INSTITUTE POLICY

GENDER-BASED MISCONDUCT

RESOURCES 24/7
Your safety is important. If you have an immediate safety, medical or mental health concern, please contact the following resources.

<table>
<thead>
<tr>
<th>Resource</th>
<th>Contact Information</th>
<th>Type of Resource</th>
<th>Confidential</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safety Resources</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Campus Security</td>
<td>(626) 395-5000</td>
<td>Safety situations, contact mental health and/or law enforcement resources and provide transportation vouchers to off-campus resources. Security can contact the caller’s choice of a confidential or other resource.</td>
<td>No</td>
</tr>
<tr>
<td>JPL Protective Services Division</td>
<td>(818) 393-3333 (818) 354-3333</td>
<td>Safety situations, contact mental health and/or law enforcement resources and arrange for transportation to off-Campus resources. Security can contact the caller’s choice of a confidential or other resource.</td>
<td>No</td>
</tr>
<tr>
<td>Medical Resources</td>
<td></td>
<td>Note that Medical Providers (but not psychological counselors) must notify the police regarding assaultive or abuse conduct, including sexual assault.</td>
<td></td>
</tr>
<tr>
<td>Huntington Memorial Hospital</td>
<td>100 W. California Blvd., Pasadena, CA 91105 (626) 421-7733</td>
<td>Emergency and trauma services. Social workers available to provide counseling as needed.</td>
<td>Yes</td>
</tr>
<tr>
<td>The Rape Treatment Center at Santa Monica -UCLA Medical Center</td>
<td>(310) 319-4000 Press “3” to be connected to a clinician</td>
<td>24-hour emergency medical treatment for victims of sexual assault including forensic services (the “rape kit”).</td>
<td>Yes</td>
</tr>
<tr>
<td>San Gabriel Valley Medical Center Sexual Assault Response Team (SART)</td>
<td>438 West Las Tunas San Gabriel, CA 91776 (626) 289-5454 (SART) Hotline: (877) 209-3049</td>
<td>24-hour medical care, emotional support and comprehensive exams including forensic evidence collection (the “rape kit”). Immediate connection to on-call nurse for sexual assault services.</td>
<td>Yes</td>
</tr>
<tr>
<td>Resource</td>
<td>Contact Information</td>
<td>Type of Resource</td>
<td>Confidential</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
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</tr>
<tr>
<td>Caltech Student Health Services</td>
<td>626-395-6393</td>
<td>Medical consultation, lab and radiology services, pharmacy, allergy clinic, women's health and sexual health services.</td>
<td>Yes</td>
</tr>
<tr>
<td>Planned Parenthood</td>
<td>1045 N. Lake Ave Pasadena, CA 91104 (626) 798-0706</td>
<td>Health clinic for emergency contraception, pregnancy resources, health and wellness, birth control and family planning.</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Off-Campus Mental Health and Emotional Support Resources</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Peace Over Violence</td>
<td>892 N. Fair Oaks Avenue, Suite D Pasadena, CA 91103 (626) 584-6191 (626) 793-3385 (24 hours)</td>
<td>24-hour emergency services offer victims of sexual assault, domestic violence and stalking emotional support, information, compassion, accompaniment, referral and advocacy services.</td>
<td>Yes</td>
</tr>
<tr>
<td><strong>On-Campus Mental Health and Emotional Support Resources</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Counseling Services</td>
<td>(626) 395-8331 (after hours and weekends, press “2” to be connected to a clinician)</td>
<td>Individual psychotherapy and counseling, consultation, referrals, psychiatric evaluation and medication, and crisis intervention for students.</td>
<td>Yes</td>
</tr>
<tr>
<td>Staff and Faculty Consultation Center</td>
<td>626-395-8360</td>
<td>Professional counseling services for staff, faculty and postdocs.</td>
<td>Yes</td>
</tr>
<tr>
<td>Caltech Center for Diversity</td>
<td>Taso Dimitriadis: 626-395-8108 Erin-Kate Escobar: 626-395-3221</td>
<td>Confidential resource and support for students.</td>
<td>Yes</td>
</tr>
</tbody>
</table>
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1.0  Policy

All members of the Caltech community have the right to be treated, and the responsibility to treat others, with dignity and respect. These principles are fundamental to the educational and intellectual mission of Caltech. It is the policy of Caltech to provide a work and academic environment free of unlawful discrimination, harassment and sexual misconduct. Caltech will not tolerate such conduct and is committed to educating the community in ways to prevent its occurrence.

This policy prohibits all forms of sexual or gender-based discrimination, harassment and sexual misconduct (Gender-based Misconduct), including sexual assault, non-consensual sexual contact, relationship violence, sexual exploitation, and stalking (Prohibited Conduct). Caltech also prohibits retaliation against an individual who reports, submits a complaint, or who otherwise participates in good faith in any matter related to this policy.

Caltech will take prompt and equitable action upon receiving a report of Prohibited Conduct to determine what occurred and will take reasonable steps to stop and remedy the effects of any such conduct and prevent its recurrence. Caltech provides all parties with appropriate due process and will reach reasonable conclusions based on the evidence collected. Caltech will take appropriate action, including disciplinary measures, when warranted, up to and including termination of employment or changes to student enrollment status, including permanent separation from the Institute.

2.0  Scope

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

This policy applies to Prohibited Conduct occurring on Institute-controlled property, at Institute-sponsored events, in-Institute programs or activities, by Institute affiliated organizations and off-campus where the conduct has continuing adverse effects on any member of the Caltech community in any Caltech program or activity.

Members of the Caltech community are encouraged to promptly report Prohibited Conduct to Caltech or consult with a confidential resource, regardless of where the incident occurred, or who committed it. An individual who has experienced sexual misconduct is encouraged to immediately seek assistance from a medical provider and report the incident to local law enforcement. Reports to Caltech and law enforcement may be pursued simultaneously.

Even if Caltech does not have jurisdiction over the person accused of Prohibited Conduct, Caltech will still take prompt action to provide for the safety and well-being of the individual reporting and the campus community, including taking reasonable steps to stop and remedy the effects of the Prohibited Conduct and to prevent recurrence of the behavior.

When used in this policy and accompanying procedures, complainant refers to the individual who reportedly is the subject of the Prohibited Conduct and respondent refers to the individual who is reported to have engaged in the Prohibited Conduct.
In the event an act of discrimination is not simply about an individual, but has broader implications, including affiliation with a student organization, this policy will also apply. No student organization or residential facility may discriminate against anyone in the Caltech community based on a protected characteristic.

3.0 Prohibited Conduct

Sexual and gender-based discrimination, harassment and sexual misconduct violate Title VII of the Civil Rights Act of 1964, as amended, Title IX of the Education Code, and California law. All forms of such conduct are prohibited under this policy, including sexual or gender-based discrimination, sexual or gender-based harassment, and sexual misconduct, including sexual assault, non-consensual sexual contact, relationship violence, sexual exploitation and stalking (Prohibited Conduct). Reported behavior that does not constitute Prohibited Conduct under this policy, but is nevertheless determined to be inappropriate pursuant to another applicable Caltech policy, may subject a responding party to disciplinary action.

All individuals are protected against Prohibited Conduct regardless of gender, sexual orientation, gender identity or gender expression. Prohibited Conduct can be committed by individuals of any gender, regardless of an individual's gender identity, gender expression, or sexual 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. Organizations affiliated with the Institute or that use Caltech property or resources in connection with their activities also are prohibited from engaging in Prohibited Conduct.

Attempts or threats to commit Prohibited Conduct are equally covered by this policy.

3.1 Sex or Gender-Based Discrimination refers to unfavorable treatment based on sex, sexual orientation, gender identity, or gender expression.

The following are examples of conduct that may constitute sexual or gender-based discrimination:

- Denying an employee a promotion because they are gay or straight.
- Rejecting a student from house membership because they are transgender.
- Limiting membership in a student club or activity to members of one sex.

3.2 Sexual or Gender-Based Harassment

3.2.1 Sexual Harassment is unwelcome sexual advances, requests for sexual favors, and other conduct of a sexual nature when:

- *Quid Pro Quo*: Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education or submission to or rejection of such conduct is used as the basis for decisions affecting that individual's employment or academic terms or status; or

- *Hostile Environment*: Such conduct unreasonably interferes with an individual's work or academic performance or creates an intimidating, hostile, or offensive work or academic environment. An individual may experience sexual harassment even if the offensive conduct was not aimed directly at them.

3.2.2 Gender-Based Harassment is harassment based on an individual's actual or perceived sex, gender, gender identity or gender expression including harassing or
bullying conduct based on the individual’s gender expression, gender identity, transgender status, gender transition, or nonconformity with sex stereotypes.

A single isolated incident may create a hostile environment if the incident is sufficiently severe, particularly if the conduct is physical. For example, a single incident of unwanted physical conduct of a sexual nature, like grabbing an intimate body part, may be sufficiently severe to constitute a hostile environment. Behavior of a harassing nature that does not rise to the level of unlawful harassment but is nevertheless determined to be inappropriate may subject the offender to disciplinary action.

The following are examples of conduct that, depending on the nature, frequency and severity, may constitute sexual or gender-based harassment:

- Sending unwanted sexually-oriented jokes to a student or work group email list.
- Displaying explicit sexual pictures in common areas of Institute housing or on a work computer station where others can view it.
- Making or using derogatory comments, epithets, slurs, or jokes of a gender-based or sexual nature.
- Ostracizing individuals from group activities because of their sex, gender or gender identity, gender expression, sexual orientation or because they objected to harassing behavior.
- Making unwelcome graphic comments about an individual's body, using sexually degrading words to describe an individual.
- Engaging in unwanted suggestive or obscene communications.
- Engaging in unwelcome touching, fondling or groping of a sexual nature.
- Making unwanted sexual advances.
- Promising a benefit to someone in exchange for engaging in sexual activity.
- Exposing one’s genitals to another without consent.

Even when relationships are consensual, care must be taken to eliminate the potential for harassment or other conflicts. It is not acceptable to treat other similarly-situated individuals, who are not in the consensual relationship, less favorably. Caltech practice, as well as more general ethical principles, prohibits individuals from participating in evaluating the work or academic performance of those with whom they have amorous and/or sexual relationships, or from making hiring, salary, or similar decisions regarding those individuals. Sexual or romantic relationships between an undergraduate student and a faculty, postdoctoral scholar or staff member are not permitted.

Upon learning about a relationship that violates this policy, the supervisor, dean, or division chair has the authority and responsibility to review and remedy any direct administrative or academic relationship between the involved individuals.

When a consensual personal relationship arises and a power differential exists, consent may not be considered a defense to a claim of sexual harassment. The individual in the relationship with greater power will be held responsible.
3.3 Sexual Misconduct
Prohibited sexual misconduct includes sexual conduct that occurs by force or threat of force or without affirmative consent, including where the person is incapacitated. This definition encompasses a range of sexual conduct that could also fall within the definition of sexual harassment. The Title IX Coordinator will determine whether allegations should be treated as sexual harassment or sexual misconduct, based on the specific conduct alleged and the totality of the circumstances. Prohibited forms of sexual misconduct include, but are not limited to: sexual assault, non-consensual sexual contact, sexual exploitation, relationship violence, and stalking.

4.0 Definitions

4.1 Sexual assault is defined as having or attempting to have sexual intercourse with another individual by force or threat of force, without affirmative consent, including where the person is incapacitated. Sexual intercourse includes the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person.

4.2 Non-consensual sexual contact is defined as having sexual contact with another individual by force or threat of force, or without affirmative consent, including where the person is incapacitated. Sexual contact includes intentional contact with the intimate body parts of another (whether directly or through clothing), touching any part of the body of another in a sexual manner, or disrobing or exposure of another. Intimate body parts include breast, genitals, groin, anus, or buttocks.

4.3 Sexual exploitation occurs when an individual takes non-consensual or abusive sexual advantage of another for their own or another’s benefit or advantage.

The following are examples of conduct that could constitute sexual exploitation:
- Unauthorized sharing or posting sexually explicit photos of another, including a current or former partner.
- Surreptitiously taking pictures or videos of individuals, especially of private or intimate areas of their body.
- Observing, recording, viewing, distributing or allowing another to observe, record, view or distribute, intimate or sexual images of another individual without that individual’s consent.
- Surveillance and other types of observations, whether by physical proximity or electronic means.

4.4 Affirmative Consent
Affirmative consent is a crucial component of the Caltech policy. Affirmative consent is the affirmative, conscious, and voluntary agreement to engage in sexual activity.¹

- It is the responsibility of each person involved in the sexual activity to ensure that they have the affirmative consent of the other or others to engage in the sexual activity.
- Lack of protest or resistance does not mean consent, nor does silence mean consent.
- Affirmative consent must be ongoing through a sexual activity and can be revoked at any time.

¹ A minor under the age of sixteen (16) is deemed to be incapable of providing affirmative consent under this policy.
• 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.

It is not a valid excuse to alleged lack of affirmative consent that the respondent believed that the complainant consented to the sexual activity under either of the following circumstances:

• The respondent’s belief arose from the intoxication or recklessness of the respondent.
• The respondent did not take reasonable steps, in the circumstances known to the respondent at the time, to ascertain whether the complainant affirmatively consented.

It is not a valid excuse that the respondent believed that the complainant affirmatively consented to the sexual activity if the respondent knew or reasonably should have known that the complainant was unable to consent to the sexual activity under any of the following circumstances:

• The complainant was asleep or unconscious
• The complainant was incapacitated due to the influence of drugs, alcohol, or medication, so that the complainant could not understand the fact, nature or extent of the sexual activity
• The complainant was unable to communicate due to a mental or physical condition.

A person who is incapacitated is not capable of giving effective consent to sexual activity. An incapacitated person lacks the physical and mental capacity to make informed, reasonable judgments about whether or not to engage in sexual activity. A person who is incapacitated may not be able to understand where they are, whom they are with, how they got there, or what is happening.

A person may be incapacitated by a temporary or permanent mental or physical condition, sleep, unconsciousness, or be incapacitated as a result of consumption of alcohol or drugs. Incapacitation is a state beyond mere intoxication or “drunkenness.” Just because someone is under the influence of alcohol or drugs does not necessarily mean that a person is incapacitated. Impairment must be significant enough to render a person unable to understand the fact, nature, or extent of the sexual activity. In evaluating affirmative consent in cases involving incapacitation, Caltech considers the state of incapacitation of the reporting party and the knowledge of the respondent.

Intoxication, even to the point of incapacitation, does not relieve an individual from responsibility for a policy violation when they engage in sexual conduct without the affirmative consent of the other party or parties.

4.5 Relationship Violence:

**Dating Violence** means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with a complainant. The existence of such a relationship shall be determined by the complainant's statement and consideration of the length of the relationship, type of relationship, and the frequency of interaction between persons involved in the relationship.
4.6 Domestic Violence means violence committed by a person who is a spouse or former spouse, a cohabitant or former cohabitant, a person with whom they have a child, by person similarly situated to a spouse under the law of the state where the violence occurred, and by any other person against an adult or youth victim who is protected from that person's acts under the laws of the state where the violence occurred.

4.7 Stalking is a course of conduct of a sexual or romantic nature or motivation directed at an individual that would cause a reasonable person to fear for their safety or the safety of others, or suffer substantial emotional distress. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person or interferes with the person's property. Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim. Stalking that is not sex or gender-based is covered by the Violence Prevention policy and should be reported to Security at campus or the Protective Services Division at JPL and will be handled pursuant to that policy. The following are examples of conduct that depending on the frequency and severity may constitute stalking:

- Repeated unwanted communication, including face-to-face contact, telephone calls, voice messages, emails, text messages, postings on social networking sites, written letters, or gifts;
- Posting picture(s) or information of a sexual nature on social networking sites or other websites;
- Gathering information about the person through the use of public records, online searches, going through the garbage, or contacting the person’s family, friends, or co-workers;
- Posting private pictures or videos on school bulletin boards or internet sites;
- Installing spyware on another person’s personal devices, including phones or computers;
- Surveillance or other types of observation, including staring or peeping;
- Pursuing, following or showing up uninvited at or near places like classrooms, residence, workplace or other places frequented by an individual;
- Directly or indirectly making threats to the person.

5.0 Retaliation

Retaliation against any member of the Caltech community for making a good-faith report of sexual violence, or for participating in an investigation, proceeding, or hearing conducted by Caltech or a state or federal agency, is strictly prohibited. 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 violates this policy and is unlawful. Caltech will take steps to prevent retaliation and will take prompt and appropriate corrective action to stop, and remedy its effects, if retaliation occurs. Individuals who violate this policy may be subject to disciplinary action up to and including termination of employment or permanent separation from Caltech.

6.0 Privacy

Caltech will maintain the privacy of all individuals involved in a report of Prohibited Conduct to the extent possible. All Caltech employees who are involved in the Institute's response, including the Title IX Coordinator, Deputy 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 Prohibited Conduct 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.

7.0 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 and digital 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 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. Digital evidence relating to the incident, such as texts, emails, and social media posts, should be also be preserved.

8.0 Resources

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

24-Hour a Day/7 Days a Week
Campus Security (reporting and/or to reach confidential or other resources)
(626) 395-5000
Security can assist with safety situations, contact law enforcement, provide transportation vouchers to off-campus resources and contact mental health resources. The caller must simply provide a phone number where the confidential or other resource can reach the caller. Names and other information regarding the incident need not be provided to Campus Security.

JPL Protective Services Division (reporting and/or to reach confidential or other resources)
(818) 393-3333
(818) 354-3333
The JPL Protective Services Division can assist with safety situations, contact law enforcement, arrange for transportation to access off-campus resources, and contact the caller’s choice of a confidential or other resource. The caller must simply provide a phone number where the confidential or other resource can reach the caller. Names and other information regarding the incident need not be provided to the Protective Services Division.

8.1 On-Campus Confidential Resources

Caltech offers members of the Caltech community the choice of seeking confidential counseling. These confidential counseling services are intended for the personal benefit of the individual and offer a setting where various courses of action can be explored. Except as otherwise provided
below, confidential resources will not share information without the express permission of the individual. Speaking to a confidential resource is not a report to Caltech, and no investigation will be triggered.

8.1.1 Caltech Mental-Health Professionals

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

- For Students:  
  (626) 395-8331  Student Wellness Services  
  after hours, press #2 to be connected to on-call service

- For faculty, campus staff, and postdoctoral scholars:  
  (626) 395-8360  Staff and Faculty Consultation Center  
  (626) 395-5000 after hours via Security

- For JPL employees:  
  (800) 367-7474  Empathia/Life Matters – identify yourself as a JPL employee or visit mylifematters.com (Password: JPL)

8.1.2 Caltech Center for Diversity

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

- Taso Dimitriadis  (626) 395-8108
- Erin-Kate Escobar  (626) 395-3221

8.1.3 On-Campus Medical Resources

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

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

Student Health Services
(626) 395-6393
1239 Arden Rd
Pasadena, CA  91106

8.2  Off-Campus Resources

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

Peace Over Violence (24-hour emergency services offer victims of sexual assault, domestic violence and stalking emotional support, information, compassion, accompaniment, referral and advocacy services.)
892 N. Fair Oaks Avenue, Suite D
Pasadena, CA  91103
(626) 584-6191
(626) 793-3385 (24 hours)

San Gabriel Valley Medical Center (24-hour medical care, emotional support and comprehensive exams including forensic evidence collection (the "rape kit"). The Sexual Assault Response Team (SART) Hotline provides immediate connection to on-call nurse for sexual assault services.).
438 West Las Tunas Drive
San Gabriel, CA  91776
(626) 289-5454
Sexual Assault Response Team (SART) Hotline: (877) 209-3049 (24 hours)

The Rape Treatment Center at Santa Monica-UCLA Medical Center (24-hour emergency medical treatment for victims of sexual assault, including forensic services (the "rape kit")).
(310) 319-4000
Press "3" to be connected to a clinician

Huntington Memorial Hospital (24-hour emergency and trauma services. Social workers available to provide counseling as needed).
100 W. California Blvd.
Pasadena, CA  91105
(626) 421-7733

Planned Parenthood (Health clinic for emergency contraception and disease prevention, pregnancy resources, birth control and family planning).
1045 N. Lake Avenue
Pasadena, CA  91104
(626) 798-0706
9.0 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. Individuals are encouraged to report to the Title IX Coordinator or a Deputy Title IX Coordinator.

9.1 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 implementation and application of Caltech's Title IX related policies within the scope of Title IX 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 a Lead Investigator and four Deputy Coordinators, all of whom can answer questions regarding Title IX.

Title IX Coordinator
Hima Vatti, Assistant Vice President for Equity and Equity Investigations
Phone: (626) 395-3132
E-mail: titleix@caltech.edu
Office: 205 Center for Student Services

Lead Investigator
Brian Quillen
Phone: (626) 395-4424
E-mail: bquillen@caltech.edu
Office: 348 Center for Student Services

Deputy Title IX Coordinator for Faculty
Melany Hunt
Phone: (626) 395-4231
E-mail: hunt@caltech.edu
Office: 265 Gates-Thomas

Deputy Title IX Coordinator for Staff and Postdoctoral Scholars
Ofelia Velazquez-Perez
Phone: (626) 395-3819
E-mail: Ofelia.Velazquez-Perez@caltech.edu
Office: 206 Central Engineering Services

Deputy Title IX Coordinator for Students
Allie McIntosh
Phone: (626) 395-1743
E-mail: allie@caltech.edu
Office: 105 Center for Student Services

Deputy Title IX Coordinator for JPL
Jackie Clennan-Price
9.2 Responsible Employees

If an individual discloses Prohibited Conduct to any Responsible Employee, the responsible employee must report to the Title IX Coordinator all relevant details about the alleged conduct.

At campus, the following are Responsible Employees:

- Title IX Deputies
- Staff members with a supervisory or managerial role, who do not have legally protected confidentiality
- Security Officers
- Residential Life Coordinators
- Resident Associates
- Coaches
- Employee Relations consultants
- Faculty members who supervise a research laboratory or group, or who have administrative responsibilities.

At JPL, the following are Responsible Employees:

- Title IX Deputy for JPL
- Supervisors and managers
- Employee Relations Representatives
- Human Resources Business Partners
- Education Office staff

Caltech is committed to protecting the privacy of all individuals involved in a report of Prohibited Conduct. All employees involved in the response to a report of Prohibited Conduct understand the importance of properly safeguarding private information. Caltech will make every effort to protect individuals' privacy interests consistent with Caltech's obligation to investigate reports made to Caltech.

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 EEO Coordinators identified in the Nondiscrimination and Equal Employment Opportunity Policy.

9.3 Anonymous Reporting

Caltech provides the following resources for anonymous reporting:

- **Campus Hotline** (626) 395-8787 or (888) 395-8787
- **JPL Ethics Hotline** (818) 354-9999
- **JPL Protective Services Division’s Workplace Violence Hotline** (818) 393-2851
For either Campus or JPL by submitting a compliance Hotline Contact Form

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.

9.4 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; however, Caltech will not report identifying information about the complainant without the complainant’s consent after being notified of their right to have personally identifying information withheld. If the complainant does not consent to be identified, personally identifying information about the respondent also will not be provided.

Pasadena Police Department
Call 911 for Emergency Response
Non-Emergency Response: (626) 744-4241
207 N. Garfield Ave.
Pasadena, CA 91101

10.0 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 the Title IX Coordinator, a Deputy Title IX Coordinator or a Responsible Employee, but requests that their name not be used, that the Institute not pursue an investigation, 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 weigh the request for confidentiality against factors including, but not limited to, the seriousness of the conduct, circumstances that suggest there is a significant risk that the accused will commit further acts of Prohibited Conduct, whether there was a weapon involved, and the age of a student victim.

The Title IX Coordinator or designee will determine the appropriate manner of resolution. The Title IX Coordinator or designee will attempt to address the conduct consistent with the complainant’s request not to use their name or their request not to pursue an investigation or that no disciplinary action be taken, while also protecting the health and safety of the complainant and the Institute community.

Caltech’s ability to fully investigate and respond may be limited if the complainant requests anonymity or declines to participate in an investigation. Caltech will, however, take other action to limit the effects of the Prohibited Conduct and prevent its recurrence.

In those instances where the Title IX Coordinator or designee determines that Caltech must proceed with an investigation despite the request of the complainant, the Title IX Coordinator or designee
will inform the complainant of Caltech’s intention to initiate an investigation. The complainant is not required to participate in the investigation.

In all cases, the final decision on whether, how, and to what extent Caltech will conduct an investigation, and whether other measures will be taken in connection with the report of Prohibited Conduct, rests solely with the Title IX Coordinator or their designee.

11.0 Reports Involving Minors

Every member of the Caltech community, who knows of, or reasonably suspects, child abuse, including any Prohibited Conduct involving a minor, has a personal responsibility to report to Caltech Security or the JPL Protective Services Division immediately. A minor under the age of sixteen is not considered to be capable of giving valid affirmative consent to sexual activity under this policy. Caltech employees who are mandated reporters have additional reporting obligations, including reporting immediately to LA County Child Protection and/or the local police department. See the Violence Prevention policy for more information.

12.0 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.

13.0 Emergency Notifications and Timely Warnings

In the event of a dangerous situation on campus that involved an immediate threat to the health or safety of students or employees, Caltech will issue an Emergency Notification consistent with its Emergency Notification procedures. In the event Caltech believes that there is a serious or continuing threat to the campus community, Caltech will issue a Timely Warning consistent with its Timely Warning procedures. Emergency Notifications and Timely Warnings do not disclose the name of the victim.

14.0 Clery Reporting

The Clery Act requires Caltech to issue an Annual Security and Fire Safety Report, which includes crime statistics for sexual assault (rape, fondling, incest and statutory rape), domestic violence, dating violence and stalking. Campus Security gathers these crime statistics from security reports, Pasadena Police Department information, JPL and reports by Campus Security Authorities. Crime statistics do not disclose any identifying information about a complainant, respondent, witnesses or others. For more information and statistics for the past three years, see the current Annual Security and Fire Safety Report.

15.0 Contacting Government Agencies

Employees, students and others participating in Caltech’s educational programs or activities may direct questions regarding Title IX or file complaints with the U.S. Department of Education Office for Civil Rights, (415) 486-5555, ocr.sanfrancisco@ed.gov or (800) 421-3481, OCR@ed.gov. In addition, employees may file complaints with the California Department of Fair Employment and Housing (DFEH) at https://www.dfeh.ca.gov/contact-us or the United States Equal Employment
Opportunity Commission (EEOC) at https://www.eeoc.gov. Complaints can also be directed to the Bureau for Private Postsecondary Education at http://bppe.ca.gov.

NASA funded program participants may file a complaint at AssistedProgramComplaint@nasa.gov or find more information at https://missionstem.nasa.gov/filing-a-complaint.html. NSF funded program participants may file a complaint with the Office of Diversity and Inclusion at programcomplaints@nsf.gov, (703) 292-8020 or find more information at https://www.nsf.gov/od/odi/harassment.jsp. Filing a complaint with a federal agency under Title IX must be done within 180 days after an alleged discriminatory or harassing event and there is no requirement to exhaust remedies through Caltech’s internal procedures before filing directly with a federal agency. Participants in programs funded by other federal agencies providing federal financial assistance to Caltech may file directly with those agencies.

16.0 Informational Resources

Information on Prohibited Conduct, as well as copies of Caltech’s Gender-Based Misconduct, Nondiscrimination and Equal Employment Opportunity, Unlawful Harassment, and Violence Prevention Policies are available from Caltech’s Title IX Coordinator and Deputy Coordinators, Caltech’s EEO Coordinators, Human Resources, 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 Deputy Title IX Coordinator, EEO Coordinator, and Human Resources Business Partners at JPL. The Policies are published in the Caltech Catalog and on the following Caltech and JPL websites: Caltech Human Resources, JPL Human Resources, Title IX, and Student Affairs.

Related Policies and Procedures:

- Procedures for Responding to and Resolving Complaints of Gender-Based Misconduct
- Nondiscrimination and Equal Employment Opportunity
- Unlawful Harassment
- Procedures Regarding Unlawful Harassment
- Violence Prevention

Thomas F. Rosenbaum
President