



THE CALTECH COMMUNITY'S  
**STATEMENT ON  
ETHICAL CONDUCT**

# We Are Caltech

We are all part of the Caltech community whether we are located on campus, at JPL, at observatories, or anywhere else in the universe. As members of the Caltech community, we expect that each of us will embody the high standards that have gained Caltech its worldwide reputation. In 2012, members representing the Caltech community began a conversation on ethical conduct. These discussions focused on the overarching values of our community. As a result of these discussions, we describe, in detail, these values in 11 short statements.

This brochure outlines these core values, which are demonstrated in many ways—from our students' adherence to the Honor Code to our Trustees' fiduciary commitment to the Institute.

As members of the Caltech community, we embrace the letter and the spirit of these principles. Each member is personally responsible for incorporating these principles into their own actions and is encouraged to speak up if they, in good faith, believe the Institute or any individual is falling short of living up to them. We are proud to be a part of Caltech and to share the community's commitment to these values.

## THE 11 PRINCIPLES

1. Strive for excellence
2. Act with integrity
3. Encourage open, honest, and respectful discourse
4. Respect and promote freedom of inquiry
5. Foster a supportive and diverse community
6. Commit to education
7. Conduct work responsibly
8. Protect the interests of those who place their trust in us
9. Provide and maintain a safe environment for learning and working
10. Obey the law and comply with institutional policies
11. Represent Caltech

## THE 11 PRINCIPLES

### 1. STRIVE FOR EXCELLENCE

We commit to excellence in all things in process as well as outcomes, knowing that only the process is truly under our control.

Responsibility and accountability are the hallmarks of our community.

### 2. ACT WITH INTEGRITY

We uphold integrity in all we do.

We hold ourselves accountable for the outcomes of our actions.

### 3. ENCOURAGE OPEN, HONEST, AND RESPECTFUL DISCOURSE

We encourage open, honest, and respectful discourse from and between all members of the community, regardless of position, length of service, or role.

We treat one another with civility.

### 4. RESPECT AND PROMOTE FREEDOM OF INQUIRY

We encourage curiosity in research, scholarship, and exploration, and we create the conditions where inquiry can flourish.

### 5. FOSTER A SUPPORTIVE AND DIVERSE COMMUNITY

Every member of the Caltech community treats one another with dignity and respect.

We value different perspectives, opinions, and ideas.

We enable one another's excellence.

We support the health and wellness of all community members.

## THE 11 PRINCIPLES

### 6. COMMIT TO EDUCATION

The opportunity for excellence in education exists at all levels in both formal and informal ways that benefit students, employees, and members of our community.

We are committed to being great educators — as leaders, mentors, and friends — not only for our students, but also for our community, our peers, and ourselves.

### 7. CONDUCT WORK RESPONSIBLY

We fulfill the obligations of our role.

We are responsible stewards of the Institute resources entrusted to us, including the environment, equipment and facilities, money and people.

We respect the environment and are conscious of our impact.

### 8. PROTECT THE INTERESTS OF THOSE WHO PLACE THEIR TRUST IN US

We are forthright with our students, their parents, employees, managers, and people who rely on us for leadership and accountability at all levels.

We hold ourselves to the highest standards of integrity in peer reviews, scientific evaluations, and recommendations.

We represent ourselves accurately and factually to our peers, sponsors, and the general public.

We are open and honest in all our dealings with the government, external agencies, taxpayers, and donors.

We honor our obligations to donors and sponsors.

## THE 11 PRINCIPLES

### 9. PROVIDE AND MAINTAIN A SAFE ENVIRONMENT FOR LEARNING AND WORKING

We create, provide, and maintain a safe environment for ourselves and for others.

We foster the physical, mental, and emotional well-being of our community.

### 10. OBEY THE LAW AND COMPLY WITH INSTITUTIONAL POLICIES

We are scrupulous in all business dealings.

We are truthful, forthright, and accurate when preparing all books, records, documents, reports, and publications.

We adhere to local, state, and federal laws and regulations.

We deal honestly with government in all matters.

### 11. REPRESENT CALTECH

We represent Caltech whether we are based on campus, at JPL, our observatories, or anywhere else in the world.

We are ambassadors and advocates, embodying the high standards that we set for ourselves and to which we are held by others.

We are committed to the Institute and its mission, recognizing that our actions as individuals reflect on Caltech.

The following list provides resources for any member of the Caltech community who needs advice or counsel on compliance or ethical matters.

- Staff members on campus and at JPL may contact their immediate supervisors.
- Faculty, postdoctoral scholars, researchers, students, and staff within the academic divisions may always contact their academic or research advisers, immediate faculty or staff supervisors, and higher levels of the divisional administration, up to the division chairs.
- Students may contact the dean of undergraduate students (**626.395.6351**) or the dean of graduate studies (**626.395.6346**).
- Any member of the Institute may direct questions regarding sexual misconduct to the Title IX Coordinator (**626.395.3132**) or [titleixcoordinator@caltech.edu](mailto:titleixcoordinator@caltech.edu).
- Any member of the Institute may direct questions regarding research integrity to the Campus Office of Research Compliance (**626.395.2907**) or the JPL Office of the Chief Scientist (**818.354.2317**).
- Any member of the Institute may direct questions to Human Resources (**626.395.3300**), JPL's Ethics Office (**818.354.6338**), Audit Services and Institute Compliance (**626.395.8075**), or Office of the General Counsel (Campus: **626.395.3241**; JPL: **818.354.9999**).

These confidential channels may be used for reporting unethical or unlawful practices:

**Web Hotline:**

[hotline.caltech.edu](http://hotline.caltech.edu)

**Telephone Hotlines:**

Campus: ext. **8787**, toll free **888.395.8787**

JPL: ext. **49999**, toll free **866.405.7536**

**“SEE SOMETHING, SAY SOMETHING”**

If you have an ethical dilemma or you witness something that does not seem right, we urge you to speak up. Retaliation against an employee who has in good faith reported an alleged unethical or unlawful practice will not be tolerated.