

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 may be subject to disciplinary action up to and including termination of employment, student expulsion, or being permanently excluded from Caltech-controlled premises.

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 Protection](#). As employees of Caltech, each individual is responsible for making sure their 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 contact one of these offices or may submit an anonymous report using one of the anonymous reporting mechanisms outlined below.

Web Hotline:

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

Campus Human Resources:

Kasey Byrne-Lowenthal, Senior HR Compliance Specialist
(626) 395-1952

JPL Ethics Line:

(818) 354-9999 or toll free (866) 405-7536

3.0 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](#)

A report is considered anonymous if the reporting party does not share their name or contact information. If a reporting party chooses to provide their name or contact information, the report will not be treated as anonymous and they will receive information about support resources, reporting options, and notification of an investigation, if an investigation is pursued.