rape prevention with the Center for Diversity.

STUDENTS, FACULTY, AND STAFF–TAKE BACK THE NIGHT

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

STUDENTS, FACULTY, AND STAFF– PERSONAL PREPAREDNESS FAIR

Information and vendor fair provides key resources for personal preparedness.

STUDENTS, FACULTY, AND STAFF– DOMESTIC VIOLENCE AWARENESS MONTH

This campaign includes many events focused on breaking the cycle of interpersonal violence. Events include Day of Action, Peace over Violence Presentation, and a candlelight vigil/speak-out.

STAFF AND FACULTY–TITLE IX SEXUAL ASSAULT RESPONSE TEAM TRAINING (SART)

SART Team members include: Title IX Coordinator, Deputy Coordinators, Undergraduate and Graduate Deans, confidential resources, responding parties, Security, and Office of General Counsel. Training focuses on Title IX policies and procedures, protocols, and responses for students and employees.

STAFF–TITLE IX RESPONSIBLE EMPLOYEE TRAINING

The Title IX office provides annual and ongoing training for all Responsible Employees, particularly focusing on Title IX policies and procedures, protocols, reporting options, confidential resources and other on-campus and off-campus resources for students and employees.

STAFF–TITLE IX CAMPUS SECURITY AUTHORITY (CSA) TRAINING

The Title IX office provides annual and ongoing training for all Campus Security Authorities in conjunction with the Office of General Counsel, particularly focusing on Clery policies and procedures, protocols, reporting options, confidential resources, and other on-campus and off-campus resources for students.

STAFF–TITLE IX AND CLERY TRAINING FOR ATHLETIC STAFF

This training is for Caltech Coaches and Athletic Department employees covering policies, Responsible Employee protocols, Clery and Campus Security Authority (CSA) responsibilities, bystander education, and team training needs.

STAFF–TITLE IX AND CLERY TRAINING FOR EMPLOYEE GROUPS

The Title IX office provides highly visible, annual, and ongoing training for Caltech employee groups. Training includes Title IX and Clery policies, protocols, responsibilities, bystander education, reporting options, confidential resources, and other on-campus and off-campus resources for students and employees. Employee groups trained include Security, Residential Life, Division Administrators, Option Administrators, Athenaeum employees, Procurement, the Student Program social team, and many operational groups.

STAFF–NEW EMPLOYEE ORIENTATION

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

STAFF–MONTHLY CLERY COMMITTEE MEETING

Training and meeting to promote collaboration of a wide-ranging Clery team across campus departments. The committee addresses current concerns, programming, and policy development.

STAFF–CLERY CENTER TRAININGS

Security, the Title IX office and others participate in annual Clery Center Training Workshops to understand changes or modifications to the policies and to improve Clery compliance. Caltech became a Collaborative Member of the Clery Center in 2015.

STAFF–TITLE IX TEAM AND SEXUAL VIOLENCE PREVENTION PROGRAM

The Title IX team has attended Berkeley statewide program on sexual violence prevention. In attendance have been the Title IX Coordinator, deputy coordinators, Office of General Counsel, and confidential resources.

STAFF–TITLE IX TEAM TRAINING SANTA MONICA UCLA RAPE TREATMENT CENTER

Training includes community resources and engagement on Title IX issues with student support. Activism is discussed. Caltech leaders serve on the panel.

STAFF–TITLE IX REGIONAL MEETING/ TRAINING FOR TITLE IX TEAM AT CALTECH

Meeting for regional Title IX Coordinators and Caltech Title IX team focuses on FERPA and Trauma Informed Investigations panel on best practices.

STAFF–TITLE IX AND CSA CROSS TRAINING WITH THE PASADENA POLICE DEPARTMENT

Training includes Memorandum of Understanding development and comparison of policies and protocols for partnership purposes.

STAFF–CLERY TRAINING AND CLERY RETREAT FOR CLERY COMMITTEE

The Annual Clery Retreat is a key aspect of the planning and coordination of Clery-related issues at Caltech. It also provides the Clery Committee an opportunity to review policies, develop projects, and identify subcommittee assignments for the year. Outcomes of this year's meeting include Clery website, new co-chairs, policy updates, and training schedule.

STAFF–TITLE IX TRAINING AT ALL-HANDS SECURITY MEETING

Program for all Security personnel reviews policies, definitions, protocols, reporting and resource information, and how to talk with a victim/survivor.

STAFF–PRESENTATION OF ALCOHOL EDU FINDINGS TO STAFF MEMBERS

This training was a brief overview of Alcohol EDU online training findings and what it means for the campus including proposed suggestions for policy changes, educational changes, referral changes and BASICS.

STAFF–TRAINING WITH TITLE IX, SECURITY AND PASADENA POLICE DEPARTMENT

Caltech Security and Title IX staff cross-trained on protocols associated with new legislation on reporting.

STAFF AT LIGO FACILITY IN LOUISIANA– PREVENTION OF UNLAWFUL HARASSMENT

Training was conducted via webinar and reviewed Unlawful Harassment Policy and identified community standards. Case studies were utilized to engage participants in discussion about individual responsibilities and resources available.

STAFF AT JET PROPULSION LABORATORY, PASADENA, CA–PREVENTION OF UNLAWFUL HARASSMENT AND SEXUAL VIOLENCE

Training for JPL employees regarding the Unlawful Harassment Policy and the Sexual Violence Policy to identify individual responsibilities and resources available.

PROSPECTIVE PARENTS–TITLE IX TRAINING FOR PARENTS OF PROSPECTIVE UNDERGRADUATE STUDENTS

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.

CALTECH'S SEXUAL VIOLENCE 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. Consistent with these principles, it is the policy of Caltech to provide a work and academic environment free of sexual violence.

Sexual violence is a form of sex discrimination and is prohibited by Title IX of the Education Code and other federal and state laws. Caltech will not tolerate sexual violence, and is committed to educating the community in ways to prevent its occurrence.

All forms of sexual violence are considered to be serious offenses. This Policy prohibits all forms of sexual violence, including sexual assault, non-consensual sexual contact, dating violence, domestic violence, sexual exploitation, intimidation and stalking. This Policy also prohibits retaliation against an individual who reports, complains about, or who otherwise participates in good faith in any matter related to this Policy.

Sexual violence can be committed by individuals of any gender, regardless of an individual's sexual orientation, gender identity, gender expression, or sexual or romantic orientation, and can occur between individuals of the same gender or different genders, strangers or acquaintances, as well as people involved in intimate or sexual relationships.

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

Scope

This policy applies to all students, faculty, staff (including managers and supervisors), postdoctoral scholars, volunteers, interns, vendors, independent contractors, persons performing services under contract with the Institute, visitors, and any other individuals regularly or temporarily employed, studying, living, visiting, or otherwise participating in Caltech's educational programs and activities.

This policy applies to conduct occurring on Caltech property, at Caltech-sponsored events, in Caltech programs and off-campus where the conduct has continuing adverse effects on any member of the Caltech community on-campus or in any Caltech employment or education program or activity.

Members of the Caltech community are encouraged to immediately report sexual violence to Caltech as well as to local law enforcement, regardless of where the incident occurred, or who committed it (a stranger or non-stranger). Reports to Caltech and law enforcement may be pursued simultaneously. An individual who has experienced sexual violence is encouraged to immediately seek assistance from a medical provider.

Even if Caltech does not have jurisdiction over the person accused of sexual violence, Caltech will still take prompt action to provide for the safety and well-being of the individual reporting and the campus community. Caltech will take prompt action to determine what occurred and take reasonable steps to remedy the effects of the sexual violence and prevent recurrence of the behavior.

When used in this policy and accompanying procedures, complainant refers to the individual who is reported to be the subject of the sexual violence. Respondent refers to the individual who is reported to have committed sexual violence. A third-party refers to any other participant in the process, including a witness to the incident or an individual who makes a report on behalf of someone else.

Definitions

Sexual assault is defined as having or attempting to have sexual intercourse with another individual by force or threat of force, without consent, or where the person is incapacitated. Sexual intercourse includes vaginal or anal intercourse, digital penetration, oral copulation or penetration with a foreign object.

Non-consensual sexual contact is intentional contact with the intimate body parts of another (whether directly or through clothing), or disrobing or exposure of another without permission, by force or threat of force, without consent, or where the person is incapacitated. Intimate body part means sexual organ, anus, groin, breast or buttocks.

Sexual exploitation occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own or another's benefit or advantage.

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.

Dating violence is any act of violence, or threatened act of violence, against a person who is (or has been) in a romantic or intimate relationship with the person accused of sexual violence.

Domestic violence is violence committed by a current or former spouse, by a person with whom the victim shares a child, who is or has cohabitated with the victim, or by person similarly situated to a spouse, and by any other person against someone who is protected from that person's acts under domestic or family violence laws.

Intimidation is the use of implied threats to overcome an individual's freedom of will to choose whether or not to participate in sexual activity or provide consent. Consent obtained by intimidation is not valid.

Consent

Consent is a crucial component of the Caltech policy. Consent is the affirmative, conscious, voluntary, informed, and uncoerced agreement through words and/or actions, which a reasonable person would interpret as a willingness to participate in mutually agreed-upon sexual activity. Sexual activity should occur only when all participants willingly and affirmatively choose to engage in particular acts. It is the responsibility of the initiator of the sexual activity, at each stage, to obtain effective consent. The use of intimidation, coercion, threats, force, or violence negates any consent obtained.



Indications that consent is not present include, but are not limited to:

- A verbal "no" (no matter how indecisive) or resistance (no matter how passive)
- When physical force is used, or when there is a reasonable belief of the threat of physical force
- When any kind of coercion is present

Affirmative consent must be ongoing throughout a sexual activity and can be revoked at any time. The existence of a dating relationship between the persons involved, or the fact of past sexual relationship between them, should never by itself be assumed to be an indicator of consent. Consent cannot be inferred from silence, passivity or lack of active resistance. Consent cannot be inferred from consent to a prior or different activity. If consent is revoked, the other party must immediately stop whatever sexual activity is occurring.

A person will not be considered to have given consent if the individual is incapable of making an intentional decision to participate in a sexual activity, including being unconscious or asleep; incapacitated by drugs, alcohol, or medication so that the complainant could not understand the fact, nature or extent of the sexual activity; or if they are unable to communicate due to a mental or physical condition. A person is considered to be incapacitated when that person lacks the ability to make informed, rational judgments and decisions to engage in sexual activity. States of incapacitation include, but are not limited to, unconsciousness, sleep, and blackouts. Where alcohol or drugs are involved, incapacitation is defined with respect to how the alcohol or other drugs consumed affects a person's decision-making capacity, awareness of consequences, and ability to make fully informed judgments.

Being intoxicated or otherwise impaired does not diminish one's responsibility to obtain consent. The question is whether or not the person who initiated the sexual activity knew, or whether a sober and reasonable person in the same position should have known, whether the other person gave effective consent.

Prohibition against Retaliation

No member of the Caltech community will be retaliated against for making a good-faith report of sexual violence or for participating in an investigation, proceeding, or hearing conducted by Caltech, or by a state or federal agency. Overt or covert acts of retaliation, reprisal, interference, discrimination, intimidation, or harassment against an individual or group for exercising their rights under Title IX or other federal and state laws is unlawful. Retaliation against any member of the Caltech community for exercising their rights under Title IX or this policy is strictly prohibited.

Caltech will take steps to prevent retaliation and will take prompt and appropriate corrective action if retaliation occurs. Individuals who violate this policy may be subject to disciplinary action up to and including termination or permanent separation.

TITLE IX COORDINATOR

TITLE IX COORDINATOR

FELICIA HUNT

(faculty, staff, JPL, postdoctoral scholars, and students)

Phone: (626) 395-3132

Email: TitleIXCoordinator@caltech.edu

Office: 205 Center for Student Services

After Hours: Contact Caltech Security
(626) 395-5000

Title IX Coordinator and Deputy Coordinators

The Title IX Coordinator is responsible for coordinating Caltech's compliance with Title IX and for Caltech's overall response to conduct falling under Title IX. The Title IX Coordinator oversees 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 also oversees the application of Caltech's policies and implementation of the processes and procedures and coordinates Caltech's response to all complaints of sexual violence under Title IX to ensure consistent treatment of parties involved, and prompt and equitable resolution of complaints. The Title IX Coordinator is supported by three Deputy Coordinators. The Title IX Coordinator and Deputy Coordinators can answer questions regarding Title IX.

Privacy and Confidentiality

Caltech will maintain the privacy of all individuals involved in a report of sexual violence to the extent possible. Caltech takes reasonable and appropriate steps to preserve the complainant's and respondent's privacy and protect the confidentiality of information. All Caltech employees who are involved in the Title IX response, including the Title IX Coordinator, Deputy Coordinators, and investigators, receive specific instruction 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 of the matter.

Privacy generally means that information related to a report of sexual violence will only be shared with those individuals who have a "need to know." These individuals will be discreet and will respect the privacy of all individuals involved.

Confidentiality generally means that information shared by an individual with designated campus or community professionals cannot be revealed to any other individual without the express permission of the individual. These professionals are listed under "Confidential Campus Resources" in the policy. These individuals 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 minor under the age of 18, these confidential resources are required by state law to notify child protective services and/or local law enforcement.

Options for Immediate Assistance & Preservation of Evidence

Because sexual violence may involve physical trauma and is a crime, individuals who have experienced sexual violence are urged to seek medical treatment as soon as possible. They are strongly encouraged to preserve all physical evidence of the violence. This may be needed to prove criminal sexual violence, or for obtaining a protective order. Individuals who have experienced sexual violence should not shower, bathe, douche, eat, drink, wash their hands, or brush their teeth until after they have had a medical examination. They should save all of the clothing they were wearing at the time of the violence. Each item of clothing should be placed in a separate paper bag, not a plastic bag. They should not clean or disturb anything in the area where the sexual violence occurred.

Caltech also encourages individuals who have experienced sexual violence to seek immediate psychological and support/advocacy services provided by campus and/or community services. Campus Security and the Protective Services Division at JPL will contact on-campus resources, provide information regarding off-campus resources for advocacy, medical treatment, and forensic evidence collection, and will provide a taxi voucher to access the off-campus resources.



24 Hours a Day/7 Days a Week

CAMPUS SECURITY (626) 395-5000

Security will 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 Security.

JPL PROTECTIVE SERVICES DIVISION (818) 393-3333 | (818) 354-3333

The JPL Protective Services Division will 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.

PEACE OVER VIOLENCE

(24-hour emergency medical care and forensic services, counseling and psychotherapy, advocacy, and accompaniment services)

892 N. Fair Oaks Ave., Suite D | Pasadena, CA 91103

(626) 584-6191

(626) 793-3385 (24 hours)

SAN GABRIEL MEDICAL CENTER

(treatment and forensic evidence collection [the "rape kit"])

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 care and forensic services [the "rape kit"])

(310) 319-4000

www.911rape.org

HUNTINGTON MEMORIAL HOSPITAL EMERGENCY ROOM

(24-hour emergency medical care, but no "rape kit")

100 W. California Blvd. | Pasadena, CA 91105

(626) 397-5112

Note that medical providers (but not psychological counselors) in California are required to notify law enforcement when they receive a report of sexual assault.

PASADENA POLICE DEPARTMENT

207 N. Garfield Ave. | Pasadena, CA 91101

Emergency Response: 911

Non-Emergency Response: (626) 744-4241

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.

Members of the Caltech community may access the offices below for confidential support. Counselors and designated confidential resources in these offices will listen and help identify options and next steps. They can also help the individual who has experienced sexual violence decide what plan of action feels most comfortable. Talking to any of these confidential resources does not constitute reporting an incident to Caltech. Although they are not involved in Caltech's formal response to an incident, or possible legal action, confidential resources in each of these offices are available to provide support to a complainant or a respondent as the individual moves through the steps related to either or both of these processes. Confidential resources in these offices may be able to help them develop a clear statement that contains all of the relevant information regarding the matter, or may recommend that the complainant or respondent speak with another campus office for additional specialized services or resources, including how to obtain a protective order.

If an individual who has experienced sexual violence speaks with a mental health professional or other confidential resource and requests confidentiality, Caltech will be unable to conduct an investigation into the particular incident or pursue disciplinary action against the person accused of sexual violence.

Even so, these confidential resources will assist the individual who has experienced sexual violence in receiving other necessary protection and support, such as victim advocacy, academic support or accommodations, disability, health or mental health services, and changes to living, working or course schedules. An individual who has experienced sexual violence who at first requests confidentiality may later decide to file a complaint with Caltech and/or report the incident to law enforcement. The mental-health professionals and other confidential resources listed below will provide the individual with assistance in filing a complaint if the individual wishes to do so.

MENTAL HEALTH PROFESSIONALS

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

FOR STUDENTS:

(626) 395-8331

Student Counseling Center

(626) 395-5000

after hours via Security

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

(818) 354-3333

after hours via JPL Protective Services Division

(818) 393-3333

JPL Employee Assistance Program/Empathia/
Life Matters—only JPL employees

Work Life Balance EAP (Password: JPL)

Other Campus Confidential Resources

Designated confidential resources in the Caltech Center for Diversity and the Sexual Misconduct Prevention Coordinator can generally talk to a complainant or respondent without revealing any personally identifying information about an incident to Caltech. A complainant can seek assistance and support from these individuals without triggering a Caltech investigation that could reveal the complainant's identity or that the complainant has disclosed the incident.

While maintaining a complainant's confidentiality, the Caltech Center for Diversity and the Health Educator's Office will report the nature, date, time and general location of an incident to the Title IX Coordinator. This limited report, which includes no information that directly or indirectly identifies the complainant, helps keep the Title IX Coordinator informed of the general extent and nature of sexual violence on- and off-campus so that Coordinator can track patterns, evaluate the scope of the program, and formulate appropriate campus-wide responses. These confidential resources will report aggregate statistics (with no identifying information) for inclusion in Caltech's Annual Security Report.

CAMPUS CONFIDENTIAL RESOURCES FOR STUDENTS

**CALTECH CENTER FOR DIVERSITY:
(626) 395-3221 or (626) 395-8108**

**SEXUAL MISCONDUCT
PREVENTION COORDINATOR:
(626) 395-2961**

Reporting to Caltech

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. For a list of individuals to whom violations of this policy can be reported, please see the Title IX Coordinator information above and other individuals identified below.

Any person in a supervisory role must report any complaints of sexual violence of which they become aware to one of the designated coordinators listed herein.

Caltech is required to take corrective action if a "responsible employee" knew or reasonably should have known about sexual violence. A responsible employee is a Caltech employee who has the authority to redress sexual violence, who has the duty to report incidents of sexual violence or other student misconduct, or whom a student or employee could reasonably believe has the authority or duty to do so.

When an individual tells a responsible employee about an incident of sexual violence, the responsible employee must report to the Title IX Coordinator or another individual listed below all relevant details about the alleged sexual violence. Caltech is committed to protecting the privacy of all individuals involved in a report of sexual violence. All employees involved in the response to a report of sexual violence understand the importance of properly safeguarding private information. Caltech will make every effort to protect individuals' privacy interests consistent with Caltech's obligation to investigate reports made to Caltech. Caltech will not share information with law enforcement that identifies an individual who has experienced sexual violence without the individual's consent.

The following individuals are responsible employees for reporting purposes.

CAMPUS RESPONSIBLE EMPLOYEES:

- Title IX Coordinator and Deputy Coordinators
- Chief of Security
- Director of Security Operations
- Security Officers
- President
- Provost
- Vice Provosts
- Division Chairs
- Division Administrators
- Vice Presidents
- Associate Vice Presidents
- Assistant Vice Presidents
- Deans
- Associate Deans
- Performing and Visual Arts Administrator
- Director of Athletics, Physical Education and Recreation
- Director of Financial Aid
- Registrar
- Executive Director of Admissions and Financial Aid
- Senior Director, Student Programs and Activities
- Director of Fellowships Advising and Study Abroad, and Career Development Center
- Senior Director of Dining Services
- Director of Housing
- Residence Life Coordinators
- Resident Associates
- Coaches
- Director of Employee & Organization Development
- Employee Relations Consultants
- Supervisors and Managers

Faculty members who supervise a research laboratory or group, or who have administrative responsibilities

JPL RESPONSIBLE EMPLOYEES:

- Title IX Coordinator and Deputy Coordinator
- JPL Protective Services Group Supervisor, Investigations
- Director for Human Resources
- Deputy Director for Human Resources
- Associate Director for Human Resources
- Talent Acquisition Section Manager
- Human Resources Business Partners

Supervisors and Managers

If a member of the Caltech community would like support and guidance in filing a complaint, they may contact the Title IX Coordinator or a Deputy Coordinator, one of the Deans or Associate Deans, the Director of Employee & Organization Development in Human Resources, or the JPL Section Manager of Talent Management or Human Resources Business Partners at JPL. They may also contact of the Coordinators identified in the Nondiscrimination and Equal Employment Opportunity Policy.

No member of the Caltech community will be retaliated against for making a good-faith report of alleged sexual violence or for participating in an investigation, proceeding, or hearing conducted by Caltech, or by a state or federal agency.

Requests for Confidentiality or that Complaint not be Pursued

In matters falling under Title IX, if a member of the Caltech community discloses an incident to a responsible employee but requests that his or her name not be used or requests that no investigation into a particular incident be conducted or that no disciplinary action be taken, Caltech must weigh the request against its obligation to provide a safe, non-discriminatory environment.

The Title IX Coordinator or designee will evaluate all requests for confidentiality once a responsible employee is on notice of the alleged sexual violence. Factors that the Title IX Coordinator or designee will consider include circumstances that suggest there is an increased risk of the accused committing additional acts of sexual violence or other violence. Factors may also include circumstances that suggest there is an increased risk of future acts of sexual violence under similar circumstances, whether there was a weapon involved, the age of a student victim, and whether there are other means to obtain relevant evidence.

Caltech will take all reasonable steps to investigate or otherwise determine what occurred and respond to the complaint consistent with the request not to use the complainant's name or request not to pursue an investigation or that no disciplinary action be taken, but its ability to do so may be limited based on the nature of the request by the complainant.

When Caltech is unable to take action consistent with the request of the complainant, the Title IX Coordinator will inform the complainant about Caltech's chosen course of action, which may include Caltech seeking disciplinary action against the respondent. Alternatively, the course of action may also include steps to limit the effects of the alleged sexual violence and prevent its recurrence that do not involve formal disciplinary action against the respondent or revealing the identity of the complainant.

If the complainant insists that his or her name not be disclosed to the respondent, the Title IX Coordinator will explain that Caltech's ability to respond may be limited, including pursuing disciplinary action against the person accused of sexual violence. The Title IX Coordinator will also advise the complainant that Caltech and Title IX prohibit retaliation, and that

Caltech will take steps to prevent retaliation and responsive corrective action if it occurs. If the complaint includes allegations that may constitute a possible crime, the complainant will be notified of his or her right to choose whether to file a criminal complaint.

Reports Involving Minors

Every member of the Caltech community, who knows of, or reasonably suspects, child abuse, including sexual violence, has a personal responsibility to report to Caltech Security or the JPL Division of Protective Services immediately. Caltech employees who are mandatory reporters have additional reporting obligations, including reporting immediately to LA County Child Protection or the local police department. See the Violence Prevention Personnel Memorandum for more information.

Anonymous Reporting

Although Caltech encourages victims to talk to someone, Caltech provides the following resources for anonymous reporting:

ANONYMOUS REPORTING RESOURCES

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**

**Campus Security can also receive anonymous
reports of sexual violence at
(626) 395-5000.**

Contacting one of these anonymous reporting resources may trigger an investigation, and if the reporting party shares personally identifying information, they will be notified if an investigation occurs.

Notification of Law Enforcement

Individuals who have experienced sexual 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 violence to law enforcement. Caltech will not report identifying information about the complainant without the complainant's consent after being notified of his or her 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.

Timely Warnings

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. Timely Warnings will not disclose the name of the victim.

Clery Reporting

The Clery Act requires Caltech to issue an Annual Security Report, which includes crime statistics and information about campus crime prevention programs and policies. Campus Security gathers crime statistics from security reports, Pasadena Police Department information, and reports by Campus Security Authorities. Crime statistics do not disclose any identifying information about a complainant, respondent or third parties. Crimes reported in the Annual Security Report that are addressed by Title IX are forcible sexual offenses (sexual assault and non-consensual sexual contact), non-forcible sexual offenses (incest and statutory rape), dating violence, domestic violence, and stalking. For more information and statistics for the past three years, see the current Annual Security Report.

Contacting the Office of Civil Rights

Employees, students and others participating in Caltech's educational programs and 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 have the right to file a complaint with the Federal Equal Employment Opportunity Commission or the California Department of Fair Employment and Housing, which have the authority to remedy violations.

Informational Resources

Information on sexual violence, as well as copies of Caltech's Sexual Violence, Nondiscrimination and Equal Employment Opportunity, and Unlawful Harassment Policies, and the Violence Prevention Personnel Memorandum are available from Caltech's Title IX Coordinator and Deputy Coordinators, Student Affairs and Deans offices, the Caltech Center for Diversity, Resident Associates, the Staff and Faculty Consultation Center, and Employee & Organizational Development at campus, and the Human Resources Business Partners at JPL. The Policies are published in the Caltech Catalog and on the following Caltech websites: Caltech Human Resources, JPL Human Resources, Title IX, and Student Affairs.

PROCEDURES FOR RESPONDING TO AND RESOLVING COMPLAINTS OF SEXUAL VIOLENCE AT CALTECH

Caltech will take prompt and appropriate action to address all reports of sexual violence in a fair and impartial manner. The complainant, respondent, and all other participants in the process will be treated with dignity, care and respect. Caltech will conduct a fair, timely, and thorough investigation that provides all parties appropriate due process and reasonable conclusions based on the evidence collected.

These procedures are for the benefit of the Caltech community and do not apply in cases involving complainants and/or respondents who are not current Caltech students, faculty, staff, postdoctoral scholars, volunteers, and interns. When a complaint involves a third party who is not affiliated with Caltech, Caltech's ability to investigate and take action against the person accused of sexual violence may be limited. However, in all cases, Caltech will conduct an inquiry into what occurred and take prompt action as is practicable to provide for the safety and well-being of the complainant and the campus community.

Prohibition against Retaliation

Retaliation against any member of the Caltech community involved in the process of responding to and resolving a report of sexual violence, including complainants, respondents and third parties, is strictly prohibited. Caltech recognizes that retaliation can take many forms, may be committed by or against an individual or group, and that a complainant, respondent or third party may commit or be the subject of retaliation. Caltech will take steps to prevent retaliation and will take prompt and appropriate corrective action to stop retaliation if it occurs.

False Reports

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.

Amnesty for Student Alcohol or Drug Use

Caltech encourages reporting of sexual violence. It is in the best interests of the Caltech community that complainants and third parties report sexual violence to Caltech. To encourage reporting, a complainant or witness in an investigation will not be subject to disciplinary action for a violation of the honor code or Caltech's Substance Abuse policy at or near the time of the incident, 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. Caltech may however, initiate an educational discussion or pursue other educational remedies regarding alcohol or drugs.

Making a Report to Caltech

A member of the Caltech community who wishes to report sexual violence should do so as soon as possible after the assault, although reports (hereinafter “complaints”) may be made at any time. Complaints can be made orally or in writing. Complaints should be brought to the attention of one of the following individuals or other responsible employees listed in the policy.

TITLE IX CONTACTS

TITLE IX COORDINATOR

FELICIA HUNT

(faculty, staff, JPL, postdoctoral scholars, and students)

Phone: **(626) 395-3132**

Email: **TitleIXCoordinator@caltech.edu**

Office: **205 Center for Student Services**

DEPUTY TITLE IX COORDINATOR FOR FACULTY

MELANY HUNT

Phone: **(626) 395-4231**

Email: **hunt@caltech.edu**

Office: **265 Gates-Thomas**

DEPUTY TITLE IX COORDINATOR FOR STAFF AND POSTDOCTORAL SCHOLARS

OFELIA VELAZQUEZ-PEREZ

Phone: **(626) 395-5930**

Email: **Ofelia.Velazquez-Perez@caltech.edu**

Office: **206 Central Engineering Services**

DEPUTY TITLE IX COORDINATOR FOR JPL

JACKIE CLENNAN-PRICE

Phone: **(818) 354-2983**

Email: **Jackie.A.CleNNanprice@jpl.nasa.gov**

Office: **Human Resources T1720-149**

Interim Measures

Upon receipt of a report of sexual violence covered by Title IX, Caltech will take prompt measures to protect the rights of both the complainant and the respondent as appropriate. Caltech will immediately assess whether there is a threat to the complainant, the respondent and/or other members of the community and will take steps necessary to address such risks. These steps may include interim safety measures to provide for the safety of individuals and the campus community.

Interim safety measures, administrative changes and/or academic changes can be made at any stage in the process to protect the rights of either party. They will be made by the appropriate administrators. These changes should be discussed with the appropriate responsible Caltech official: Provost, EOD Director, Deans, Associate Deans, Associate Vice President for Human Resources on campus, or Director for Human Resources at JPL. Changes affecting faculty, staff and 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. For students, these changes might include the complainant's option to avoid contact with the respondent via a “no contact” order from the Deans of Title IX Coordinator, changes to classes and/or housing, Caltech-imposed leave for the respondent, as well as any other remedy that can be tailored to the involved individuals to achieve the goals of this policy. When taking steps to separate a complainant and respondent, Caltech will endeavor to minimize the burden on the complainant. Care will be taken to protect both parties with the greatest degree of privacy possible. If a complainant wishes to seek a temporary restraining order or similar judicial order, Caltech will help the complainant with that process.

Measures for the broader student population may include but are not limited to: developing materials on sexual violence, further training for employees regarding Title IX, education of students on bystander intervention and/or sexual violence prevention, or taking steps to clearly communicate that Caltech does not tolerate sexual violence and will respond to any incidents and to any individual covered by these procedures who reports such incidents.

Initial Title IX Assessment

For every report of sexual violence covered by Title IX, Caltech's Title IX Coordinator will make an initial assessment of the complaint which will include an immediate assessment of any risk of harm to individuals or to the campus community and will take steps necessary to address those risks. These steps may include interim protective measures to provide for the safety of the complainant and the campus community as described above.

The complainant will be provided with information on the complainant's rights and options under the Institute's Sexual Violence policy and these procedures, written materials about the availability of, and contact information for, on- and off-campus resources and services, and coordination with law enforcement. The need for and types of interim measures also will be discussed.

The Title IX Coordinator may also meet with the respondent and other relevant parties as part of the initial assessment. If the Title IX Coordinator meets with the respondent, the individual will be provided with information on the respondent's rights and options under the Institute's Sexual Violence policy and these procedures, and written materials about the availability of, and contact information for campus resources and services.

The initial assessment will proceed to the point where a reasonable assessment of the safety of the individual and of the campus community can be made and an appropriate approach to resolution can be determined. Thereafter, the Title IX Coordinator may refer the complaint for formal investigation, administrative resolution or other appropriate disposition, depending on a variety of factors, such as the complainant's request that his or her name not be used, complainant's request that no investigation into a particular incident be conducted or that no disciplinary action be taken, the risk posed to any individual or the campus by not proceeding, the nature and seriousness of the allegations, whether there have been other reports/complaints of sexual violence involving the respondent, and whether the allegations are contested. The Title IX Coordinator will obtain the complainant's

agreement to proceed with the proposed approach to resolution, whether it be a formal investigation, administrative resolution, or another alternative approach. In implementing the approach, the Title IX Coordinator will inform and coordinate with the appropriate responsible Caltech official(s): Provost, EOD Director, Deans, Associate Deans, Associate Vice President for Human Resources on campus, or Director for Human Resources at JPL.

Caltech will investigate reports of sexual violence consistent with its obligations under applicable law. For complaints solely covered by Title IX, the Title IX Coordinator will seek consent from the complainant to proceed with a formal investigation or an administrative resolution. If the complainant requests confidentiality or asks that the complaint not be pursued, Caltech will still take all reasonable steps to investigate or otherwise determine what occurred and respond to the report. If the complainant refuses to have his/her name disclosed to the respondent, the Title IX Coordinator will explain that Caltech's ability to investigate and respond may be limited. If the complaint includes allegations that may constitute a possible crime, the Title IX Coordinator will notify the complainant of his/her right to file a criminal complaint or to choose not to notify law enforcement.

Administrative Resolution

The Title IX Coordinator, with the complainant's and the respondent's agreement, may offer the opportunity to resolve the sexual violence complaint by Administrative Resolution. Administrative Resolution provides an opportunity for the respondent to accept responsibility for his or her alleged conduct and proceed to a resolution without a formal investigation.

If the Administrative Resolution option is agreed to by the 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 Institute's Sexual Violence policy and these procedures, and written materials about the availability of, and contact information for, campus resources and services. The Title IX Coordinator will

offer the respondent the opportunity to resolve the complaint by Administrative Resolution by accepting responsibility for the alleged conduct. If the respondent elects to acknowledge that the alleged conduct occurred and takes responsibility for the alleged sexual violence, the respondent will sign a written acknowledgement and the matter will be referred to the appropriate Caltech official for a decision concerning sanctions and any other remedial action that may be appropriate. The complainant and respondent will both be notified simultaneously in writing of the resolution, including any sanctions against the respondent. Either party may appeal the sanction imposed.

If the respondent contests responsibility for the alleged conduct, the Administrative Resolution process will be concluded and the case will be referred for Formal Investigation or other resolution as appropriate.

Formal Investigation

The following procedures apply with respect to complaints referred for formal investigation:

- The purpose of the investigation is to determine the facts relating to the complaint.
- All participants involved in the investigation will receive a fair process and be treated with dignity, care, and respect.
- In Title IX cases, all parties may have an advisor of their choice accompany them when reporting, or responding to, allegations of sexual violence. The advisor may not speak on behalf of the individual they are accompanying.
- Caltech's investigation will occur independently from any legal/criminal proceedings that may take place. Caltech may defer fact gathering for a short time during only the initial stages of a criminal investigation.
- The individuals involved in the investigation will respect the privacy of the complainant, respondent, and that of all parties involved while conducting a thorough review of the complaint.
- Investigators will be trained regularly in issues related to sexual violence and how to conduct an investigation process that protects the safety of all involved and promotes accountability. Caltech will typically use a team of one or two investigators, though an individual, a committee or an outside consultant may conduct the investigation. The investigators chosen must be impartial and free of any conflict of interest.
- The complainant and respondent will be informed of the relevant procedures, and may object to the investigator(s) by notifying the appropriate Caltech official in writing.
- If internal investigators are used, at least one investigator should be from the same area as the respondent.
- Within a reasonable length of time after the complaint has been filed, the respondent will be notified in writing of the nature and alleged factual bases underlying the complaint and an investigation will begin. If interim measures are needed to protect the rights of the complainant and/or respondent during the investigation, the appropriate administrators shall see that they are made.
- Caltech's policies on Sexual Violence, Nondiscrimination and Equal Employment Opportunity, and Unlawful Harassment will be reviewed with both parties and copies will be provided to them.
- The complainant and respondent will be informed that Caltech does not tolerate retaliation, takes steps to prevent retaliation, and takes strong responsive action if retaliation occurs. The complainant and respondent will be advised to notify Caltech immediately of any retaliation that occurs. They should immediately notify any of the individuals to whom a complaint can be made if anyone associated with the matter is under continuing threat or is being subject to retaliation.
- The investigator(s) will summarize for the respondent the evidence in support of the complaint to allow the respondent the opportunity to reply.
- The investigation will be treated as private to the extent possible and all parties will be advised to maintain privacy. Caltech administrators will be informed on a need-to-know basis. Caltech will make reasonable and appropriate efforts to preserve the complainant's and respondent's privacy and protect the confidentiality of information.
- The complainant and respondent will be given equal opportunity to present their cases separately to the investigator(s), to suggest others who might be interviewed, and to present other evidence. The investigator(s) can, if appropriate, interview other parties to reach findings and conclusions.
- The investigators will investigate any allegations that alcohol or drugs were involved in the incident.

- The investigators will not ask questions or seek evidence of the complainant's prior sexual conduct with anyone other than the respondent. Furthermore, evidence of a prior consensual dating or sexual relationship between the complainant and respondent itself does not imply consent or preclude a finding of sexual violence.
- All parties who participate in investigative interviews may submit written statements. Investigatory meetings will not be recorded.
- Both parties will be kept informed of the status of the investigation.
- Complaints will be investigated and resolved within a reasonably prompt time frame after the complaint has been made, generally within 60 days (not including any appeal), though this time frame may be extended depending on factors, including but not limited to, the complexity of the case.
- For Title IX cases, investigative files will be maintained in the Title IX Coordinator's office. Investigative files in other cases will be maintained in the appropriate administrator's office.
- Extensions of time, and other exceptions to or modification of these procedures can be made by the Title IX Coordinator or designee, Provost, Dean or Associate Deans, Associate Vice President for Human Resources, or Director for Human Resources at JPL, if required for fairness or practical necessity. Exceptions must be made in writing and notice provided to both the complainant and respondent, which notice will include the reason for the extension, exception or modification.

Standard of Evidence

The investigator(s) will use the preponderance of evidence standard in Determining whether sexual violence occurred. A preponderance of the evidence means that it is more likely than not that the incident occurred. When the investigator(s) is presented with two different but plausible versions of the incident, credibility determinations may affect the outcome.

Findings and Conclusions

The investigator(s) will report their findings and conclusions regarding the charges to the Provost, relevant Dean, Executive Director of Human Resources, or Deputy Director for Human Resources at JPL, as appropriate, for decision.

The conclusions that the investigation might reach include, but are not limited to, the following possibilities:

1. A violation of Caltech's Nondiscrimination and Unlawful Harassment, or Sexual Violence Policies occurred.
2. Inappropriate behavior occurred, but did not constitute a violation of Caltech's policies on discrimination, harassment, and/or sexual violence. For example, the respondent improperly used the power of his or her position, used poor judgment, or violated applicable standards of ethical behavior.
3. The complaint was not supported by the evidence.
4. The complaint was brought without any basis or without a reasonable, good faith belief that a basis existed.

Resolution

As soon as practicable after receiving the findings and conclusions of the investigator(s), the appropriate Caltech official, the Provost for faculty, the relevant Dean for students, the Executive Director of Human Resources for postdoctoral scholars and campus staff, or the Deputy Director for Human Resources at JPL for JPL employees, will make a decision concerning resolution of the complaint, including imposing sanctions against the respondent if appropriate. The complainant and respondent simultaneously will be informed in writing of the results of the investigation and the parties' right to appeal and the procedures for appeal. Any sanctions imposed may be disclosed consistent with applicable law, including FERPA, Title IX of the Education Code, and the Clery Act.

If a violation of Caltech's Nondiscrimination and EEO, Unlawful Harassment or Sexual Violence Policies has occurred, appropriate sanctions will be imposed. Depending on the severity of the case and the respondent's role at Caltech, any one or more of the sanctions listed below may be imposed:

- Verbal counseling or warning
- Training
- Mandatory counseling/coaching
- A formal written warning placed in the respondent's file
- Exclusion from participation in certain activities for specified period of time
- Suspension of the right to accept new graduate students or postdoctoral scholars

- Transfer of advisees
- Removal from positions of administrative responsibility
- Removal from student housing
- Removal from a supervisory position
- Involuntary leave of absence/suspension
- Termination of employment
- Permanent separation
- Revocation of Admission and/or Degree
- Withholding Degree
- Other sanctions instead of, or in addition to, those specified above
- Multiple sanctions may be imposed for any single violation

If the respondent was found not to have violated Caltech's policy on sexual violence, but the investigation concluded that the individual violated another Caltech policy, or committed some other wrongful or improper act, appropriate corrective action will be taken. Effective corrective action may also require remedies for the complainant and/or the broader Caltech community. Caltech will take appropriate measures to prevent the reoccurrence of any sexual violence, and to correct any discriminatory effects on the complainant and others, as appropriate.

Appeals

Appeals must be in writing and submitted within ten (10) days of notification of the decision. Appeals of decisions resulting from the Formal Investigation process must be on the grounds that a procedural error occurred that significantly affected the outcome of the investigation, there is new and relevant evidence that was unavailable at the time of the investigation that could substantially impact the original findings, or the sanction is substantially disproportionate to the findings. Appeals of decisions resulting from the Administrative Resolution process must be made on the grounds that the sanction is substantially disproportionate to the acknowledged conduct. The complainant and the respondent simultaneously will be informed, in writing, of the outcome of the appeal. Appeal decisions are final.

Decisions of the Provost may be appealed to the Office of the Provost or his designee. Decisions of the Dean of Undergraduate Students or Dean of Graduate Studies may be appealed to the Vice President for Student Affairs or his designee. Decisions of the Executive Director for Human Resources may be appealed to the Associate Vice President of Human Resources or her designee. Decisions of the Deputy Director for Human Resources at JPL may be appealed to the Director for Human Resources at JPL or her designee.

Appeals by a faculty member of decisions or actions by the Provost that affect academic freedom and tenure can be made to the Faculty Committee on Academic Freedom and Tenure, as indicated in Chapter 4 of the Faculty Handbook.

Further Complaints

If the corrective action does not end the sexual violence, the complainant should immediately notify the Title IX Coordinator or a Deputy Coordinator for Title IX cases, or, for other complaints at campus, the Provost or 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 complaint.

Related Policies:

Nondiscrimination and Equal Employment Opportunity

Unlawful Harassment

Violence Prevention

Disclosure of Disciplinary Proceedings

Upon request, Caltech will disclose the results of any disciplinary proceeding conducted by Caltech against a student who is the alleged perpetrator of any crime of violence or a non-forcible sex offense to the alleged victim or, if the victim is deceased, the next of kin.

REGISTERED SEX OFFENDERS

The Campus Sex Crimes Prevention Act requires the tracking of convicted sex offenders enrolled at or employed by institutions of higher education. In addition, California state law requires sex offenders to register with local law enforcement and also register with campus security office of higher education institutions at which the person is employed, carries on a vocation or is a student. For Caltech, the Pasadena Police Department represents local law enforcement 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 policy and procedure 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 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:

1. 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.
2. Undergraduates can register their confidential contact information with the Dean of Students Office and graduates can register it with the Office of Graduate Studies. This information will be accessible only to authorized campus officials and may not be disclosed except to law enforcement personnel in a missing person's 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.
3. 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.

4. Caltech will notify the appropriate law enforcement agency within 24 hours after the time that the student is determined to be missing.
5. If Caltech Security or law enforcement personnel has been notified and subsequently makes 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.

1. 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 of Student Affairs and the Deans
 - b. Director of Housing, the Master of Student Houses and the Senior Director Student Activities and Programs.
2. Any official missing person report relating to this student shall be immediately referred to Security.
3. 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 at: https://studaff.caltech.edu/documents/4-missing_student_policy.pdf

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

Fire 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. (http://www.safety.caltech.edu/documents/125-fire_log.pdf). The fire log with older entries is available within two business days of a request to view it. 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 fire safety report. This report contains:

- Fire safety practices and standards at Caltech
- Evacuation procedures
- Description of 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 Environment, Health, and Safety Office located in Room 25 on the lower level of the Keith Spaulding Building or online at <http://www.safety.caltech.edu/>.

Fire Safety Policy and Procedures

Caltech Fire Safety Policies and Procedures <http://www.studaff.caltech.edu/policies/fire> for students is posted on the Office of Student Affairs website, including those 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. The Housing Office does not provide storage for propane tanks.

Bonfires: Bonfires may only be held in approved locations upon receipt of permits required from the City of Pasadena with prior written permission of the offices of EHS, Security, Campus Life and the appropriate Dean's Office. The organizers of any bonfire are responsible for cleanup of the site. The EHS Office reserves the right to determine that conditions exist which would make the bonfire unsafe, and to cancel or shut down the bonfire, if it poses a safety hazard. Bonfires in Caltech Housing properties are not permitted.

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. Christmas trees must not be burned in fireplaces. Candles, pine and fir trees, pine boughs, costumes, and straw represent special fire hazards and should always be supervised and strictly limited.

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. The only pole or torchiere halogen lamps allowed are those that are UL- or FM-approved and that are equipped with 300-watt (or less) bulbs and are protected by appropriate bulb guards. 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. 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.

Combustible Hazardous Materials: Flammable liquids, gases, solids, and explosives, including fireworks, may not be possessed or used on Institute property except in approved campus locations under the authority of the faculty for reasons of academic research, laboratory, or teaching activities. Of particular note are the following two hazards:

Explosives: Explosives are extremely hazardous, and it is illegal and against Institute policy to possess manufactured 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 an open flame pilot lamps, stove, cigarette lighter, 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 the 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.

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, 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. These procedures 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 so that they may be easily identified and in good operating condition. All fire extinguishers are checked monthly by EHS 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. The EHS Office, Housing, Security, and Facilities Management, reserve the right to remove any combustible materials or items that may impede normal passage or evacuation routes.

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. Only natural gas may be used in the indoor fireplaces.

Open Burnings: No open burnings shall be allowed on Institute property other than pre-approved bonfires.

Outdoor Fireplaces: Prior to their initial use, outdoor fireplaces must be approved by Housing. Only untreated wood, cardboard, and paper may be used in such outdoor fireplaces. Untreated wood must not be oversized, and must fit completely within the fireplace. Leaves and pine needles may not be burned in the fireplaces. All procedures must be followed for appropriate use of the outdoor fireplaces. Modifying the fireplaces will not be approved.

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

Fire Evacuation Drills

Office of Student Affairs and EHS conducted four fire drills for on-campus housing during the 2015 calendar year. Participation in evacuation drills is mandatory.

Procedures for Student Housing Evacuations

Evacuation procedures are posted on the back of each on-campus student's room door. 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 of the importance of fire safety, to provide hands-on fire safety training through demonstration, and to protect the health and safety of its students. It is a means to teach new skills, provide information to enable students to respond to a fire emergency, and instill safe habits.

Caltech offers various fire safety training opportunities to students, faculty, and employees. Training opportunities are listed on the Environment, Health, and Safety website under the Training tab at <http://www.safety.caltech.edu/training>.

New incoming students, faculty, and staff are provided initial fire safety training during orientation such as Frosh Welcoming, New Researcher Training, and at the Institute New Employees forum.

Resident Life Coordinators (RLC's) and Resident Associates (RA's) receive fire safety training on an annual basis. Training includes using a fire extinguisher, evacuation assembly areas for their buildings, contents and use of their portable emergency equipment bag, and specific fire policies for student housing.

Several publications are also available that include pertinent information on fire safety. These include the New Student Orientation Guide, the Resident Guide to Institute Housing, and the Caltech Emergency Guide.

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, immediately call Security Dispatch at x5000. Provide information regarding: the nature of the emergency (smoke, fire), caller name, location, and phone number. 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 Campus Security
- Director of Environment, Health, and Safety

Conclusion

Caltech is committed to ensuring the safety and security of its community. This report provides crime and fire statistics as well as Caltech's services and programs. This report is not just a fall initiative or compliance effort. Caltech prioritizes campus safety and institutional support for the Institute community.

INSTITUTE FIRE SYSTEMS FOR ON-CAMPUS STUDENT 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
	Blacker House	Catalina 2
	Dabney House	Catalina 3
	Fleming House	Ricketts House
	Lloyd House*	Ruddock House*
	Page 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
<ul style="list-style-type: none"> ■ A smoke detector in each sleeping room 	131 S. Chester	145 S. Chester
	135 S. Chester	147 S. Chester
	145 ½ S. Chester	153 S. Chester
	147 ½ S. Chester	216 S. Chester
	155 S. Chester	230 S. Chester
	222 S. Chester	236 S. Chester
	234 S. Chester	250 S. Chester
	240 S. Chester	188 S. Catalina
	260 S. Chester	242 S. Catalina
	180 S. Catalina	250 S. Catalina
	244 S. Catalina	555 S. Catalina
	252 S. Catalina	240 S. Michigan
	1364 Cordova	272 S. Michigan
	260 S. Michigan	229 S. Wilson
	255 S. Hill	294 S. Wilson
	267 S. Wilson	297 S. Wilson
	295 S. Wilson	373 S. Wilson
	307 S. Wilson	1066 E. Del Mar
	1052 E. Del Mar	1100 E. Del Mar
	1094 E. Del Mar	1053 E. Del Mar
	1104 E. Del Mar	1170 E. Del mar
	1205 E. Del Mar	1124 E. Del Mar
	1043 E. Del Mar	1053 E. Del Mar
217 S. Holliston	1001 E. Villa	

*Sprinklers in basement only

STATISTICS FOR CALTECH ON-CAMPUS STUDENT HOUSING

Fire Statistics

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
2013	Cat 1 (362 S. Catalina)	Paper	0	0	\$10
2014	Fleming	Paper	0	0	\$0.00
2014	Fleming	Charcoal Briquettes	0	0	\$40.00
2015	Ricketts	Computer Monitor in Fireplace	0	0	\$500.00
2015	150 S. Chester	Lit Cigarette Thrown on Roof	0	0	\$1735.00

STUDENT RESIDENCES WITH NO FIRES REPORTED IN 2015

Avery	Blacker	Braun	Dabney	Fleming	Lloyd
Marks	Page	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
153 S. Chester	155 S. Chester	216 S. Chester	222 S. Chester	230 S. Chester	234 S. Chester
236 S. Chester	240 S. Chester	250 S. Chester	260 S. Chester	180 S. Catalina	188 S. Catalina
242 S. Catalina	244 S. Catalina	250 S. Catalina	252 S. Catalina	555 S. Catalina	1364 Cordova
240 S. Michigan	260 S. Michigan	272 S. Michigan	255 S. Hill	229 S. Wilson	267 S. Wilson
294 S. Wilson	295 S. Wilson	297 S. Wilson	307 S. Wilson	373 S. Wilson	1043 E. Del Mar
1052 E. Del Mar	1053 E. Del Mar	1066 E. Del Mar	1094 E. Del Mar	1100 E. Del Mar	1104 E. Del Mar
1124 E. Del Mar	1170 E. Del Mar	1205 E. Del Mar	217 S. Holliston	1001 E. Villa	

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. The Institute initiated an outreach effort by meeting with students at their residences to discuss and answer questions about fire safety.

This year our outreach effort will include:

1. Research on-line fire safety training for undergraduate.
2. Adding fire extinguisher training to New Student Orientation.
3. Continue to support our student-led outreach effort with the Pasadena Fire Department on promoting fire safety to undergraduates.

APPENDIX A

Crime Statistics - 2015

FINAL NUMBERS	ASR 2015 STATISTICS			
	ON-CAMPUS	RES. FACILITY	NON-CAMPUS	PUBLIC PROPERTY
CRIMINAL HOMICIDE				
Murder & Non-Negligent Manslaughter	0	0	0	0
Manslaughter by Negligence	0	0	0	0
SEX OFFENSES				
Rape	4	3	0	0
Fondling	0	0	0	1
Incest	0	0	0	0
Statutory Rape	0	0	0	0
Domestic Violence	0	0	0	0
Dating Violence	0	0	0	0
Stalking	5	0	0	0
Robbery	1	0	0	0
Aggravated Assault	0	0	0	0
Burglary	8	1	0	0
Motor Vehicle Theft	0	0	0	1
Arson	0	0	0	0
WEAPONS LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	1	1	0	0
DRUG LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	5	5	0	0
LIQUOR LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	0	0	0	0
*Hate Crimes	3	3	0	0

***Hate Crimes:**

- (1) Vandalism based on gender
- (1) Vandalism based on gender identity
- (1) Intimidation based on sexual orientation

No unfounded crimes for 2015

Crime Statistics - 2014

FINAL NUMBERS	ASR 2014 STATISTICS			
	ON-CAMPUS	RES. FACILITY	NON-CAMPUS	PUBLIC PROPERTY
CRIMINAL HOMICIDE				
Murder & Non-Negligent Manslaughter	0	0	0	0
Manslaughter by Negligence	0	0	0	0
SEX OFFENSES				
Rape	2	2	1	0
Fondling	4	1	1	0
Incest	0	0	0	0
Statutory Rape	0	0	0	0
Domestic Violence	0	0	0	0
Dating Violence	1	0	0	0
Stalking	4	1	1	0
Robbery	0	0	0	1
Aggravated Assault	0	0	0	0
Burglary	22	10	0	0
Motor Vehicle Theft	1	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	5	0	0
LIQUOR LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	0	0	0	0
*Hate Crimes	3	3	0	0

***Hate Crimes:**

- (1) Vandalism based on religion
- (1) Vandalism based on national origin
- (1) Vandalism based on sexual orientation

No unfounded crimes for 2014

Crime Statistics - 2013

FINAL NUMBERS	ASR 2013 STATISTICS			
	ON-CAMPUS	RES. FACILITY	NON-CAMPUS	PUBLIC PROPERTY
CRIMINAL HOMICIDE				
Murder & Non-Negligent Manslaughter	0	0	0	0
Manslaughter by Negligence	0	0	0	0
SEX OFFENSES				
Sex Offenses - Forcible	4	2	0	0
Sex Offenses - Non Forcible	0	0	0	0
Incest	0	0	0	0
Statutory Rape	0	0	0	0
Domestic Violence	0	0	2	0
Dating Violence	0	0	0	0
Stalking	2	0	0	0
Robbery	1	0	0	0
Aggravated Assault	0	0	0	0
Burglary	18	4	0	0
Motor Vehicle Theft	2	0	1	1
Arson	0	0	0	0
WEAPONS LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	1	1	0	0
DRUG LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	0	0	0	0
LIQUOR LAW VIOLATIONS				
Arrest	0	0	0	0
Disciplinary Referral	0	0	2	0
*Hate Crimes	1	1	0	0

***Hate Crimes:**

(1) Vandalism based on sexual orientation

No unfounded crimes for 2013



APPENDIX B

Clery CRIME DEFINITIONS as defined by the FBI Uniform Crime Reporting (UCR)

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.
- (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.

Criminal Homicide— Manslaughter by Negligence

The killing of another person through gross negligence.

Criminal Homicide— 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 or 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 Abuse 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: (a) 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

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 the Director of Security Operations.