WORKPLACE VIOLENCE PREVENTION PLAN
for The California Institute of Technology

This Workplace Violence Prevention Plan (WVPP) addresses the hazards known to be associated with the four types of workplace violence as defined by <u>Labor Code (LC) section 6401.9</u>.

Date of Last Review: June ___ 2024

Date of Last Revision(s): June __ 2024

DEFINITIONS

Emergency - Unanticipated circumstances that can be life threatening or pose a risk of significant injuries to employees or other persons.

Engineering controls - An aspect of the built space or a device that removes a hazard from the workplace or creates a barrier between the employee and the hazard.

Log - The violent incident log required by Labor Code section 6401.9, an exemplar of which is included herewith.

Plan - The workplace violence prevention plan required by Labor Code section 6401.9.

Serious injury or illness - Any injury or illness occurring in a place of employment or in connection with any employment that requires inpatient hospitalization for other than medical observation or diagnostic testing, or in which an employee suffers an amputation, the loss of an eye, or any serious degree of permanent disfigurement, but does not include any injury or illness or death caused by an accident on a public street or highway, unless the accident occurred in a construction zone.

Threat of violence - Any verbal or written statement, including, but not limited to, texts, electronic messages, social media messages, or other online posts, or any behavioral or physical conduct, that conveys an intent, or that is reasonably perceived to convey an intent, to cause physical harm or to place someone in fear of physical harm, and that serves no legitimate purpose.

Workplace violence - Any act of violence or threat of violence that occurs in a place of employment.

Workplace violence includes, but is not limited to, the following:

- The threat or use of physical force against an employee that results in, or has a high likelihood of resulting in, injury, psychological trauma, or stress, regardless of whether the employee sustains an injury.

- An incident involving a threat or use of a firearm or other dangerous weapon, including the use of common objects as weapons, regardless of whether the employee sustains an injury.

- The following four workplace violence types:

  Type 1 violence - Workplace violence committed by a person who has no legitimate business at the worksite and includes violent acts by anyone who enters the workplace or approaches employees with the intent to commit a crime.

  Type 2 violence - Workplace violence directed at employees by customers, clients, patients, students, inmates, or visitors.

Type 3 violence - Workplace violence against an employee by a present or former employee, supervisor, or manager.

Type 4 violence - Workplace violence committed in the workplace by a person who does not work there but has or is known to have had a personal relationship with an employee.

Workplace violence does not include lawful acts of self-defense or defense of others.

Work practice controls - Procedures and rules which are used to effectively reduce workplace violence hazards.

RESPONSIBILITY

The WVPP administrator, Hampton N. Cantrell, Chief of Campus Security and Parking Services, has the authority and primary responsibility for implementing the provisions of this plan for Caltech. The organizations listed below have implementation responsibilities for the plan as described.

Responsible Persons	Job Title/Position	WVPP Responsibility(ies)	Phone #	Email
Hampton N. Cantrell Kathleen A. (Kathy) Carpenter	Chief of Campus Security and Parking Services Director of Security Administration and Clery Compliance Security and Parking Services	Chief Cantrell approves the final plan and any major changes.	(626) 395-4187 (626) 395-3165	cantrell@caltech.edu kathleen.carpenter@caltech.edu
Security		Responsible for responding to workplace violence incidents, administering training, and maintaining training materials and records, issuing timely warnings and other employee communications concerning workplace violence threats, and maintaining Incident Log. In coordination with HR, participates in conducting investigation of suspected violations of Violence Prevention Policy (VP Policy) and WVPP.		
Human Resources	Employee & Organizational Development	Responsible for administering appropriate corrective action, including disciplinary action, with respect to employees who fail to comply with training requirements and for initiating and conducting investigations of suspected violations of Caltech's VP Policy and WVPP.	(626) 395-6382	EOD@caltech.edu
Title IX/Equity	Title IX Coordinator	Promotes the community's compliance with Caltech's policies prohibiting sexual misconduct, including sexual violence, relationship violence and stalking and other forms of violent conduct based on protected characteristics under Federal and state law.	(626) 395-3132	equity@caltech.edu

All managers and supervisors are responsible for implementing and maintaining this WVPP in their work areas and for answering employee questions about this WVPP.

EMPLOYEE ACTIVE INVOLVEMENT

Caltech has implemented a Violence Prevention Policy and workplace violence prevention processes and procedures to promote the active involvement of employees and authorized employee representatives in developing and implementing this WVPP:

- Management will work with and allow employees and authorized employee representatives to participate in identifying incidents and risks of potential workplace violence and evaluating and determining corrective measures to prevent workplace violence, including:

    - Responding promptly and appropriately to employee concerns about potential workplace violence, including:

        o Enforcing current policies to ensure prompt and proper identification of workplace violence related concerns/hazards, evaluate those hazards and/or concerns, and how to correct them. Any individual who experiences or observes a threat or act of violence, or a weapon on Institute premises or at an Institute activity or program must immediately notify Campus Security or law enforcement. An individual at a non-campus location must immediately notify local law enforcement.

        o Handling all reports of violence in a confidential manner, with information released as determined to be appropriate by Caltech. Managers are required to immediately report concerns to Caltech Security, JPL Protective Services Division, Human Resources, the Deans, or the Provost, whether the violation is observed on Institute premises or at any Institute activity or program. Caltech policy prohibits retaliation against any faculty, staff, postdoctoral scholar, student, or third party who, in good faith, reports a violation or suspected violation of Institute policy.

    - Designing and implementing training. Caltech Security and other Caltech organizations develop programs to inform the community about workplace violence risks, to communicate campus security and other procedures and practices for preventing and responding to workplace violence risks, and to encourage the campus community, students, faculty, and employees to be responsible for their own safety and that of others. Crime prevention and personal safety tips are distributed periodically throughout the year to students and employees through training sessions and campus events. Caltech's training program includes:

        o Training for staff is also provided by Campus Security that includes scenario-based training on de-escalation, lockdown protocols and detailed instructions on protective actions for responding to active threats of violence e.g., Run Hide Fight. This training also includes individual action planning that involves identification of emergency exits and places to secure oneself in their personal workspaces.

        o Employees participate in training related to prevention and response to the workplace. Security participates in training programs for new and existing students, employees, and visiting students and faculty. These include:

            · An orientation for graduate students, in which Security talks about personal safety and the transportation program for students after hours, as well as about utilizing Security when there is a concern or issue.
            · Monthly new-employee orientation programs.
            · Security promotes a "See Something, Say Something" ongoing crime prevention program as a proactive measure for the campus community.
            · Campus Violence Prevention Facilitator Training.

- Caltech provides additional information and resources to employees to assist them in identifying, assessing and responding to workplace violence threats, including:

  - Members of the Caltech community are provided with personal safety and property security tips on an ongoing basis through security bulletins distributed via email, hard copy, and on the Security website. These bulletins repeatedly encourage members of the community to be responsible for their safety and security and that of others.

  - Security publishes an Emergency Response Guide for employees which is available on its website and in physical form that can be posted in employees' work locations.

  - Caltech's Emergency Management website provides emergency procedures for employee with important information for responding to threats, including:

    - Active Shooters
    - Bomb Threats
    - Chemical/Biological Incidents
    - Lockdowns
    - Psychological Crises
    - Suspicious Packages

- Offering resources through the Staff and Faculty Consultation Center and the Student Counseling Center at campus to provide intervention and consultation to address workplace violence concerns, and referrals for clinical evaluation or treatment, including arranging for counselors to work with at-risk individuals and victims and observers of an incident.

- Providing resources for reporting and investigating workplace violence incidents. Any individual who experiences or observes a threat or act of violence, or a weapon on Institute premises or at an Institute activity or program must immediately notify Campus Security or JPL Protective Services Division, or law enforcement. An individual at a non-campus or non-JPL location must immediately notify local law enforcement.

  - Campus Security (626) 395-5000

  - JPL Protective Services Division (818) 393-3333

  - If an individual becomes aware of behavior that they find concerning, the individual should notify one of the following individuals or offices:

Employee's Supervisor/Management	
Campus Human Resources – EOD	(626) 395-6382
Dean of Students	(626) 392-6351
Dean of Graduate Studies	(626) 395-6346
Provost Office	(626) 395-6320
Assistant Vice President for Equity and Equity Investigations, Title IX Coordinator	(626) 395-3130
Campus Security	(626) 395-5000
Caltech Hotline	(anonymous) (626) 395-8787 or (888) 395-8787

  - Ensuring that all workplace violence policies and procedures within this written plan are clearly communicated and understood by all employees.

  - Ensuring that managers and supervisors enforce the rules fairly and uniformly.

o Requiring all employees to follow all workplace violence prevention plan directives, policies, and procedures, and assist in maintaining a safe work environment. In particular, the Institute Violence Prevention Policy includes information designed to promote measures aimed at reducing incidents of violence and the management of situations that may lead to violence. All members of the Caltech community shall cooperate to maintain a safe environment and shall comply with the Institute Violence Prevention Policy.

The plan shall be in effect at all times and in all work areas and be specific to the hazards and corrective measures for each work area and operation.

EMPLOYEE COMPLIANCE

Caltech has a Violence Prevention Policy that prohibits violence and threats of violence on its premises and in its programs. Caltech also has a Sex- and Gender-Based Misconduct Policy that prohibits sexual violence. These policies are distributed to employees on an annual basis and are posted on Caltech's Human Resources website.

Both policies provide for the investigation of reported violations and appropriate disciplinary action against individuals found to have violated the policy. Reports of conduct that may violate any aspect of these policies or this WVPP are taken seriously, properly investigated, and dealt with accordingly. Individuals who are found to have violated Institute policy and this WVPP may be subject to disciplinary action up to and including termination of employment, student expulsion, or being permanently excluded from Caltech-controlled premises. Additionally, when such acts potentially violate state or federal laws, the matter may be referred to law enforcement agencies for investigation.

Caltech's policies, practices, procedures and the training as described herein are designed to ensure that employees comply with the rules and work practices to make the workplace more secure, and that employees and other members of the Caltech community do not engage in threats or physical actions which perpetrate violence the workplace.

COMMUNICATION WITH EMPLOYEES

We recognize that open, two-way communication between our management team, staff, and other employers, about workplace violence issues is essential to a safe and productive workplace. Caltech communicates in the following ways to facilitate a continuous flow of workplace violence prevention information between management and staff in a form that is readily understandable by all employees:

- Including a briefing on WVPP in New employee orientation;

- Providing training on workplace violence prevention and related training program as described herein;

- Regularly scheduling meetings that address security issues and potential workplace violence hazards;

- Communicating reporting options to employees who experience, witness, or are otherwise concerned about threats or acts of violence, including how employees can report a violent incident, threat, or other workplace violence concern to employer or law enforcement without fear of reprisal or adverse action.

  - Any individual who experiences or observes a threat or act of violence, a weapon on Institute premises or at an Institute activity or program, or any action or threatened action that violates Institute policy or this WVPP must immediately notify Campus Security or JPL Protective Services Division, or law enforcement. An individual at a non-campus or non-JPL location must immediately notify local law enforcement.

    o Campus Security (626) 395-5000

    o JPL Protective Services Division (818) 393-3333

  - If an individual becomes aware of behavior that they find concerning, the individual should notify one of the following individuals or offices:

Employee's Supervisor/Management	
Campus Human Resources – EOD	(626) 395-6382
Dean of Students	(626) 392-6351
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Caltech Hotline	(anonymous) (626) 395-8787 or (888) 395-8787

Note: The Institute will also ensure that supervisors and employees can communicate effectively about the resources and requirements outlined in the WVPP and in the employees' first language.

- Posting or distributing workplace violence prevention information.

- Ensuring that employees will not be prevented from accessing their mobile or other communication devices to seek emergency assistance, assess the safety of a situation, or communicate with a person to verify their safety.

- Communicating with employees who report concerns about the status of any investigation, including the outcome of investigation as appropriate.

- Providing information and resources to employees, as described herein, concerning sexual violence, crime prevention, and emergency preparedness, among other topics, in support of Caltech's commitment to create and maintain a safe, supportive, respectful, and conscientious community for all members of the Caltech community.

- Publishing information and statistics, issuing notifications and warnings and taking other action to ensuring the safety and security of the Caltech community in compliance with its obligations under the Clery Act, including:

  - Publishing an Annual Security Report to highlight campus safety statistics and educational efforts to continually improve safety and violence prevention. The Annual Security Report not only provides crime and fire statistics but also details Caltech's violence-prevention and safety-related services and programs, as well as the resources Caltech has developed to educate and empower employees.

  - Issuing Timely Warnings, as required by the Clery Act, in order to alert the campus community to potentially dangerous criminal situations. Timely Warnings will be made for Clery-reportable crimes in a manner that is timely and intended to aid in the prevention of similar crimes. Examples may include multiple sexual assaults involving date rape drugs; strong arm robbery; or a rash of house burglaries.

  - Installing 30 "blue light" emergency telephones: 27 are on-campus telephones; three are in the Catalina Apartments housing complex. The phones are "push to talk" and connect directly to Security Dispatch, which is staffed 24 hours a day.

  - Developing programs to inform the community about campus security procedures and practices and to encourage the campus community, including faculty and employees, to be responsible for their own safety and that of others. Crime prevention and personal safety tips are distributed periodically throughout the year to students and employees through training sessions and campus events.

  - Posting a Be Alert!" handbook, which has personal and property safety tips, emergency and other important telephone numbers, report procedures, the locations of the Emergency Communications Center and Security office, parking regulations, and a map of the campus showing the locations of the emergency telephone stations.

  - Providing notifications as set forth in Caltech's Emergency Notification policy and the Campus

Emergency Management Plan, upon confirmation of a significant emergency or dangerous situation occurring on the campus that involves an immediate threat to the health or safety of students or employees. Emergency notifications always begin with the words "Caltech Alert." Caltech Alerts are sent using our mass notification provider, Everbridge. Alerts are sent using the following distribution methods: voice calls/messages to landline and mobile phones, emails, and text messages to mobile phones and through the Everbridge app.

COORDINATION WITH OTHER EMPLOYERS

Caltech will implement the following effective procedures to coordinate implementation of its plan with other employers to ensure that those employers and employees understand their respective roles, as provided in the plan.

- All employees will be trained on workplace violence prevention.

- Workplace violence incidents involving any employee are reported, investigated, and recorded.

WORKPLACE VIOLENCE INCIDENT REPORTING PROCEDURE

Caltech has implemented policies and procedures, including the Violence Prevention Policy, the Sex- and Gender-Based Misconduct Policy, and this WVPP requiring that:

- All threats or acts of workplace violence are reported consistent with the provisions of the Institute policy and this plan. Among other things, any individual who experiences or observes a threat or act of violence, a weapon on Institute premises or at an Institute activity or program, or any action or threatened action that violates Institute policy or this WVPP must immediately notify Campus Security or JPL Protective Services Division, or law enforcement. An individual at a non-campus or non-JPL location must immediately notify local law enforcement.

  - Campus Security (626) 395-5000

  - JPL Protective Services Division (818) 393-3333

- If an individual becomes aware of behavior that they find concerning, the individual should notify one of the following individuals or offices:

Employee's Supervisor/Management	
Campus Human Resources – EOD	(626) 395-6382
Dean of Students	(626) 392-6351
Dean of Graduate Studies	(626) 395-6346
Provost Office	(626) 395-6320
Assistant Vice President for Equity and Equity Investigations, Title IX Coordinator	(626) 395-3130
Campus Security	(626) 395-5000
Caltech Hotline	(anonymous) (626) 395-8787 or (888) 395-8787

Caltech policy prohibits retaliation against any faculty, staff, postdoctoral scholar, student, or third party who, in good faith, reports a violation or suspected violation of the Institute Violence Prevention Policy or this WVPP.

EMERGENCY RESPONSE PROCEDURES

Caltech has in place the following specific measures to handle actual or potential workplace violence emergencies:

- Effective means to alert employees of the presence, location, and nature of workplace violence emergencies by various forms of communication.

For example, Caltech Alerts are sent using our mass notification provider, Everbridge. Alerts are sent using the following distribution methods: voice calls/messages to landline and mobile phones, emails, and text messages to mobile phones, emergency notification beacons and through the Everbridge app. In order to receive Caltech Alerts, all members of the Caltech community should ensure that their contact information is up to date in the personal information section of Access Caltech and have downloaded the Everbridge app.

Caltech has installed over a dozen ALERTUS Alert beacons across campus in public-facing spaces to alert visitors and Caltech Community members who may not have their electronic devices with them. They are programmed with Everbridge to activate during Caltech Alerts that involve a threat to life safety. The beacons can be programmed to give off an audible tone, flash strobe lights, and display emergency notifications on the screen.

Additional methods of emergency communication may include messages:

- posted on the Caltech website, Caltech's Facebook page, and/or Caltech's Twitter feed;

- relayed through VHF radio or runners; and/or

- placed in hard-copy form in strategic locations on campus.

- Evacuation or sheltering plans. Evacuation and Lockdown plans are outlined in the Campus Emergency Management Plan (CEMP). Evacuation and lockdown procedures for members of the campus are included in Caltech's emergency response guide which is posted online and in hardcopy format across campus. The procedures are also included in various trainings. Caltech Security is trained on protocols for issuing lockdown and evacuation alerts and facilitation of these actions.

- Information and resources on how to obtain help from staff, security personnel, or law enforcement. All members of the campus community are advised to call Security at x5000 or (626) 395- 5000 to report any emergency or potentially dangerous situation. Members of the Caltech Community who have downloaded the Everbridge 360 App will be able to contact Security through the app without having to dial the number. If a person feels they are in a safety emergency, those with the app can activate an SOS feature, that acts as a mobile panic button.

- Further, there are 30 emergency call boxes on campus that connect directly with Campus Security. When notified of an emergency, Caltech Security will respond, and if needed, notify 911 for a police response.

- In the event of a Caltech emergency that could impact the surrounding community, Campus Security will notify 911 and identify the off campus impacted area, and request assistance with public notification to those outside the Caltech Alert system. Note that public safety administrators at Polytechnic School and Pasadena City College are included in Caltech Alerts. Caltech's Office of Strategic Communications will issue notification on social media and to media outlets.

- Dispatch notifies the Chief of Security, who then activates the Crisis Action and Response Team (CART).

WORKPLACE VIOLENCE HAZARD IDENTIFICATION AND EVALUATION

The following policies and procedures are established and required to be conducted by Caltech to ensure that workplace violence hazards are identified and evaluated:

- Inspections shall be conducted when the plan is first established, after each workplace violence incident, and whenever the employer is made aware of a new or previously unrecognized threat or hazard.

- All submitted/reported concerns of potential risks/hazards are reviewed: Caltech Security takes reports

from all members of the Caltech community, including visitors, guests, parents, third parties, and anonymous reporters. Caltech encourages all members of the community to accurately and promptly report crimes, concerns and emergencies to Security, especially if the victim of a crime elects not to or is unable to make such a report.

- Any individual who experiences or observes a threat or act of violence, or a weapon on Institute premises or at an Institute activity or program must immediately notify Campus Security or law enforcement.

  Caltech also provides the following resources for anonymous reporting:

  - Campus Hotline: (626) 395-8787 or (888) 395-8787
  - Equity and Title IX Office Online Report a Concern Form (complete anonymously)
  - Online Report Form | Equity and Title IX Office (https://www.caltech.edu/)

- Periodic inspections of workplace violence hazards will identify unsafe conditions and work practices. This may require assessment for more than one type of workplace violence. Periodic Inspections shall be conducted on a regular basis.

  Additionally, security officers are authorized to stop and question a person if the security officer (1) has a reasonable suspicion that the person may have committed, may be involved in committing, or may be about to commit an act of violence; (2) believes that the person may be a hazard to themselves, others, or property; or (3) believes that the person should be interviewed to prevent a possible crime. Additionally, security officers provide information and assistance to all members of the Caltech community and its visitors and guests.

  Academic buildings and on-campus undergraduate housing are controlled by electronic card keys. Access to undergraduate housing is controlled 24 hours a day. Security patrols campus buildings and has perimeter cameras on several facilities. Campus buildings are normally locked after 5 p.m. and are unlocked after 5 a.m. Monday through Friday, except for Institute holidays. Patrols of buildings after 5 p.m. ensure that Caltech Security is aware of activity in the building after hours.

  Caltech Security will conduct periodic inspections to identify and evaluate workplace violence and hazards as warranted. Inspections for workplace violence hazards include assessing:

  - The exterior and interior of the workplace for its attractiveness to robbers.

  - The need for violence surveillance measures, such as mirrors and cameras.

  - Procedures for employee response during a robbery or other criminal act, including our policy prohibiting employees, who are not security guards, from confronting violent persons or persons committing a criminal act.

  - Procedures for reporting suspicious persons or activities.

  - Effective location and functioning of emergency buttons and alarms.

  - Posting of emergency telephone numbers for law enforcement, fire, and medical services.

  - Whether employees have access to a telephone with an outside line.

  - Whether employees have effective escape routes from the workplace.

  - Whether employees have a designated safe area where they can go to in an emergency.

  - Adequacy of workplace security systems, such as door locks, entry codes or badge readers, security windows, physical barriers, and restraint systems.

- Frequency and severity of threatening or hostile situations that may lead to violent acts by persons who are service recipients of our establishment.

- Employees' skill in safely handling threatening or hostile service recipients (example: security guards).

- Effectiveness of systems and procedures that warn others of actual or potential workplace violence danger or that summon assistance, e.g., alarms or panic buttons.

- The use of work practices such as the "buddy" system for specified emergency events.

- The availability of employee escape routes.

- How well our establishment's management and employees communicate with each other.

- Access to and freedom of movement within the workplace by non-employees, including recently discharged employees or persons with whom one of our employees is having a dispute.

- Frequency and severity of employees' reports of threats of physical or verbal abuse by managers, supervisors, or other employees. Identification and assessment of any trends.

- Any prior violent acts, threats of physical violence, verbal abuse, property damage or other signs of strain or pressure in the workplace.

- [Other procedures to identify and evaluate workplace violence hazards]

- CARE Team is a multidisciplinary team of professionals and administrators that is available to help students, employees, and other Community members who are in distress. Students and employees may make a referral to the CARE Team to help connect an individual who is struggling with appropriate support and help that person avoid a more significant crisis. The behaviors listed below, especially when more than one are present, may be signs of distress that could lead to self-harm or violence to others:

  - Mood or behavior changes

  - Changes in personal hygiene

  - Social withdrawal

  - Excessive absences from class or lab

  - Disinterest or disengagement in work

  - Increased substance use

  - Talking about death, dying, or suicide

  - Disruptive behavior

  - Aggressive behavior or social media postings

WORKPLACE VIOLENCE HAZARD CORRECTION

Workplace violence hazards will be evaluated and corrected in a timely manner. Caltech will implement the following effective procedures to correct workplace violence hazards that are identified:

- If an imminent workplace violence hazard exists that cannot be immediately abated without endangering employee(s), all exposed employee(s) will be removed from the situation except those necessary to correct the existing condition. Employees integral to correcting the hazardous condition will be provided

with the necessary protection. The Institute may also conduct a full threat assessment inquiry or investigation, by, among other things, convening a Threat Assessment and Management (TAM) team to seek out information from all persons and other sources that may have some information about the person/situation of concern. The sources that the TAM team can contact for information should include persons who interact with the person of concern as well as those who may be in a position to observe the person even if they typically do not interact with the person. The TAM team should gather information from people inside the institution, such as professors, resident advisors, specialty service offices such as Disability Services or Veterans Services and, where advisable and at the strategically appropriate time, the person of concern. Where possible, the team should also gather information from outside the institution, such as from an employer, previous school, community league coach, internet activity, and from family members where advisable.

- Corrective measures for workplace violence hazards will be specific to a given work area.

- Make the workplace unattractive to robbers by:

  - Improving lighting around and at the workplace.

  - Posting of signs notifying the public that limited cash is kept on the premises and that cameras are monitoring the facility.

  - Utilizing surveillance measures, such as cameras and mirrors, to provide information as to what is going on outside and inside the workplace and to dissuade criminal activity.

  - Hiring security guards and have them patrol the workplace interior and perimeter.

  - Installing security surveillance cameras in and around the workplace.

  - Providing workplace violence systems, such as door locks, violence windows, physical barriers, emergency alarms and restraint systems by:

  - Ensuring the adequacy of workplace violence systems

  - Posting emergency telephone numbers for law enforcement, fire, and medical services

  - Controlling, access to, and freedom of movement within, the workplace by non-employees, include recently discharged employees or persons with whom one of our employees is having a dispute.

  - Installing effective systems to warn others of a violent danger or to summon assistance, e.g., alarms or panic buttons.

  - Ensuring employees have access to a telephone with an outside line. Provide employee training/re-training(refreshers) on the WVPP, which could include but not limited to the following:

  - Recognizing and handling threatening or hostile situations that may lead to violent acts by persons who are service recipients of our establishment.

  - Ensuring that all reports of violent acts, threats of physical violence, verbal abuse, property damage or other signs of strain or pressure in the workplace are handled effectively by management and that the person making the report is not subject to retaliation by the person making the threat.

  - Improving how well our establishment's management and employees communicate with each other.

  - Adopting procedures for reporting suspicious persons, activities, and packages.

- Providing/reviewing employee, supervisor, and management training on emergency action procedures.

- Ensuring adequate employee escape routes.

- Increasing awareness by employees, supervisors, and managers of the warning signs of potential workplace violence. [Provide procedures on how to will be accomplished]

- Ensuring that employee disciplinary and discharge procedures address the potential for workplace violence. [Provide procedures on how to will be accomplished]

- Establishing a policy for prohibited practices [describe what those are, such as a no-weapons policy.

- Limiting the amount of cash on hand and use time access safes for large bills.

- Providing procedures for a "buddy" system for specified emergency events.

- [Other procedures for corrective measures for workplace violence hazards]

PROCEURES FOR POST INCIDENT RESPONSE AND INVESTIGATION

After a workplace incident, the WVPP administrator or their designee will implement the following post-incident procedures:

- Visit the scene of an incident as soon as safe and practicable.

- Interview involved parties, such as employees, witnesses, law enforcement, and/or security personnel.

- Review security footage of existing security cameras if applicable.

- Examine the workplace for security risk factors associated with the incident, including any previous reports of inappropriate behavior by the perpetrator.

- Determine the cause of the incident.

- Take corrective action to prevent similar incidents from occurring.

- Record the findings and ensure corrective actions are taken.

- Obtain any reports completed by law enforcement.

- The violent incident log will be used for every workplace violence incident and will include information, such as:

  - The date, time, and location of the incident.

  - The workplace violence type or types involved in the incident.

  - A detailed description of the incident.

  - A classification of who committed the violence, including whether the perpetrator was a client or customer, family or friend of a client or customer, stranger with criminal intent, coworker, supervisor or manager, partner or spouse, parent or relative, or other perpetrator.

  - A classification of circumstances at the time of the incident, including, but not limited to, whether

the employee was completing usual job duties, working in poorly lit areas, rushed, working during a low staffing level, isolated or alone, unable to get help or assistance, working in a community setting, or working in an unfamiliar or new location.

- A classification of where the incident occurred, such as in the workplace, parking lot or other area outside the workplace, or other area.

- The type of incident, including, but not limited to, whether it involved any of the following:

  - Physical attack without a weapon, including, but not limited to, biting, choking, grabbing, hair pulling, kicking, punching, slapping, pushing, pulling, scratching, or spitting.

  - Attack with a weapon or object, including, but not limited to, a firearm, knife, or other object.

  - Threat of physical force or threat of the use of a weapon or other object.

  - Sexual assault or threat, including, but not limited to, rape, attempted rape, physical display, or unwanted verbal or physical sexual contact.

  - Animal attack.

  - Other.

- Consequences of the incident, including, but not limited to:

  - Whether security or law enforcement was contacted and their response.

  - Actions taken to protect employees from a continuing threat or from any other hazards identified as a result of the incident.

  - Information about the person completing the log, including their name, job title, and the date completed.

- Reviewing all previous incidents.

- The Institute may also conduct a full threat assessment inquiry or investigation, by, among other things, convening a Threat Assessment and Management (TAM) team to seek out information from all persons and other sources that may have some information about the person/situation of concern. The sources that the TAM team can contact for information should include persons who interact with the person of concern as well as those who may be in a position to observe the person even if they typically do not interact with the person. The TAM team should gather information from people inside the institution, such as professors, resident advisors, specialty service offices such as Disability Services or Veterans Services and, where advisable and at the strategically appropriate time, the person of concern. Where possible, the team should also gather information from outside the institution, such as from an employer, previous school, community league coach, internet activity, and from family members where advisable.

Ensure that no personal identifying information is recorded or documented in the Violent Incident Log and/or any written notification prepared in connection with any investigation into the workplace incident. This includes information which would reveal identification of any person involved in a violent incident, such as the person's name, address, electronic mail address, telephone number, social security number, or other information that, alone or in combination with other publicly available information, reveals the person's identity.

WVPP TRAINING AND INSTRUCTION

All employees, including managers and supervisors, will have training and instruction on general and job-specific workplace violence practices. These sessions could involve presentations, discussions, and practical exercises. Training and instruction will be provided as follows:

- When the WVPP is first established and rolled out.

- Annually to ensure all employees understand and comply with the plan.

- Whenever a new or previously unrecognized workplace violence hazard has been identified and when changes are made to the plan. The additional training may be limited to addressing the new workplace violence hazard or changes to the plan.

Caltech will provide its employees with training and instruction on the definitions found on page 1 of this plan and the requirements listed below:

- The employer's WVPP, how to obtain a copy of the employer's plan at no cost, and how to participate in development and implementation of the employer's plan.

- How to report workplace violence incidents or concerns to the employer or law enforcement without fear of reprisal.

- Workplace violence hazards specific to the employees' jobs, the corrective measures Caltech has implemented, how to seek assistance to prevent or respond to violence, and strategies to avoid physical harm.

- The violent incident log and how to obtain copies of records pertaining to hazard identification, evaluation and correction, training records, and violent incident logs.

- Opportunities Caltech has for interactive questions and answers with a person knowledgeable about the Caltech plan.

- Strategies to avoid/prevent workplace violence and physical harm, such as:

    - How to recognize workplace violence hazards including the risk factors associated with the four types of workplace violence.

    - Ways to defuse hostile or threatening situations.

- How to recognize alerts, alarms, or other warnings about emergency conditions and how to use identified escape routes or locations for sheltering.

- Employee routes of escape.

- Emergency medical care provided in the event of any violent act upon an employee.

- Post-event trauma counseling for employees desiring such assistance.

EMPLOYEE ACCESS TO THE WRITTEN WVPP

Caltech ensures that the WVPP plan shall be in writing and shall be available and easily accessible to employees, authorized employee representatives, and representatives of Cal/OSHA at all times. This will be accomplished by posting this WVPP on both the main Caltech website (https://www.caltech.edu/) and the Security subpage (https://security.caltech.edu/).

Additionally, whenever an employee or designated representative requests a copy of the written WVPP, we will provide the requester with a printed copy of the WVPP, unless the employee or designated representative agrees to receive an electronic copy. For a printed copy of the WVPP contact Security at (626) 395-4701.

RECORDKEEPING

Caltech will:

- Create and maintain records of workplace violence hazard identification, evaluation, and correction, for a minimum of five (5) years.

- Create and maintain training records for a minimum of one (1) year and include the following:

  - Training dates.

  - Contents or a summary of the training sessions.

  - Names and qualifications of persons conducting the training.

  - Names and job titles of all persons attending the training sessions.

- Maintain violent incident logs for minimum of five (5) years.

- Maintain records of workplace violence incident investigations for a minimum of five (5) years.

  - The records shall not contain medical information per subdivision (j) of section 56.05 of the Civil Code.

- All records of workplace violence hazard identification, evaluation, and correction; training, incident logs and workplace violence incident investigations required by LC section 6401.9(f), shall be made available to Cal/OSHA upon request for examination and copying.

EMPLOYEE ACCESS TO RECORDS

The following records shall be made available to employees and their representatives, upon request and without cost, for examination and copying within **15 calendar days of a request**:

- Records of workplace violence hazard identification, evaluation, and correction.
- Training records.
- Violent incident logs.

REVIEW AND REVISION OF THE WVPP

The WVPP will be reviewed for effectiveness:

- At least annually.

- When a deficiency is observed or becomes apparent.

- After a workplace violence incident.

- As needed.

Review and revision of the WVPP will include the procedures listed in the EMPLOYEE ACTIVE INVOLVEMENT section of this WVPP, as well as the following procedures to obtain the active involvement of employees and authorized employee representatives in reviewing the plan's effectiveness:

- Review of this WVPP should include, but is not limited to:

  - Review of incident investigations and the violent incident log.

- Assessment of the effectiveness of security systems, including alarms, emergency response, and security personnel availability (if applicable).

- Review that violence risks are being properly identified, evaluated, and corrected. Any necessary revisions are made promptly and communicated to all employees. [These revisions could involve changes to procedures, updates to contact information, and additions to training materials.]

- Review employee feedback concerning the plan.

- Other review and revision procedures]

EMPLOYER REPORTING RESPONSIBILITIES

As required by California Code of Regulations (CCR), Title 8, Section 342(a). Reporting Work-Connected Fatalities and Serious Injuries, Caltech will immediately report to Cal/OSHA any serious injury or illness (as defined by CCR, Title 8, Section 330(h)), or death (including any due to Workplace Violence) of an employee occurring in a place of employment or in connection with any employment.

Hampton N. Cantrell
Chief of Campus Security and Parking Services

_____   [Date of Signature]

Violent Incident Log

This log must be used for every workplace violence incident that occurs in our workplace. At a minimum, it will include the information required by LC section 6401.9(d).

The information that is recorded will be based on:

- Information provided by the employees who experienced the incident of violence.
- Witness statements.
- All other investigation findings.

All information that personally identifies the individual(s) involve will be omitted from this log, such as:
- Names
- Addresses – physical and electronic
- Telephone numbers
- Social Security number

[Enter the date the incident occurred (Day/Month/Year)]

[Enter the time (or approximate time) that the incident occurred] a.m./p.m.

Location(s) of Incident [Enter location(s) where the incident occurred]	Workplace Violence Type (Indicate which type(s) (Type 1, 2,3,4) [Enter the workplace violence type(s)

Check which of the following describes the type(s) of incident, and explain in detail:

Note: It's important to understand that "Workplace Violence Type" and "Type of Incident" have separate requirements. **For this part of the log, "Type of Incident" specifically refers to the nature or characteristics of the incident being logged.** *It does not refer to the type of workplace violence.*

___ Physical attack without a weapon, including, but not limited to, biting, choking, grabbing, hair pulling, kicking, punching, slapping, pushing, pulling, scratching, or spitting.
___ Attack with a weapon or object, including, but not limited to, a firearm, knife, or other object.
___ Threat of physical force or threat of the use of a weapon or other object.
___ Sexual assault or threat, including, but not limited to, rape, attempted rape, physical display, or unwanted verbal or physical sexual contact.
___ Animal attack.
___ Other.

_____

_____

Explain: [Provide a detailed description of the incident and any additional information on the violence incident type and what it included. Continue on separate sheet of paper if necessary.]

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Workplace violence committed by: [For confidentiality, only include the classification of who committed the violence, including whether the perpetrator was a client or customer, family or friend of a client or customer, stranger with criminal intent, coworker, supervisor or manager, partner or spouse, parent or relative, or other perpetrator.]

Circumstances at the time of the incident: [write/type what was happening at the time of the incident, including, but not limited to, whether the employee was completing usual job duties, working in poorly lit areas, rushed, working during a low staffing level, isolated or alone, unable to get help or assistance, working in a community setting, or working in an unfamiliar or new location.]

Where the incident occurred: [Where the incident occurred, such as in the workplace, parking lot or other area outside the workplace, or other area.]

Consequences of the incident, including, but not limited to:

- Whether security or law enforcement was contacted and their response.

- Actions taken to protect employees from a continuing threat or from any other hazards identified as a result of the incident.

[Include information on what the consequences of the incident were.]

_____
_____
_____]

{00116109-4}

Were there any injuries? If yes, explain below:

[Indicate here if there were any injuries, if so, provide description of the injuries]

_____

_____

_____]

Were emergency medical responders other than law enforcement contacted, such as a Fire Department, Paramedics, On-site First-aid certified personnel? Yes or No. If yes, explain below:

_____

_____

_____]

Did the severity of the injuries require reporting to Cal/OSHA? If yes, document the date and time this was done, along with the name of the Cal/OSHA representative contacted.

_____

_____

_____

A copy of this violent incident log needs to be provided to the employer. Indicate when it was provided and to whom.

_____

_____

_____

This violent incident log was completed by:

[Name of person completing this log], [Job Title of person completing this log], [Date this log was completed]

[Signature of person completing this log]   confidential
                                              [Date of completion]