

Whistleblower Policy

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

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

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

Web Hotline:

<http://asic.caltech.edu/hotline.htm>

Telephone Hotline:

(626) 395-8787 or Toll Free (888) 395-8787

Interoffice Mail:

Audit Services and Institute Compliance
MC 250-64

U.S. Mail:

Audit Services and Institute Compliance
565 S. Wilson Avenue, Pasadena, CA 91106

JPL Ethics Line:

(818) 354-9999 or Toll Free (866) 405-7536



Thomas F. Rosenbaum
President