

CALIFORNIA INSTITUTE OF TECHNOLOGY

ADMINISTRATIVE NOTICE

Subject: Notice Regarding U.S. Government Policy Against Human Trafficking and Forced Labor	Pages: 3 Date: January 30, 2018 (revised)
Approved by: Julia McCallin, Associate Vice President for Human Resources	

(Initial issue)

The U.S. government has adopted a policy prohibiting human trafficking, sex trafficking, forced labor, and trafficking-related activities. As a recipient of federal funds from grants, cooperative agreements, and contracts (collectively “awards”), Caltech is obligated to inform its employees, agents, independent contractors and subrecipients performing awards, regarding the U.S. government’s policy. Caltech opposes human trafficking, sex trafficking, and forced labor, which are inherently harmful and contrary to the Institute’s core values and which may violate applicable foreign, U.S., state, and/or local laws.

What is Human Trafficking?

Human Trafficking (or “trafficking in persons” as used in the U.S. government policy) includes the recruitment, harboring, transportation, provision, or obtaining of persons through the use of force, fraud, or coercion, for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery. It also includes sex trafficking, and inducing a commercial sex act by force, fraud or coercion, or in which the person induced to perform a commercial sex act is under 18 years old. (Definitions of other relevant terms used in the policy are set forth in the U.S. government’s regulations implementing its policy, available at 2 C.F.R§175.15 for grants and cooperative agreements and 48 C.F.R§52.222-50 for federally funded contracts).

What is prohibited?

The Institute, its employees, agents, independent contractors, and subrecipients of federal funds (and their respective employees), are prohibited from the following:

- Engaging in human trafficking or sex trafficking, or procuring commercial sex acts, during the award period;

- Using forced labor to perform the award;
- Destroying, concealing, confiscating, or otherwise denying access to an individual's identity or immigration documents;
- Using misleading or fraudulent practices about the recruitment process for work on a project outside the U.S., such as failing to disclose, in a format and language accessible to the potential worker, key terms and conditions of the engagement, such as wages and fringe benefits, work location, living conditions, housing costs, and any hazardous nature of the work;
- Using recruiters that do not comply with local labor laws in the countries in which recruiting takes place;
- Charging recruitment fees to the individuals recruited to work on the award;
- Providing or arranging housing that fails to meet host country housing and safety standards;
- If required by law or contract, failing to provide an employment contract, recruitment agreement, or similar work paper in writing in the employee's native language prior to the employee departing from his or her country of origin to work on the contract in another country; and
- Under certain circumstances, failing to supply return transportation, or payment for return transportation, at the conclusion of the work, if the worker is not a national of the country in which the work occurs and was brought into the country to work on the federal award.

Reporting Resources

Always contact 911 or local law enforcement if you or someone else is in immediate danger. In addition, all Institute employees, agents and independent contractors must notify one of the following, if they become aware of any credible information alleging human trafficking, sex trafficking, forced labor, or other violations of the policy:

Caltech Hotline: (888) 395-8787 or <https://hotline.caltech.edu/>

Office of Research Compliance: (626) 395-2907 or

<https://www.researchcompliance.caltech.edu/>

The Institute prohibits retaliation against an individual who makes a good faith report of suspected wrongful conduct pursuant to this policy and notice.

For More Information

Individuals may contact the Global Human Trafficking Hotline at 1-844-888-FREE or help@befree.org. To read more about the U.S. government policy applicable to individuals working on grants and cooperative agreements, please review 22 U.S.C. §7104(g) and 2 CFR §175.15. To read more about the U.S. government policy applicable to individuals working on a federal contract, please review 48 CFR 52.222-50.