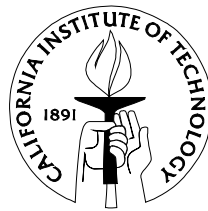


# Postdoctoral Scholars Handbook



*California Institute of Technology*

This handbook summarizes important Caltech principles, policies, and administrative procedures concerning Postdoctoral Scholars and Senior Postdoctoral Scholars. It may be modified from time to time as revisions or additions become necessary.

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# Chapter 1

## Rules and Regulations Concerning Postdoctoral Scholars and Senior Postdoctoral Scholars

### *Purpose of Caltech's Postdoctoral Program*

Postdoctoral and Senior Postdoctoral Scholars (Postdoctoral Scholars) form a vital part of Caltech's research community. Postdoctoral Scholars continue their professional training by engaging in research beyond their Ph.D. training, working under close supervision of one or more Caltech professorial faculty members, to advance human knowledge while adding to their own experience and education. Postdoctoral Scholars also contribute to the education of Caltech undergraduates and graduate students and are introduced to aspects of managing a research program at a high-caliber research institution.

### *Postdoctoral Scholar Status and Purpose of this Handbook*

Postdoctoral Scholars play an essential role in Caltech's research community. Caltech identifies Postdoctoral Scholars as a category distinct from faculty, staff, and students. Postdoctoral scholars are funded by various sponsors. As a result, some are Caltech employees and some are not. There are three types of Postdoctoral Scholar appointments:

1. Postdoctoral Scholar Research Associates perform research under programs supported through Caltech,
2. Postdoctoral Scholar Fellowship Trainees perform independent research funded by external grants or fellowships awarded specifically to support the Postdoctoral Scholar (including those administered by Caltech), and
3. Postdoctoral Scholar Teaching Fellows have teaching responsibilities and pursue their own research programs.

Postdoctoral Scholar Research Associates and Postdoctoral Scholar Teaching Fellows are Caltech employees. They receive a salary from Institute funds (such as grants and department accounts) and are eligible for employee benefits. Postdoctoral Scholars funded through Caltech fellowship programs may be stipend or salary-based.

Postdoctoral Scholar Fellowship Trainees are non-employee appointments. They are paid a stipend from external funds (such as outside fellowships and NSRA training grants). Postdoctoral Scholar Fellowship Trainees are granted access to most Caltech benefit programs.

This handbook provides a comprehensive guide to rules specific to Postdoctoral Scholars at Caltech.

### *Intellectual Independence and Academic Freedom*

Caltech's policy is to help Postdoctoral Scholars develop their potential as independent scholars by providing them important measures of intellectual independence and academic freedom and by providing them appropriate recognition in publications and in other results of their research. In support of this, Caltech provides Postdoctoral Scholars a significant degree of intellectual independence and academic freedom in the performance of their duties, consistent with the research program of the professorial sponsor and Caltech's policies and procedures. However, Postdoctoral Scholars do not lead independent research programs and normally they do not act as principal investigators on grant or contract proposals. Exceptions to this policy require the approval of the relevant Division Chair and the Vice Provost. For more information, see the section on the Office of Sponsored Research in Chapter 7 of the Faculty Handbook.

### ***Academic Policies and Procedures***

Caltech's policies and procedures on academic issues such as technology transfer, responsible conduct of research, and sponsored research apply to the professorial faculty, research faculty, Postdoctoral Scholars, students, and staff. The policies and procedures on academic issues and sponsored research are found in Chapter 7 of the Faculty Handbook.

### ***Patents and Intellectual Property***

All Postdoctoral Scholars are required to sign the Institute's Patent and Copyright Agreement.

Postdoctoral Scholars generally have the same rights and responsibilities concerning patents, copyrights, and royalties as professorial faculty, research faculty, graduate students performing research, and staff. Policies and procedures governing these matters are covered in the Institute's Patent and Copyright Policies.

### ***Access to Data, Programs, and Samples***

Caltech does not place restrictions on the academic activities of Postdoctoral Scholars in their careers after they leave Caltech. If departing Postdoctoral Scholars require access to research data, documentation, computer programs, material samples, biological specimens, or other research materials which they helped develop while at Caltech, the faculty supervisor, Division Chair, and the Vice Provost will negotiate with the departing individual to provide continuing reasonable access to such materials, appropriate for the circumstances and consistent with (1) Caltech's legal requirements to maintain originals of such data and other results, (2) Caltech's rights to protect intellectual property, and (3) any confidentiality provisions associated with the materials. No materials may be removed without approval by the Caltech faculty supervisor, Division Chair, and the Vice Provost.

### ***Educational Programs***

Postdoctoral Scholars cannot take Caltech classes for academic credit but can audit courses free of cost at the Institute with permission of their professorial sponsor and the instructor. Instructions for auditing courses are provided in the Caltech Catalog. In addition, the Institute endeavors to provide occasional, informal programs of direct interest to Postdoctoral Scholars on career-oriented issues such as research funding, grant management, and scientific ethics. Postdoctoral Scholars are not eligible for reimbursement of tuition expenses for classes taken at other colleges and universities.

### ***International Postdoctoral Scholars***

Because of the temporary nature of their appointments, Caltech does not seek permanent residency for Postdoctoral Scholars. Information on this topic is available from Caltech's International Scholar Services.

### ***Appointments and Reappointments***

#### ***Terms***

All appointments must be sponsored or co-sponsored by a member of the professorial faculty and approved by the Division Chairs.

#### ***Fixed Term Appointment***

A Postdoctoral Scholar may be appointed to a fixed term for terms up to three years. A fixed term appointment will terminate at the end of the term unless renewed. Fixed term appointments that are terminated prior to the end of the appointment term will be subject to the notice requirements set forth in the Standards for Notice section herein.

#### ***Renewable Term Appointments***

A Postdoctoral Scholar may be appointed to a renewable term appointment. The initial term of the appointment is one year, renewable annually, for a maximum duration of three years. Two months written notice of renewal/nonrenewal is required prior to the expiration of the current one-year term. If no written notice is provided and the maximum duration is not reached, then the appointment automatically renews. The appointment expires at

the end of the current term with two months written notice. Renewable term appointments that are terminated prior to the expiration of the current term will be subject to the notice requirements set forth in the Standards for Notice section herein.

#### *Renewal of Appointments*

Fixed and renewable term appointments to rank of Postdoctoral Scholar can be renewed up to a maximum of six years. Time served in the ranks of Postdoctoral Scholar and Senior Postdoctoral Scholar combined cannot exceed a maximum of nine years.

#### *Full-Time Commitment*

Due to the intensity of commitment required of Postdoctoral Scholars, the Institute makes such appointments with an expectation that they will devote themselves full-time to the research and education programs they have established with their faculty sponsors. For that reason, Postdoctoral Scholar appointments are made on a full-time basis only. Scholars may hold no other concurrent appointments. In rare circumstances, and only with approval of the faculty sponsor, Division Chair, and Vice Provost, Postdoctoral Scholars may be permitted to take on additional assignments, the activities of which must be consistent with and supportive of their research and education program.

#### *Postdoctoral Scholar (CIT Grad)*

There is professional value for graduate students who obtained their Ph.D. degree at Caltech to pursue their postdoctoral training in other institutions. However, it is not uncommon for graduate students to continue at Caltech for a brief period as a postdoctoral scholar to complete research projects and to seamlessly transition to their new positions. Further, there may be special circumstances where it is in the best professional interest of the candidate to remain at Caltech for their postdoctoral training for longer periods of time. This should be a deliberate decision after having explored options outside Caltech. Therefore, the appointment of candidates who obtained their Ph.D. degree at Caltech to the position of a postdoctoral scholar will be made as follows.

#### Appointment for Postdoctoral Scholar with Caltech Ph.D.

Appointments of postdoctoral scholars who obtained their Ph.D. degree at Caltech for up to one year after the Ph.D. require only Division Chair approval.

#### Reappointment up to three years after Caltech Ph.D.

Reappointments of postdoctoral scholars beyond one year up to three years after the Ph.D. require the following.

1. The appointment request should be made to the division chair at least six months before the end of the one-year appointment. The request should include:
  - Discussion of the postdoctoral scholar's research performance
  - Discussion of the outside options that the candidate has explored and the reason why staying at Caltech is in their best professional interest
  - Discussion of the appointee's long-term career opportunities
  - Internal reference letter and documentation
2. The approval of the division chair
3. A meeting with the Vice Provost responsible for postdoctoral affairs at least five months before the end of the one-year appointment. The Vice Provost will make a recommendation to the Institute Academic Council (IACC) based on the request and the meeting
4. Approval by the IACC

#### Reappointment from three to six years after Caltech Ph.D.

Reappointments of postdoctoral scholars beyond three years up to six years after the Ph.D. require the following.

1. The appointment request should be made to the division chair at least six months before the end of the three-year appointment. The request should include:
  - Discussion of the postdoctoral scholar's research performance

- Discussion of the outside options that the candidate has explored and the reason why staying at Caltech is in their best professional interest
  - Discussion of the appointee's long-term career opportunities
  - Internal reference letter and documentation
2. The approval of the division chair
  3. A meeting with the Vice Provost responsible for the postdoctoral affairs at least five months before the end of the three-year appointment. The Vice Provost will make a recommendation to the Institute Academic Council (IACC) based in the request and the meeting
  4. Approval by the IACC

#### *Promotion to Senior Postdoctoral Scholar*

Postdoctoral Scholars who have held this rank for a minimum of one year may be promoted to the rank of Senior Postdoctoral Scholar. The following documents are required for such appointments: curriculum vitae with publications and supporting memos from the faculty sponsor and Division Chair.

Persons who have held postdoctoral positions for a minimum of one year at other institutions may be appointed directly to the Senior Postdoctoral Scholar rank. For such appointments the following documents are required: curriculum vitae with publications and letters of reference, and memos from the faculty sponsor and Division Chair. The position may be held for a maximum of nine years at the Institute.

#### *Promotion to Research Assistant Professor*

Postdoctoral Scholars or Senior Postdoctoral Scholars may be promoted to Research Assistant Professor. Promotion from either position to Research Assistant Professor requires a divisional committee review that includes three external letters of reference and approval by the IACC.

#### *Salary/Stipend*

Minimum Postdoctoral Scholar salary/stipend is reviewed and determined each year by the Provost with the concurrence of the Institute Academic Council (IACC).

#### *Limitations*

1. Caltech graduate students may be appointed Postdoctoral Scholars for up to one year with Division Chair approval. Any appointment beyond the initial one-year period requires IACC approval for a term of up to two additional years. The total appointment as Postdoctoral or Senior Postdoctoral Scholar cannot exceed three years.
2. Completion of all requirements for a Ph.D. degree or its equivalent is required for all postdoctoral appointments. Candidates who have not completed their Ph.D. may be appointed temporarily to a visiting or non-academic position.

#### *The Standards for Notice*

While it is Caltech's expectation that every individual who receives an appointment as a Postdoctoral Scholar will be successful, there are circumstances when it is necessary to terminate an appointment in advance of its expiration date. Caltech has very high expectations of academic and research performance. In situations where academic or research performance is not at a level acceptable to the Institute, notice to a Postdoctoral Scholar subject to termination of an appointment prior to its expiration date is given in writing in accordance with the following standards:

1. For those who have been employed by Caltech for less than a year, the advance notice shall be three months;
2. For those who have been employed by Caltech at least one year but less than two years, the advance notice shall be six months, and
3. Those with two or more years at Caltech shall receive notice or such termination at least one year in advance.

In cases where termination of an appointment is for reasons involving academic or non-academic misconduct, termination may be immediate and without prior notice.

#### *Processes and Communication*

A faculty sponsor normally initiates a Postdoctoral Scholar's appointment or reappointment by submitting a nomination to the appropriate Division Chair. If the Division Chair approves the nomination, it is sent to Scholar and Staff Services in the Human Resources Department for processing.

Appointments and reappointments are communicated to each individual concerned by means of an official letter signed by the President or Vice Provost. The recipient must sign and return an acceptance copy to Scholar and Staff Services before the appointment can be effective.

#### *Completion of Postdoctoral Scholar Appointments*

Postdoctoral Scholars who complete their appointment in good standing will receive certificates, upon request, signed by their faculty sponsor, showing the start and end dates of their research experience (minimum of six (6) months) and a statement that the scholar has completed the period in good standing.

#### *Teaching at Caltech*

Postdoctoral Scholar Teaching Fellows teach as a part of their usual duties.

In rare circumstances, Postdoctoral Scholar Research Associates may assist with teaching under the following conditions with the approval of the faculty sponsor, Division Chair, and Vice Provost:

1. The effort requires special skills that are uniquely associated with the postdoctoral scholar,
2. The effort should be limited to a few hours a week for no more than one term,
3. The effort adds to the professional development of the postdoctoral scholar,
4. The postdoctoral scholar receives additional compensation commensurate with the effort (and drawn from non-research sources).

Also in rare circumstances, Postdoctoral Scholar Research Associates may independently teach a course with the approval of the faculty sponsor, Division Chair, Vice Provost, and Provost. A concurrent appointment as Lecturer is required and the Postdoctoral Scholar Research Associate receives additional compensation commensurate with the effort (and drawn from non-research sources).

Postdoctoral Scholar Fellowship Trainees cannot teach at Caltech unless it is explicitly required by their external funding.

#### *External Teaching, Consulting, and Professional Activities*

Due to the level of commitment required of Postdoctoral Scholars, Caltech makes such appointments with an expectation that Postdoctoral Scholars will be devoted full-time to the research and teaching program they have established with their faculty sponsors. For that reason, Postdoctoral Scholar appointments are made on a full-time basis only. Scholars typically hold no other concurrent appointment(s) with outside entities. External teaching, consulting, and significant participation in other outside professional activities, may be allowed, on a case by case basis, provided the consulting activity (1) is limited in time and scope, (2) does not interfere with Caltech duties, (3) is disclosed and approved through the Caltech Conflict of Interest (COI) disclosure system, and accompanied by an approved Request for Outside Activity form signed by the professorial sponsor, (4) does not constitute a conflict of interest. Consulting for an organization in which the professorial sponsor has a significant involvement or significant financial interest requires a written research management plan by the faculty member and the approval of the Division Chair and the Vice Provost. When permitted, such activities are governed by applicable Caltech policies, administrative procedures, and personnel memoranda.

#### *Benefits*

The Benefits Office on campus is a component of Caltech's Human Resources Department and is responsible for the administration of the Caltech benefits program. Postdoctoral Scholars are eligible to participate in most plans available to Benefit-Based Employees and their Dependents. Premium cost sharing by Caltech (Caltech contribution) is provided to individuals who receive a salary from Caltech. Postdoctoral Scholars receiving a stipend from a Caltech fellowship program or who are funded directly from an outside funding source have access to Caltech's health, dental, vision, personal accident, medical evacuation and repatriation insurance plans. In some cases, a scholar's outside grant or fellowship may include funding for benefits coverage. To the extent that a Postdoctoral Scholar's outside grant or fellowship does not provide funding that covers the Caltech contribution for health, vision and dental coverage, the sponsoring faculty member will be responsible for funding all or any portion of the Caltech contribution not covered.

The benefit details are available through the MyBenefits link at <http://access.caltech.edu>

#### *Retirement Plan*

Postdoctoral Scholars who have qualifying earnings (i.e., W-2 wages) will be eligible for participation in the Institute Base Retirement Plan. Participation will begin on the first of the month coincident with or following the date of hire. Additional plan details are available at <https://hr.caltech.edu/departments/total-rewards/benefits#postdoctoral-scholars>

#### *Paid Leave*

Vacation. Postdoctoral Scholar Research Associates and Postdoctoral Scholar Teaching Fellows are entitled to up to a maximum of 21 days of vacation per year (in addition to Caltech holidays) after having completed nine months of service; thereafter, they will be entitled to a maximum of 21 days of vacation per calendar year. Each January 1 of the calendar year, Postdoctoral Scholars are credited vacation not to exceed 21 days. Postdoctoral Scholars may not receive nor have a balance of more than 21 days of vacation at any time. Any midyear hires or newly eligible Postdoctoral Scholars are awarded with vacation not to exceed 21 days for that calendar year. Vacation time must be scheduled with and documented by the faculty sponsor. Unused vacation will be paid at the time of termination.

The availability of paid vacation for Postdoctoral Scholar Fellowship Trainees depends on their funding arrangement.

Sick Leave. Postdoctoral Scholar Research Associates and Postdoctoral Scholar Teaching Fellows receive 15 days of paid sick leave per year. A Postdoctoral Scholar's sick leave balance does not accrue, nor is it payable upon termination. The availability of paid sick leave for Postdoctoral Scholar Fellowship Trainees depends on their funding arrangement. Sick time is based on calendar year regardless of anniversary hire date.

#### *Leaves of Absence*

##### Pregnancy Leave.

5. Postdoctoral Scholar Research Associates and Postdoctoral Scholar Teaching Fellows are entitled to a minimum 8-weeks paid leave of absence for pregnancy-related disability with reinstatement guaranteed unless the position ceases to exist. During such periods, the Institute will continue its contribution toward medical insurance coverage for Postdoctoral Scholars receiving salary or stipends from Caltech. Caltech complies with California's Pregnancy Disability Leave Act. The availability of 8-weeks paid pregnancy leave for Postdoctoral Scholar Fellowship Trainees depends on their funding arrangement.
6. Postdoctoral Scholars of any type are entitled to up to 12 weeks per year of unpaid family care leave after completion of required service (as defined by the Family Medical Leave Act) at Caltech. During such periods of absence, the Institute will continue its contributions toward medical insurance coverage. Family care leave is permitted in connection with birth or adoption of a child, placement of a foster child, or serious illness of the scholar or the scholar's spouse or registered domestic partner, child, or parents. Reinstatement is guaranteed, unless the position ceases to exist for reasons unrelated to the leave.

Parental Leave. Caltech will provide up to eight (8) weeks of paid parental leave to Postdoctoral Scholar Research Associates and Postdoctoral Scholar Teaching Fellows following the birth of an employee's child or the placement of a child with an employee in connection with adoption or foster care. The purpose of paid parental leave is to



enable the employee to care for and bond with a newborn or a newly adopted or newly placed child. Paid parental leave may be used during a pregnancy disability leave, but not to exceed a total of 8 weeks. This policy will run concurrently with Family and Medical Leave Act (FMLA) leave, California Pregnancy Disability Leave (CA PDL), California Family Rights Act (CFRA), Washington Paid Family and Medical Leave Program (WPFML), and any other federal or state mandated leave as applicable. The availability of paid parental leave for Postdoctoral Scholar Fellowship Trainees depends on their funding arrangement.

Other Paid and Unpaid Leave. Postdoctoral Scholars may be entitled to other paid and unpaid leave and time away, for instance, Personal Leave, Medical Leave, Intermittent Leave, Family Care Medical Leave, and Military Leave. Please refer to: <http://hr.caltech.edu/departments/disability-and-leave-administration-unit>

### ***Tuition Exemption***

Children of Postdoctoral Scholars may attend the Institute as undergraduate students without payment of the tuition fee, subject to the following provisions:

1. The parent must be a full-time, benefit-based Caltech employee.
2. Each child must satisfy the regular entrance requirements of the Institute, whether for admission to the freshman class or to one of the upper classes by transfer from another institution of college rank;
3. Each child must maintain standards of scholarship and conduct considered satisfactory by the deans;
4. The children of eligible parents will continue to be eligible if the parent remains at the Institute and: retires under an established Institute retirement plan, or is on an approved paid leave of absence, or dies;
5. If a parent, whose children are receiving tuition benefits, ceases to be eligible for reasons other than retirement, being on an approved paid leave, or death, such tuition benefits shall cease; and
6. Children of employees may complete the term they are currently enrolled in if their eligible parent is on leave of absence without salary.

Children are defined as natural born, legally adopted, stepchildren, living at the same address as the employee, and foster children, provided that foster children have been living in the home of an employee, or have been supported primarily by the employee for at least three (3) years immediately prior to registration at the Institute.

Eligibility for tuition exemption does not exclude such undergraduate students from consideration, on the same basis as other undergraduates, for cash grants, which may be made to students of high scholastic standing upon demonstration of financial need.

### ***Scholar Services Office***

The Scholar Services office located in the Human Resources Department facilitates all on-boarding and administrative needs for Postdoctoral Scholars. Further details can be found at <http://hr.caltech.edu/departments/scholar-and-staff-services>

### ***Caltech Postdoctoral Scholars Office***

The Caltech Postdoctoral Scholars Office under the direction of the Vice Provost serves as a resource for Postdoctoral Scholars. Further details can be found at <http://postdoc.caltech.edu>

### ***Caltech Postdoctoral Studies Committee***

The Caltech Postdoctoral Studies Committee is chaired by the Vice Provost and comprises Faculty Representatives for Postdoctoral Affairs from each Division and representatives from Human Resources and the Caltech Postdoctoral Association. This committee meets quarterly to discuss issues related to Postdoctoral Scholars.

### ***Caltech Postdoctoral Association***

The Caltech Postdoctoral Association (CPA) is an affiliated group of Postdoctoral Scholars that seeks to foster a sense of community. Further details can be found at <http://cpa.caltech.edu>

### ***Conflict of Interest***

It is the policy of the Institute to avoid conflicts of interest and conflicts of commitment. There is a possibility of conflict of interest and commitment when a Postdoctoral Scholar engages in outside activities in addition to his or her work at Caltech. In such a conflict, obligations to Caltech take priority. Further details are to be found in Caltech's Conflict of Interest Policy.

### ***Problem Resolution for Work-Related Concerns, not Covered by a Caltech or Administrative Policy or Procedure***

A Postdoctoral Scholar who has a serious, work- or research-related complaint, that is not covered by an existing Institute or Administrative Policy or Procedure (<http://policies.caltech.edu>) should, if possible, first seek informal resolution of the problem through discussion with the faculty sponsor, Division faculty representative for Postdoctoral Affairs or Division Chair. In addition, Postdoctoral Scholars with serious, work- or research-related concerns may also contact the Director of Employee and Organizational Development in Caltech's Human Resources Department, the Director of Research Compliance, the Vice Provost, or the Scholar and Staff Services Office.

Should the Postdoctoral Scholar wish to pursue a more formal complaint procedure, the Problem Resolution Policy and Process for Campus Staff and Employees at JPL will be followed, with the following modifications: The faculty sponsor fulfills the role of the immediate supervisor, and if the faculty sponsor is not appropriate, the Division Chair should fill this role. The appropriate Vice Provost will fill the role of Human Resources and appeals will be made to the Provost rather than to the Associate Vice President or Director for Human Resources.

### ***Other Resources***

All Postdoctoral Scholars are expected to comply with all required institutional policies and procedures, as applicable.

The following policies can be found at <https://www.hr.caltech.edu/resources/institute-policies>

- Acceptable use of Electronic Information and Computing Resources
- Compliance with Export Laws and Regulations
- Conflicts of Interest
- Disability and Reasonable Accommodation
- Environmental Health, and Safety
- Nondiscrimination and Equal Employment Opportunity
- Sex- and Gender-Based Misconduct
- Substance Abuse
- Unlawful Harassment and Abusive Conduct
- Violence Prevention
- Whistleblower Policy

Faculty administrative policies and procedures can be found in Chapter 7 of the Faculty Handbook at [http://provost.caltech.edu/documents/2495/Chapter\\_7.pdf](http://provost.caltech.edu/documents/2495/Chapter_7.pdf)

Other policies can be found at <http://policies.caltech.edu>