

## Whistleblower

### 1.0 Policy

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

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

### 2.0 Reporting

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

**Web Hotline:**

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

**Telephone Hotline:**

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

**Interoffice Mail:**

Audit Services and Institute Compliance  
MC 250-64

**U.S. Mail:**

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

**JPL Ethics Line:**

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

*Thomas F. Rosenbaum*

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President