

UNDERGRADUATE HONOR CODE HANDBOOK

CALIFORNIA INSTITUTE OF TECHNOLOGY
UNDERGRADUATE DEANS' OFFICE
2026-27 ACADEMIC YEAR

I. MISSION

The mission of the California Institute of Technology is to expand human knowledge and benefit society through research integrated with education. We investigate the most challenging, fundamental problems in science and technology in a singularly collegial, interdisciplinary atmosphere, while educating outstanding students to become creative members of society.

II. PHILOSOPHY OF THE HONOR CODE

The Caltech Honor Code states “no member of the Caltech community shall take unfair advantage of any other member of the Caltech community.” This principle has guided generations of undergraduates, influencing how members of the community approach academic work and their commitments to one another.

The Honor Code emphasizes personal responsibility and requires students to consider their actions and decisions in the context of community. As an institution that values creativity, collaboration, and excellence, the Honor Code exists as a common ground and sets an example of how to engage with integrity. The strength of the Honor Code lies in a collective commitment to mutual respect, open communication, and collaborative intellectual engagement.

III. SCOPE OF THE HONOR CODE HANDBOOK

The Honor Code and Honor Code Handbook apply to the conduct of individual undergraduate students, student organizations, student groups, and houses, whether the alleged behavior occurred on or off campus. The individual undergraduate student, student organization, student group, or house implicated in allegations of academic integrity or conduct violations described in the Honor Code Handbook are referred to as “respondents.”

Students on leave from the Institute for any reason are also bound to the conduct expectations set forth in the Honor Code Handbook. Conduct violations that occur during a period of time away from the Institute may be reviewed and adjudicated through a Dean’s Investigation process. Sanctions may be applied for significant conduct violations, including violations of law, that occurred during time away from the Institute.

The processes described in the Honor Code Handbook may be initiated when a respondent is charged with conduct that potentially violates both civil/criminal law and Institute policy, without regard to pending litigation in court or criminal arrest and prosecution. This includes instances where a current student is charged with serious violations of civil or criminal law, regardless of when or where that violation occurred. Institute resolution processes may be carried out prior to, simultaneously with, or following criminal proceedings off campus. Determinations made and sanctions imposed under the Honor Code Handbook will not be subject to change because criminal charges arising out of the same facts were dismissed, reduced, or resolved in favor of or against the criminal law defendant.

IV. REASONABLE ACCOMMODATIONS FOR STUDENTS WITH DISABILITIES

Any student with a disability involved in any process outlined in the Honor Code Handbook has the right to request reasonable accommodation in order to ensure their full and equal participation in the process. Students wishing to request reasonable accommodations should make those requests directly to Caltech Accessibility Services for Students (CASS). Students do not have to disclose information about the complaint or charge to CASS to request reasonable accommodation except to the extent that it may assist in the determination of reasonable accommodations. Accommodations are determined on an individual basis by CASS staff and implemented in consultation with the Dean’s office. Examples of reasonable accommodation include but are not limited to sign language interpretation, real-time

communication access during hearings, large print documents, extended time to review documents, or assistance with transcribing questions during interviews or hearings. Students are responsible for requesting accommodations in a timely manner; failure to do so may result in a delay in the process.

V. RIGHTS AND RESPONSIBILITIES

The following rights and responsibilities apply to those involved in a matter being addressed by any process outlined in the Honor Code Handbook.

A. RIGHTS OF RESPONDENTS

All respondents involved in any process outlined in the Honor Code Handbook have the following rights:

- To be presumed not responsible for a violation of prohibited conduct until found in violation by a preponderance of the evidence.
- Written notice of the charge(s) made against them and the basis of the allegation(s) that led to the charge(s), prior to any interview or hearing.
- To receive written notification of the time, date, and location of any interview or hearing.
- To an advisor who must be a member of the Caltech community (but who may not be an attorney). Student Affairs staff, Board of Control representatives, and Conduct Review Committee members are all trained to serve as advisors to respondents going through conduct processes.
- To request reasonable accommodations due to disability.
- Reasonable access to inspect and review their own case file, which includes all information that would be used during the process, to the extent permitted by confidentiality laws.
- Explanation of the resolution options available to them through Honor Code Handbook.
- To speak or not speak on their own behalf. A respondent who decides to not attend a hearing or interview, or who elects to attend but not speak, will not be presumed responsible simply for their decision not to attend or speak on their own behalf. However, the process will still move forward, and a decision will be made based on the information available to the decision-maker at the time.
- The opportunity to respond to information used as part of the decision-making process.
- To receive written notice of the outcome and any sanction imposed.
- The right to appeal within seven calendar days of the Dean issuing a written decision.

B. RESPONSIBILITIES OF RESPONDENTS, WITNESSES, AND OTHER STUDENT PARTICIPANTS

All respondents, witness, and other student participants involved in any process outlined in the Honor Code Handbook have the following responsibilities:

- To be honest and forthright in all information they provide during the process.
- To attend all required meetings, conferences, or hearings, as scheduled, unless alternate arrangements are made in advance.
- To otherwise cooperate with Caltech officials in the performance of their duties.
- To seek assistance or clarification when needed.
- To refrain from disruption of the process.
- To refrain from recording any proceedings described in the Honor Code Handbook in which they may be involved.
- Respondents have the responsibility to prepare and present their entire case as well as secure the presence of any witnesses who will speak on their behalf.

VI. PROHIBITED CONDUCT

In order to better help students understand the expectations of the Honor Code, the Honor Code Handbook provides examples of conduct that are not in keeping with the Honor Code and are prohibited.

A. ACADEMIC INTEGRITY VIOLATIONS

1. Use of additional time
Exceeding the time limits of a given assignment without permission from the instructor or a pre- approved accommodation due to disability.
2. Use of unapproved resources
Use of references or other resources not allowed per the assignment or permitted by the instructor.
3. Overcollaboration
Collaborating with others on an assignment beyond the scope permitted by the instructor.
4. Plagiarism
Using another's work, in whole or in part, without acknowledging the source and presenting that material as one's own academic work.
5. Misrepresentation

Any attempt by a student to answer questions on an assignment by means other than their own knowledge, without authorization from the instructor. This also includes completing work on behalf of another student or asking another student to complete work on your behalf as well as misrepresenting attendance for yourself or another student.

6. Dual submission

Submitting the same academic work for credit more than once unless specifically authorized by the instructor of record.

7. Falsification

Knowingly using or presenting invented or fabricated information, falsified research, or other findings. Falsification or theft of results (“drylabbing”) are serious acts of intellectual dishonesty, as is claiming undue credit for another’s work or ideas. The [Research Misconduct Policy](#) is applicable to all researchers, including undergraduate students.

8. Facilitating academic misconduct

Knowingly assisting another student in prohibited academic conduct. This may include sharing work or previous course materials with another student, completing another student’s work for them, or providing false information in connection with any inquiry regarding academic integrity.

B. STUDENT CONDUCT VIOLATIONS

1. Possessing or Providing False and Misleading Information

- a. Furnishing false information to Institute officials or law enforcement officers acting within the scope of their job duties.
- b. Forgery, alteration, or misuse of Institute documents or records.
- c. Possession, use, or attempted use of false identification.
- d. Transferring, lending, borrowing or altering Institute identification.
- e. Failure to provide Institute identification (student ID card) upon request of an Institute employee.

2. Substance Abuse

- a. The unlawful use, manufacture, distribution, cultivation, dispensation, possession, sale, purchase of, or offer to sell or purchase controlled substances or alcohol on the Caltech campus or its off-site locations, including the Jet Propulsion Laboratory (“JPL”), or any part of its activities, is prohibited. Controlled substances include, but are not limited to, marijuana, heroin, cocaine, LSD, and amphetamines. Despite recent changes to California law, marijuana is still a controlled substance under federal law, and therefore the use, manufacture, distribution, cultivation, dispensation,

possession, sale, or purchase of or offer to sell or purchase marijuana on the Caltech campus or its off-site locations, including JPL, or as any part of its activities, continues to be prohibited. The recreational use of nitrous oxide is also prohibited under the Institute's [Substance Abuse Policy](#).

- b. Misconduct under the influence of a controlled substance or alcohol including but not limited to operating a vehicle under the influence, disorderly conduct by intoxication, and public intoxication.
- c. The abuse, misuse, sale, or distribution of prescription or over the counter medication, except as expressly permitted by law.
- d. Intentionally or recklessly inhaling or ingesting substances (e.g. nitrous oxide, glue, paint, etc.) that will alter a person's state of mind.
- e. Violation of the Institute's [Substance Abuse Policy](#).

3. Disruptive Conduct

- a. Conduct that substantially and materially disrupts or interferes with Institute operations including but not limited to teaching, research, or administrative activities which occur on or off campus.
- b. Causing, inciting, or participating in any disturbance that presents a clear and present danger to others, causes physical harm to others, or causes damage to or destruction of property. This includes but not limited to participating in or inciting a riot.
- c. Failure to comply with orders of Institute officials or law enforcement officers acting within the scope of their job duties.
- d. Failure to permit Institute employees to enter a residence or house room for the for the purpose of enforcing Institute policy or to respond to a possible or actual health and safety emergency.

4. Harmful Behavior

- a. Physical harm or threat of physical harm to any person.
- b. Reckless but not accidental action that poses a reasonable risk of physical harm to others.
- c. Unauthorized recording. Caltech recognizes that the State of California makes it illegal to make a recording of any meeting or conversation in which there is a reasonable expectation of privacy or confidentiality, and the recorder fails to get the affirmative consent of all persons who are party to the meeting or conversation. Making an illegal recording also violates Caltech's [Acceptable Use of Electronic Resources](#) Policy and a student found to have made such a recording is subject to discipline including, potentially, expulsion from the Institute. In addition, depending on the facts and circumstances, making a recording in an intimate or sexual context, without affirmative consent, may constitute sexual harassment or sexual exploitation and additionally violate Caltech's [Sex Discrimination Policy](#), Title IX, and California law. Finally, depending on the facts and circumstances, making a recording even in a non- confidential setting at

Caltech, without the appropriate affirmative consent, may violate Caltech's Honor Code.

- d. Fire safety violations, including but not limited to setting fires intentionally or recklessly; intentional or reckless misuse of fire safety equipment (e.g. fire extinguishers, fire alarms, exit signs); intentionally initiating or causing to be initiated any false report, warning or threat of fire, explosion or other emergency on Institute premises or at any Institute sponsored events; unnecessary activation of fire alarms.
- e. Possession, storage or use of weapons including but not limited to firearms, compressed-air guns, pellet guns, swords, etc. on Institute owned or affiliated property except as expressly permitted by law, and other violations of the [Firearms and Other Dangerous Materials Policy](#).
- f. Possession, storage, or use of dangerous materials including but not limited to fireworks, explosives, or chemicals which are corrosive or explosive on Institute owned or affiliated property, except as expressly permitted by the appropriate Caltech employee; any other violation of the [Firearms and Other Dangerous Materials Policy](#).
- g. Use of a weapon to intimidate, threaten, or harm another person, including the use of any object not mentioned above that is used to intimidate, threaten, harm, or provide force can be considered a weapon under this provision.

5. Harassment, Discrimination, and Retaliation

Please note that the Honor Code Handbook does not outline the process used to resolve allegations of sex- and gender-based misconduct. The [Sex Discrimination Policy](#) addresses both behaviors prohibited by the policy and the process for resolution is documented in Procedures for [Complaints of Sex Discrimination](#).

- a. Harassment is a form of misconduct that includes unwelcome physical, verbal, or nonverbal conduct that results in a person feeling intimidated, threatened, humiliated, or demeaned, and is likely to interfere with an individual's work or education, or adversely affects an individual's living conditions. Harassment based on protected characteristics as described in the Institute's [Unlawful Harassment, Discrimination, and Abusive Conduct](#) policy is illegal and is contrary to the pursuit of inquiry and education.
- b. Discrimination is differential treatment based on protected characteristics listed in the Institute's [Nondiscrimination and Equal Employment Opportunity Policy](#) and includes applying policies and practices that have an adverse impact on individuals based on protected characteristics.
- c. Retaliation is any adverse action taken against an individual who is, or who is perceived to be, engaged in a report, investigation, adjudication, or decision in a student conduct resolution process. Retaliation includes intimidating, threatening, coercing, or harassing behavior that would interfere with or discourage the individual's participation in a conduct process or adversely affect the individual's educational, work, or living environment.

6. Hazing and Unregistered Pranks

- a. Hazing is any intentional, knowing, or reckless act, activity, or method committed in the course of an initiation into, an affiliation with, or the maintenance of membership in a student organization that causes or creates a risk of physical or psychological injury, above the reasonable risk encountered in the course of participating in the educational, co-curricular, or other activities. Conduct constituting hazing is prohibited regardless of whether the person subjected to the conduct consents to or voluntarily participates in the hazing activity, regardless of whether any physical or mental harm results. Examples of specific behaviors that may constitute hazing under this policy are provided in the [Hazing Prevention Policy](#).
- b. Unregistered Pranks. All pranks must be registered with and approved by the appropriate Institute official in advance using the [Prank Registration Form](#). All pranks must comply with the [Prank Protocol](#).

7. Theft or Possession of Stolen Property

- a. Taking without consent the property or services of the Institute, another person, business, or organization.
- b. Possessing property that can reasonably be determined to have been stolen from the Institute, another person, business, or organization.

8. Misuse, Unauthorized Use, or Damage to Property

- a. Abusing, mishandling, or misappropriating the property, equipment, or materials of the Institute, another person, business, or organization.
- b. Damaging, destroying, or misusing any property belonging to the Institute, another person, business, or organization.
- c. Other conduct or actions in which the integrity of the Institute's physical facilities or grounds are threatened or harmed or could reasonably be expected to result in damage or harm.

9. Misuse of Keys, PIN Codes, or Access Devices

- a. Unauthorized use, distribution, duplication, or possession of any key or other access device issued for any campus building, structure, tunnel, room, or facility.
- b. Use of a PIN Code to access or attempt to access any locked door without authorization or permission from the person to whom the PIN Code was issued.

10. Trespass or Misuse of Facilities

- a. Misuse or unauthorized use of any Institute facility, including but not limited to individual offices, classrooms, laboratories, meetings spaces, and individual residence hall rooms.
- b. Unauthorized entry or attempted entry into any Institute facility, including but not limited to individual offices, classrooms, laboratories, meeting spaces, tunnels, and individual residence hall rooms.
- c. Occupying Institute offices, buildings, property, or grounds without authorization.
- d. Entry into or presence on the rooftop of any building or facility owned or operated by the Institute without express permission from the appropriate Caltech employee.

11. Violation of Other Institute Policies

Violation of any other Institute policy or procedure, including but not limited to:

- a. [Acceptable Use of Electronic Resources](#)
- b. [Fire Prevention Program](#)
- c. [Firearms and Other Dangerous Materials Policy](#)
- d. [Free Speech and Expression](#)
- e. [Good Samaritan Policy](#)
- f. [Guidelines for Operation of Unmanned Aircraft and Other Airborne Objects on Campus](#)
- g. [Hazing Prevention Policy](#)
- h. [Prank Protocol](#)
- i. [Research Misconduct Policy](#)
- j. [Resident Guide and Housing Policies](#)
- k. [Sex Discrimination](#)
- l. [Student Affairs Policy on Alcohol and Other Drugs](#)
- m. [Substance Abuse Policy](#)
- n. [Unlawful Harassment, Discrimination, and Abusive Conduct](#)
- o. [Use of Safety and Security Camera Guidelines](#)
- p. [Violence Prevention Policy](#)

12. Violation of Law

- a. Conduct not otherwise described in this Handbook that would constitute a violation of any local, state, or federal law.

VII. RESOLUTION PROCESSES

A. ALLEGATIONS OF ACADEMIC INTEGRITY VIOLATION – BOARD OF CONTROL PROCESS

The Board of Control (the Board, BOC) shall review all cases of alleged academic integrity violations and shall make recommendations to the Deans' Office for action in those cases. The purpose, composition, duties, and procedures of the Board of Control are set forth in [Article XIII of the ASCIT Bylaws](#).

REPORTING AN INCIDENT

Suspected academic integrity violations can be reported by any member of the community by completing and submitting the [Online Incident Referral Form](#). This form collects information about the nature of the concern, available evidence, and the courses and instructors involved. Once the information has been received by the BOC and the deans' office, the reporting party may be contacted for more information.

The Board of Control leadership and the Director of Conduct and Community Standards will make an initial assessment of the allegations, evidence, and likely sanctions for a responding student's case. If possible, they will offer the responding student the chance to participate in the Early Resolution Option (ERO), according to the guidelines outlined below.

EARLY RESOLUTION OPTION

The Early Resolution Option (ERO) is available for uncontested academic Honor Code cases. It allows students to expedite the process and waive their right to a full Board of Control hearing. Once a responding student has opted into the Early Resolution Option, the decision is final. There is no appeal process.

CRITERIA FOR AN EARLY RESOLUTION OPTION INCLUDE:

- The responding student has not been found responsible for any prior academic Honor Code violations
- The responding student does not wish to contest the allegations as presented and is willing to accept the standard sanction without the option of appeal
- Types of alleged academic dishonesty that may be eligible include, but are not limited to:
 - Over-collaboration
 - Consulting an unapproved resource

- Plagiarism (limited in quantity)
- Sharing or distributing academic materials, including class notes, in violation of Caltech's intellectual property policy
- Using materials, equipment, or assistance in connection with an assignment which have not been authorized by the faculty member
- Submitting, without prior permission of the faculty member, any work that has been previously submitted for credit
- Copying from someone else's work

CIRCUMSTANCES IN WHICH THE ERO WOULD NOT APPLY:

- The responding student has a prior academic Honor Code violation
- The allegations against a student do not have a standard sanction or precedent
- The Director of Conduct and Community Standards, in consultation with BOC leadership, determines a full Board hearing is the appropriate process
- The allegations against a student are so egregious as to require a full Board hearing. Types of academic dishonesty that would be considered egregious include:
 - Theft of another student's work and submission as one's own
 - Violations in multiple courses
 - Deliberately damaging the academic work or effects of another
 - Widespread academic misconduct involving a plurality of students (i.e. a "cheating ring")

A student may choose to forgo the Early Resolution Option if they wish to contest the allegations against them or if they prefer to have the case heard by the Board of Control.

EARLY RESOLUTION OPTION PROCESS

If it appears that a case meets the standards for an Early Resolution, as outlined above, the Director of Conduct and Community Standards will notify the student(s) involved in writing to:

- Inform them of the reported allegations
- Provide them with access to the available evidence
- Explain the Early Resolution process
- Offer them the option to forgo a full BOC investigation and hearing
- Outline the standard sanctions (removal of credit and educational sanctions) and limitations to appeal

The responding student will be given 7 calendar days to decide which process to follow. As with the full Board of Control process, responding students may seek the advice and support of another member of the Caltech community in navigating the Early Resolution process. If the responding student decides to accept responsibility for the alleged violations and waive their right to the Board of Control process, they

will sign a waiver to that effect. The responding student will have the opportunity to respond to the charges and evidence, as well as to meet with the Director of Conduct and Community Standards to discuss the matter.

The Dean will inform the student in writing of the final decision, and a record of the violation will be kept by the Deans' Office for the appropriate amount of time, as indicated by the Institute's Record Retention Schedule. Faculty will be informed of any removal of credit decisions.

FULL BOARD OF CONTROL HEARING PROCESS

If a student is not eligible for the ERO or elects for a full Board process, the following will occur:

PRELIMINARY MEETING

BOC leadership and the Director of Conduct and Community Standards hold a preliminary meeting with the respondent, determine whether there is a reasonable possibility of a violation, and either recommend dismissal or referral to a full Board hearing.

If it is dismissed, the Director of Conduct and Community Standards will inform the respondent, as well as the relevant faculty. The case is considered closed.

MEDIATED CONVERSATION (OPTIONAL)

The respondent may elect to participate in a mediated conversation. The mediated conversation is intended to be an educational opportunity for the respondent to engage with a faculty member to discuss the allegation and the Honor Code in general before it is determined if there has been a violation of the Honor Code. If both the respondent and the faculty member agree to meet, the meeting will be facilitated by the Director of Conduct and attended by a member of the BOC leadership. Following the mediated conversation, the reporting faculty member may recommend for the case to be dismissed or for the case to continue to a full Board hearing.

FULL BOARD HEARING

If the BOC leadership remains concerned that a violation of the Honor Code occurred, the case will proceed to a full Board hearing. The hearing includes:

- **Collection of evidence:** The respondent may submit evidence relevant to the assignment in question for consideration in their case. The Director of Conduct and Community Standards will reach out to the reporting faculty to request additional evidence or clarifications, as necessary.

- **Secondary academic review:** The Director of Conduct may request for all anonymized case materials to be reviewed by a faculty BOC liaison in the option. The faculty BOC liaison will provide a summary of their review for the BOC's consideration.
- **Respondent review:** The respondent is given the opportunity to review any additional evidence that has been gathered. Prior to the hearing, the respondent will be provided with the names of the BOC representatives who are assigned to hear their case. If the respondent feels that a particular member of the BOC may be unable to render an unbiased judgement in their case, they may request for that representative to be dismissed. All predissmissals must occur prior to the start of the hearing.
- **Board Hearing:** Five Board members, chair, and secretary are convened to hear the case, and the Director of Conduct and Community Standards oversees the chair's facilitation of the hearing. The respondent is asked to attend the hearing and may bring a silent witness, who must be a member of the Caltech community.

The Board reviews the evidence, offers the opportunity for the respondent to respond to questions, and votes on three questions based on the preponderance of the evidence: whether an Honor Code violation has been committed and its scope (conviction/dismissal); how to remove the unfair advantage gained (removal of credit); and how to uphold the Honor Code and protect the Caltech community from future violations (sanction). Prior academic integrity may be considered when deciding the sanction recommendation. Four out of five members must agree on each point. The Board's recommendations regarding conviction, removal of credit, and sanctions are recorded by the Director of Conduct and Community Standards.

RESOLUTION

Following the Board of Control process, the respondent engages with the Undergraduate Deans' Office.

- **Notification:** The Director of Conduct and Community Standards informs the respondent of the Board's recommendation and sends a written report to the respondent.
- **Response:** The respondent has seven calendar days to respond to the written report, either in writing or by meeting with the Dean to discuss the report and recommendations.
- **Decision:** The Dean will make a final decision and inform the respondent in writing. The respondent has the option to appeal in writing to the VPSA. The appeal process is outlined in Section VIII of the Honor Code Handbook.
- **Conclusion:** Following the close of the appeal period, or the confirmation of the decision of the VPSA in the case of an appeal, any final decision about removal of credit is communicated to faculty. The faculty communicates any

change of grade to the Director of Conduct and Community Standards, and a change of grade is confirmed with the Registrar.

- **Documentation:** A record of any violation will be kept by the Deans' Office for the appropriate amount of time, as indicated by the Institute's Record Retention Schedule

At any point in the Board of Control hearing process, the respondent may accept responsibility for an Honor Code violation and may opt for the ERO, if eligible. Any student who has a prior finding of responsibility for a violation of the Honor Code or is otherwise ineligible for ERO must proceed through the full Board process.

B. ALLEGATIONS OF STUDENT CONDUCT VIOLATIONS

Allegations of student conduct violations are subject to the process described below regardless of whether the respondent is an individual student, a student group or organization, or a house. When a report of a student conduct violation is received, it will first be subject to a preliminary assessment. The preliminary assessment will include a review of the severity of the allegations, any ongoing risk to the community based on the allegations, and any previous violations of Institute rules or policies. Based on the preliminary assessment, the matter will be referred to one of three resolution options: Resolution Meeting, Conduct Review Committee Investigation, or Dean's Investigation.

RESOLUTION MEETING

A resolution meeting with student affairs staff is held to address most first-time [Resident Guide](#) or Honor Code Handbook policy violations, including first- and second-time alcohol policy violations. During the resolution meeting, a student affairs staff member will meet with the student to discuss the incident, related Institute policies, understanding of the Honor Code, and expectations for student conduct. Students who are found responsible for a policy violation will be issued a written warning following the resolution meeting and may be assigned additional educational sanctions. Resolution meetings may also result in the issue being dismissed if there is evidence that the student was not involved in a policy violation.

Resident Life Coordinators will typically meet with students to discuss alcohol policy violations, housing policy violations, and other lower-level conduct concerns. Other student affairs staff, including the Director of Conduct and Community Standards and the Associate Deans of Undergraduate Students, may also meet with students to address more significant violations or repeat violations. If during the resolution meeting the staff member determines that the incident involved additional policy violations that were not included in the initial report, the case may be referred to the Director of

Conduct and Community Standards for further investigation and adjudication through the Conduct Review Committee or Dean's Investigation process.

CONDUCT REVIEW COMMITTEE

The [Conduct Review Committee](#) (CRC) manages the resolution process for conduct cases when the alleged policy violation is more severe than what can be addressed in a Resolution Meeting. The CRC is also the resolution process most commonly used when the respondent is a group of students or a student organization (i.e. House, club, or other campus organization). The final decision-maker in cases involving individual students as respondents will be made by the Dean of Undergraduate Studies. In cases when a student organization is the respondent, the Assistant Vice President of Student Affairs (AVP) will make the final decision regarding finding of responsibility and sanctions.

The CRC resolution is outlined as follows:

REVIEW AND NOTIFICATIONS

The CRC co-chairs review the incident to identify respondents and possible policy violations. The Director of Conduct then notifies the respondents of the charge and requests the respondents meet with the CRC co-chairs.

The co-chairs may determine that preliminary sanctions may be warranted. Recommendations for preliminary sanctions will be made to the Dean of Undergraduate Studies for individual respondents and to the Assistant Vice President for Student Affairs for student organizations as respondents. Preliminary sanctions may be imposed prior to the resolution of any conduct case.

INVESTIGATION

The co-chairs investigate the incident by interviewing respondents and witnesses. The co-chairs may gather additional information and evidence from campus partners including but not limited to Campus Security and Student Affairs staff.

The co-chairs then compose a report summarizing the investigation and make a recommendation for a finding of responsibility based on the preponderance of the evidence. The report is then shared with the respondent for their review.

PRELIMINARY DETERMINATION OF RESPONSIBILITY

If the respondent agrees with the findings of the CRC co-chairs and accepts responsibility for a policy violation, the case is referred to the CRC student representatives for sanctioning recommendations. The sanction recommendations are then added to the preliminary report and submitted to the Dean or AVP.

If the respondent does not accept responsibility or agree with the preliminary findings of the CRC co-chairs, the case is referred to the CRC for a full hearing.

If the co-chairs determine that there is not sufficient evidence to determine whether a policy violation occurred, they may refer the case to the Dean or AVP for dismissal.

CRC HEARING

In cases when the respondent does not accept responsibility or agree with the preliminary findings of the CRC co-chairs, the case may be referred to the CRC for a full hearing.

The full committee consists of three members (one student, one faculty, one staff). During the full hearing, the committee will convene, review the evidence, interview the respondent and relevant witnesses, and make a recommendation for responsibility and sanctions. The CRC co-chairs then submit a report including a summary of the case and the decision of the CRC committee to the Dean or AVP.

RESPONSE

The respondent is notified of the decision by the CRC co-chairs. The respondent has an opportunity to review and respond to the report by writing a letter and submitting it to the Dean or AVP. The respondent will be given the opportunity to meet with the Dean, within seven calendar days of receipt of the decision, to discuss the report and recommendations.

DECISION

The Dean or AVP will inform the respondent of their final determination, including any sanctions that may be imposed, in writing. That notice will also include information regarding the respondent's ability to appeal the Dean or AVPs determination and the process for doing so.

DEAN'S INVESTIGATION

The Undergraduate Deans' Office retains the discretion to refer matters to a Dean's Investigation instead of the CRC. The Dean may choose this option for a number of reasons, including but not limited to when the matter is highly personal or sensitive, requires an expedient review and resolution, or when convening a full CRC board is impractical due to the availability of enough trained board members to make up a full panel. The Dean's Investigation process is also used for cases of alleged hazing.

The process of a Dean's Investigation is as follows:

INVESTIGATION

The Director of Conduct and Community Standards notifies the respondents of the charges and assigns two investigators to conduct the investigation. The co-investigators interview respondents and witnesses and may gather additional information and evidence from campus partners including but not limited to Campus Security and Student Affairs staff.

DETERMINATION OF RESPONSIBILITY

The investigators draft a report, including a summary of the case and recommendations for the finding of responsibility and sanctions. The report is then shared with the respondents.

RESPONSE

The respondent has an opportunity to review and respond to the report by writing a letter and submitting it to the Dean. The respondent will also be given the opportunity to meet with the Dean, within seven calendar days of receipt of the decision, to discuss the report and recommendations.

DECISION

The Dean will inform the respondent of their final determination, including any sanctions that may be imposed, in writing. That notice will also include information regarding the respondent's ability to appeal the Dean or AVPs determination and the process for doing so.

VIII. CRITERIA AND PROCESS FOR APPEAL

The determination of the Dean or AVP may be appealed in both academic integrity and student conduct cases. An appeal must be submitted in writing within seven calendar days of the Dean or AVP's written notification of the final outcome.

Grounds for an appeal are limited to the following:

1. New evidence that was not available at the time of the investigation or hearing that would impact the outcome of the matter;
2. A sanction that is disproportionate to the violation;
3. A procedural error that would impact the outcome of the matter.

Should an appeal be submitted, the Vice President of Student Affairs will review the appeal and render a decision in writing.

If an appeal is not submitted within seven calendar days of the receipt of the notification letter, the decision and sanctions communicated in the letter are final.

IX. SANCTIONS

A. SANCTIONS FOR ACADEMIC INTEGRITY VIOLATIONS

Sanctioning for academic integrity violations follows a standard, progressive model with more serious sanctions assigned as a result of repeated violations and findings of responsibility. The Board of Control will make a recommendation to the Undergraduate Dean, who makes the final decision in determining sanctions. Occasionally, there may be cases where the appropriate sanction may deviate from the standard recommendation due to the severity of the incident or compelling mitigating circumstances.

STANDARD SANCTIONS FOR FIRST-TIME VIOLATIONS

- Removal of credit: no credit will be awarded for the assignment in which the violation occurred.
- BOC Talk: an educational conversation with representatives of the Board of Control to discuss the Honor Code and resources for positive academic engagement.
- Meeting with Undergraduate Dean: an educational conversation with the Dean of Undergraduate Studies to discuss the Honor Code, expectations for academic integrity, and consequences for subsequent academic integrity violations.
- Additional educational interventions: this may include assignment of a reflection paper, referral to the Hixon Writing Center, referral to Peer Academic Coaches, or another assignment intended to support positive academic engagement.

STANDARD SANCTIONS FOR SECOND-TIME VIOLATIONS

- Removal of credit: no credit will be awarded for the assignment in which the violation occurred.
- Suspension: requirement to take an involuntary leave from Caltech for a minimum of one term. The term of leave cannot be served during a summer term.
- Reentry meeting: meeting with BOC chairs to discuss how the respondent has reflected on the Honor Code during their time away and their plan to reengage with academics at Caltech with a renewed adherence to academic integrity.

STANDARD SANCTIONS FOR THIRD-TIME VIOLATIONS

- Removal of credit: no credit will be awarded for the assignment in which the violation occurred.
- Permanent separation: the respondent will be unenrolled from Caltech and is not eligible to return as an undergraduate student. Permanent separation (expulsion) will be noted on the final transcript as a part of the individual's permanent record.

B. SANCTIONS FOR STUDENT CONDUCT VIOLATIONS

Sanctioning for student conduct violations is intended to address the nature of the policy violation while providing students the opportunity for growth and learning by reflecting on behavior and addressing harm caused as a result of their actions.

Possible sanctions following a resolution meeting include a warning, educational sanction, restorative sanction, fine, or restitution owed to the Institute for property damage. These sanctions may be assigned by the student affairs staff member who oversees the resolution meeting. Any sanction that involves repayment to others, loss of privileges, probation, or a change of enrollment status can only be assigned by the Dean of Undergraduate Studies following the conclusion of a Conduct Review Committee or Dean's Investigation process.

In the Conduct Review Committee process and Dean's Investigation process, the CRC or Director of Conduct and Community Standards will make sanction recommendations to the Dean of Undergraduate Studies or the Assistant Vice President of Student Affairs. Sanction recommendations will take into account the seriousness of the policy violation, severity of the incident, sanctioning precedent for similar violations, the student's past conduct history, and aggravating or mitigating factors specific to the incident. The Dean of Undergraduate Studies makes the final decision in determining sanctions for individuals; the Assistant Vice President of Student Affairs, for student organizations and Houses.

WARNING

A warning is issued at the conclusion of a conduct process to document a finding of responsibility for a policy violation. Warning letters also convey that subsequent violations of campus policies may lead to more serious sanctions.

RESTORATIVE SANCTION

Restorative sanctions are assigned to address and repair harm caused as a result of a conduct violation. Examples of restorative sanctions include completing a community service assignment, writing an apology letter, or participating in a mediated conversation.

EDUCATIONAL SANCTION

Educational sanctions are assigned to address and correct the conduct violation through deeper learning opportunities. Educational sanctions may include completing educational modules, writing a reflective essay, developing community resources, meeting with Institute staff, or referral to campus resources.

FINES

Fines are assigned in limited cases of policy violations that pose a risk to the health and safety of members of the Caltech community. These cases include:

- Failure to complete educational sanctions: \$50 each violation
- Fire safety violations: \$250 for a first violation; \$500 for subsequent violations. Fire safety violations include misuse of or damage to fire safety equipment, including but not limited to exit signs, fire extinguishers, and fire alarms.
- Unauthorized access: \$500 for a first violation; \$1000 for subsequent violations. Unauthorized access violations that carry a fine include entry or presence onto the rooftop of any building, steam tunnels, building cavities, and other spaces where authorized access is limited to approved personnel.

FINANCIAL RESTITUTION

Restitution may be assigned in cases when it is necessary to reimburse an individual, organization, House, or the Institute for damage to or loss of property.

LOSS OF PRIVILEGES

Loss of privileges may be assigned to limit a student's participation on campus. This could include, but is not limited to, restrictions to being on campus or accessing specific spaces on campus, removal from leadership positions, limitation on participation in student organizations or activities, removal from housing, or relocation to another housing assignment. This sanction may be applied for a specific amount of time or, as a result of more serious conduct violations, indefinitely.

DISCIPLINARY PROBATION

Disciplinary probation is assigned for a designated period of time and indicates that the student is not in good standing with the Institute. This status indicates that further violations of Institute policy or noncompliance with other assigned sanctions will result in additional and more serious sanctions, including involuntary leave or permanent separation.

SUSPENSION

Suspension requires an involuntary leave of absence from Caltech for a designated period of time. A student on involuntary leave may not be on campus or participate in any aspect of Institute life, including but not limited to classes, research, club and co-curricular activities, campus events, housing, and employment. A student serving a suspension must apply for reinstatement through the Undergraduate Deans' Office prior to the term for which they are eligible to return.

DEFERRED SUSPENSION

Deferred suspension may be assigned in cases when the conduct violation is significant enough to warrant an involuntary leave but, by the determination of the Director of Conduct and Community Standards or Dean of Undergraduate Studies, the respondent may be permitted to remain on campus. Deferred suspension is assigned for a designated period of time in conjunction with disciplinary probation. Students on deferred suspension are not considered to be in good standing at the Institute. If a student serving a deferred suspension is found responsible for another violation of Institute policy during that period, the sanction of involuntary leave will be imposed.

PERMANENT SEPARATION

Permanent separation is the permanent termination of an individual's status as a student (expulsion). The respondent will no longer retain the rights and privileges of being a student at Caltech and will not be eligible to return to the Institute as a degree-seeking undergraduate student.

WITHHOLDING OF DEGREE

Withholding of degree may be applied in cases when a student is involved in an unresolved conduct process in which the recommended sanction may include involuntary leave, deferred suspension, or permanent separation. Withholding of degree may also be applied in cases when a student is required to serve a term or more of involuntary leave following the conclusion of their last term of study.