

SUMMARY OF INVESTIGATION PROCESS FOR
COMPLAINTS OF SEX- AND GENDER-BASED MISCONDUCT UNDER TITLE IX

This is a high-level summary and does not substitute for the full details provided in the Procedures as to when this process applies and the steps involved.

1. Title IX Coordinator provides the parties a summary of the allegations and notice of an investigation. Title IX Coordinator updates the parties of any additional allegations that are introduced during the investigation process.
2. Title IX Coordinator assigns investigators (typically 2 of them) and gives the parties an opportunity to object to either or both of them based on a conflict of interest or bias.
3. The parties may choose anyone to be their advisor to support and accompany them during the process, including any meetings with the investigators. Advisors cannot speak on their party's behalf during the meetings.
4. Investigators meet with each party separately, and as many times as necessary, to gather facts, evidence, names of witnesses, and the parties' suggestions for questions to ask the opposing party and witnesses.
5. Investigators interview witnesses who have the most direct knowledge and information related to the allegations.
6. Title IX Coordinator provides status updates to both parties, including reasons for extensions of the 120-day timeline.
7. Investigators prepare (1) an evidence report and then (2) a draft investigation report. Both parties review these and provide feedback. Investigators engage in any appropriate follow-up.
8. Investigators prepare a final investigation report for the decision maker.
9. Title IX Coordinator provides both parties an opportunity object to the decision maker based on a conflict of interest or bias.
10. Investigators provide both parties access to all evidence and the final investigation report.

11. The decision maker and lead investigator conduct a hearing where the parties and relevant witnesses answer questions. The parties are physically separated but technologically enabled to see and hear each other answer questions.

If the hearing encompasses any allegations that occurred on or after August 14, 2020, the parties' advisors may directly ask questions of the opposing party and, for this purpose, Caltech must provide an advisor to a party who does not already have one.

12. The decision maker resolves the disputed facts and decides whether the allegations are substantiated by a preponderance of the evidence.
13. If the allegations are substantiated, the appropriate Caltech administrator determines sanctions and remedies.
14. The decision maker provides both parties a letter outlining the resolution of the investigation, grounds and process for appeal, and next steps.
15. The parties may submit an appeal to the appropriate Caltech administrator within 10 days of receipt of the decision maker's letter. The opposing party will have 10 days to respond to the appeal. The appeal decision is final.