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3R KLELWHG VH[XDOF QDGBVVENQWLV QRW OLPLWHG WR XQZHOFRPH VH[XDO I
 XQZDQWHG YHUEDO YLVXDO RU SK\VLFDQ FRQGXFWR RI D VH[XDO QDWXUH P
 HGXFDWLRQDO VHWWLQJ ZKHQ (GXFDWLRQ &RGH *RYHUQPHQW &RGH

6XEPLVVLRQ WR WKH FRQGXFWR LV PDGH H[SOLFLWO\ RU LPSOLF

6XEPLVVLRQ WR RU UHMHFWRQ RI VXFK FRQGXFWR E\ WKHFWLQGL
 KLP KHU

7KH FRQGXFWRWIKBW WKKDYLCSRDHQRUUDMLYH LPSDFW XSRQ WKFHWL
 FUHDWLQJ DQ LQWLPHGDWMLQZRKRIVMQLYHU RQPRQW 5HJDUGOHVV RI ZKHV
 VH[XDO GHVLUH WKKHFRQGXFWRWLVH VXS HUVLVWHQWL YSHDYDWR YHUHFDWRRED
 ZRUNLQJ HQYLURQPHQW RU WR OLPLW WKH LQGLYLGXDO V DELOLW\ WR

6XEPLVVLRQ WR RU UHMHFWRQ RI WKH FRQGXFWR EHFWKLRWIKPH
 UHJDUGLQJ EHQHILWV VHUylfHV KRQRUV SURJUDPV RU DFWLYLWLHV

2WKHU H[DPsoHV RI DFWLRQV WKDW PLJKW FRQVWLWXWHFRHZRQDQKUDQV MPE
 ZRUN RU HGXFDWLRQDO VHWWLQJ LQFOXGH EXW DUH QRW OLPLWHG WR

8QZHOFRPH YHUEDO FRQGXFWR VXFK DV VH[XDO IOLUWDWLRQV R
 SHUVRQDO FRQYHUVDWLRQV RU SUHVXUH IRU VH[XDO DFWLYLW\ VH[XI
 GHURJDWRU\ FRPPHQWV VH[XDOO\ GHJUDGLQJ GHVFULSWLRQV RU WKH

8QZHOFRPH YLVXDO FRQGXFWRWLVXRK D VGVXZHQJWH\$LFWUXH[SQI
 VXJJHVWLYH REMHFWV

8QZHOFRPH SK\VLFDQ FRQGXFWR VXFK DV PDVVDJLQJ JUDEELQJ
 ERG\ RU FORWKHV LQ D VH[XDO ZD\ FURLEBHGQQJ EORFNLOJ P ROYHIDQVVR

7UDLQLQJ

7KH 6XSHULQWHQGHQW RU GHVLJQH V KDOO HQVXUH WKDW DOO HPSOR\HHV
 DQG SHULRGLFDQXKWKHIDHOLWLVV KDOO LQFOXGH WKH SURFHGXUHV IRU UHS
 HPSOR\HHV GXW\ WR XVH WKH GLVWULFW V FRPSODLQW SURFHGXUHV DQG
 PDGH WR WKH HPSOR\HH

FI 8QLRUPRFRPSQDLQW 3U
 FI 1RQGLVFULPLQDWLRQ LQ (PSOR\PHQW
 FI 6H[XDO +DUDVVP HQW

(YHU\ WZR \HUV WKH 6XSHULQWHQGHQW RU GHVLJQHH VKDOO HQVXUH WKI
HIIHFWLYH LQWHUDFWLYH WUDLQLQJ DQG HGXFDWLRQ UHJDUGLQJ VH[XDO KD
ZLWKLQ VL[PRQWKV RI WKHLU DVVXPSWLRQ RI WKH QHZ SRVLWLRQ *RYHU



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7KH *RYHUQLQJ %RDUG EHOLHYHV WKDW WKH PDLQWHQDQFH RI VWXGKJQV DQG
HQVXUH D SURGXFWLYH DQG VDIH ZRUN DQG OHDUQLQJ HQYLURQPHQW

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FI 'UXJ DQGLWLOFJRKRRO 67KRRO %XV 'ULYHUV

\$Q HPSOR\HH VKDOO QRW XQODZIXOO\ PDQXIDFWXUH GLVWULEXWH GLVSHC
&RGH 86&

(PSOR\HHV DUH SURKLELWHG IURP EHLQJ XQGHU WKH LQIOXHQFH RI RYHURV
GXWHDQV ZKLOH DQ HPSOR\HH LV RQ GXW\ GXULQJ ERWK LQVWUXFWLRQDO I
RU FRFXUULFXODU DFWLYLWLHV RU ZKLOH WUDLQJ RYHURV RYHURV RYHURV

7KH GLVWULFW V SROLF\ RI PDLQWDLQLQJ D GUXJ IUHH ZRUNSO
YDL\$ODEOH GUXJ FRXQVHOLQJ UHKDELLOLWDWLRQ DQG HPSOR\HH I
FI (PSOR\HRJ\$VPLWWDQFH 3U
7KH SHQDOWLHV WKDW PD\ EH LPSRVHG RQ HPSOR\HHV IRU GUX

/HJDO HGFHHU

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&RQVCHG VXEVDQFH RIIHQVH

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(PSOR\PHQW RI FHUWLILFDVROGSGUAXFQWDRQMLRWHHGVNFRQWU

&RPSXOVRU\ OHDYH RI DEVHQFH IRU FHUWLILFDWHG SHUVRQV

BEHGXZKHQ HPSOR\HRJ\$VPLWWDQFH FRPSXOVRU\ OHDYH RI DEVHQFH

(PSOR\PHQW DIWHURGRGLVXLVRODRIFRQVHW

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7LWOH 121',6&5,0,17,21 ,1 (02k0(17
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\$GRSWHG)HEUXDU\

7KH *RYHUQLQJ %RDUG LV GHWHUPLQHG WR SURYLGH GLVWULFW HPSOR\HHV
IXOO DQG HTXDO HPSOR\PHQW DFFHVV DQG RSSRUWXQLWLHV SURWHFWLRQ
UHWULEXWLRQ IRU DVVHUVLQJ WKHLU ~~7KH %RDUG VS URWK KMLWVQGD FFWLGF DQHF~~
RU KDUDVVLQJ DQ\ RWKHU GLVWULFW HPSOR\HH RU MRE DSSOLFDQW ~~ROD WKI~~
RULJLQ ~~DQFHVADULWDO VADWKFVDSURHJQPHQDGDGLVBRDGLWLRQ~~ JHQHWLF LQ
VWDWXV JHQCCHULGHQWLW\



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3HULRGLFDOO\ UHYLHZ WKH GLVWULFW V UHFUXLWPHQW KLULC
SULYLOHJHV RI HPSOR\PHQW WR HQVXUH GLVWULFW FRPSOLDQFH ZLWK

&RPSODRQWEXU

\$Q\ FRPSODLQW E\ DQ HPSOR\HH RU MRE DSSOLFDQW DOOHJLQJ GLVFULPLQI
SURFHGXUHV

1RWLFH DQG 5HFHLS\$VFRPSODLQDWZKR LV DQ HPSOR\HH VKDQHS
LI WKH VXSHUYLVRU LV WKH SHUVRQ DJDLQVW ZKRP WKH HPSOR\HH LV
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WR UHVROYH WKH VLWXDWLRQ LQIRUPDOO\ ZLWK KLV KHU VXSHUYLVRU

\$ VXSHUYLVRU RU PDQDJHU ZKR KDV UHFHLYHG LQIRUPDWLRQ
VXFK DQ LQFLGHQW VKDOOZKSHUHW RW WRWWWKFRPSODLQDW ILOHV

7KH ZULWWHQ FRPSODLQW VKRXOG FRQWDLQ WKH FRPSODLQDQW
GHVFULSWLRQ RI WKH LQFLGHQW WKH GDWH DQG ORFDWLRQ ZKHUH WK
RWKHU HYLGHQFH RI WKH GLVFULPLQDWLRQ RU KDUDVVPHQW DQG DQ\
UHVROYLQJ WKH FRPSODLQW

FI 1RQGLVFULPLQDWLRQ DQG \$FWLVLWLVHUV
FI 5HDVQRQEOH \$FFRPPRGDWLRQ
FI 6H[XDO +DUDVVPHQW

,QYHVWLJFMVWKERRUGLQDWRU VKDOO LQLWLDWH DQ LPSDUWLDO
KDUDVVPHQW ZLWKLQ ILYH EXVLQHVV GD\ RU GHHVWLQJZKGRWHEHDRZULI
ZKHWKHU WKH ZULWWHQ FRPSODLQW LV FRPSOHWH

7KH FRRUGLQDWRU VKDOO PHHW ZLWK WKH FRPSODLQDQW WR
VRXJKW E\ WKH FRPSODLQDQW LQ UHVSQVH WR WKH DOOHJDWLRQ 7KI
FRQILGHQWLDO WR WKH H[WHQW SRVVLEOH EXW WKDW VRFWLYCHLQDWH

FI 'LVWULFW 5HFRU
FI 3HUVRQQHO)LOHV
FI 8QDXWKRULJHG 5HOHDVH RI &RQILGHQWLDO 3ULYLOHJH

,I WKH FRRUGLQDWRU GHWHUPLQHV WKDW VGHWDLOCEHDEW V
LPPHGLDWHSDUW RI WKLV LQYHVWLJDWLRQ WKH FRRUGLQDWRU VKRXOG
ZKR FRXOG EH H[SHFWHG WR KDYH UHOHYDQW LQIRUPDWLRQ

:KHQ QHFHVVDU\ WR FDUU\ RXW KLV HQFRUGLQDWRU RDU V
ZLWK WKH 6XSHULQWHQGHQW RU GHVLJQHH GLVWULFW OHJDO FRXQVH

7KH FRRUGLQDWRU DOVR VKDOO GHWHUPLQH ZKHWKHU LQWHUI
WDNHQ EHIRUH WKH LQYHVWLJDWLRQ LV FRPSOHWHHBRHGLQDWRUHWKDW
LQWHULP PHDVXUHV GR QRW FRQVWLWXWH UHWDOLDWLRQ

: ULWWHQ 5HSRUW RQHFLVGLH \$FRDQGRWKDQ EXVLQHVV GD\ DIW
FRRUGLQDWRU VKDOO FRQFOXGH WKH LQYHVWLJDWLRQ DQG SUHSDUH E
FDXVH ,I DQ H[WHQVLRQ LV QHHGHG WKH FRRUGLQDWRU VKDOO QRWLI

7KH UHSRUW VKDOO LQFOXGH WKH GHFLVLRQ DQG WKH UHVRQ
LQYHVWLJDWLRQ ,I D GHWHUPLQDWLRQ KDV EHHQ PDGH WKDW GLVFUL
FRUHFVLYH DFWLRQ V WKDW KDYH EHHQFRUWHZHWREHWHNFRPSODLQDQW
UHWDOLDWLRQ RU IXUWKHU GLVFULPLQDWLRQ RU KDUDVVPHQW GRHV Q

7KH UHSRUW VKDOO EH SUHVHQWHG WR WKH FRPSODLQDQW W

\$SSHDO WR WKH *RYHUQERPSODLQW RU WKH SHUVRQ DFFXVHG PE
EXVLQHVV GD\ V RI UHFHLYLQJ WKH ZULWWHQ UHSRUW RI WKH FRRUGLQ
ZLWK DOO LQIRUPDWLRQ SUHVHQWHG GXULQJ WKH LQYHVWLJDWLRQ 8:
SUDFWLFDEOH \$Q\ FRPSODLQW DJDLQVW D GLVWULFW HPSOR\HHV%KDD
UHQGHU LWV GHFLVLRQ ZLWKLQ EXVLQHVV GD\ V

FI &RPSODLQWV &RQFHUQLQJ 'LVWULFW (PSOR\HHV
FI &ORVHG 6HVVLQR 3XUSRVHV DQG \$JHQGDV

2WKHU 5HPHGLHV

,Q DGGLWLRQ WR ILOLQJ D GLVFULPLQDWLRQ RU KDUDVVPHQW FRPSODLQW ;
'HSDUWPHQW RI)DLU (PSOR\PHQW DQG +RXVLQJ ')(+ RU WKH (TXDO (PSOR\
ILOLQJ VXFK FRPSODLQWV DUH DV IROORZV

R ILOH D YDOLG FRPSODLQW ZLWK ')(+ ZLWKLQ RQH \HDU RI WKH D
WR *RYHUQPHQW &RGH

R ILOH D YDOLG FRPSODLQW GLUHFWO\ ZLWK ((2& ZLWKLQ GD\ V

R ILOH D YDOLG FRPSODLQW ZLWK ((2& DIWHU ILUVW ILOLQJ D FRP:
DFW V RU ZLWKLQ GD\ V DIWHU WKH WHUPLQDWLRQ RI SURFHHLQJV



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7KH *RYHUQLQJ %RDUG UHFRJQLJHV WKDW WHFKQRORJHUHQDEOHUHVXWRRQVHQH
D TXDOLW\ LQVWUXFWLRQDO SURJUDP IDFLOLWDWLQJ FRPPXQLFDWLRQV ZL
VFKRRO RSHUDWLRQV DQG LPSURYLQJ DFFHVV WR DQG H[FKDQJH RI LQIRUP
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FI 'LVWULFW 3ODQ
FI &RPPXQLFDWLRQ ZLWK WKH 3XEOLF
FI 'LVWULFW DQG LQVWUXFWLRQ :
FI 'LVWULFW 6RFDUHQGLD
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FI 6WDII 'HYHORSPHQW
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(PSOR\HHV VKDOO EH UHVSQVLEOH IRU WKH DSSURSULDWH XVH RI WHFKQR
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FI RIHWLRQDO 6WDQGDU
FI 8QDXWKRULJHG 5HOHDVH RI &RQILGHQWLDO 3ULYLOHJH
FI 3ROLWLFDO \$FWLYLWLHV RI (PSOR\HHV
FI 6WXGMQW 5HFRU
FI 5HOHDVH RI LQIRUPDWLRQ
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'LVWULFWRQJXGHV EXW LV QRW OLPLWHG WR FRPSXW @ 0SH÷ ` u` P€0p ð

+DUPIXO PDWWHU



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 6WDWXV \$FWLY
 \$GRSWHG)HEUXDU\

7KH *RYHUQLQJ %RDUG DFFHSWV UHVSQRVLELOLW\ IRU SURYLGLQJ D PHDQV
 %RDUG GHVLUHV WKDW FRPSODLQWV EH UHVROYHG H[SHGLWLRXVO\ ZLWKRX
 7KH 6XSHULQWHQGHW RU GHVLJQHH VKDOO GHYHORS UHJXODWLRQV ZKLFK
 DESSURSHU DQVWDELOLW\ FRQWUROV FRQWV V K D G O P S U R V L M F W + W K H p U L J K W V R I L Q Y R O Y H G
 QRW UHVROYHG

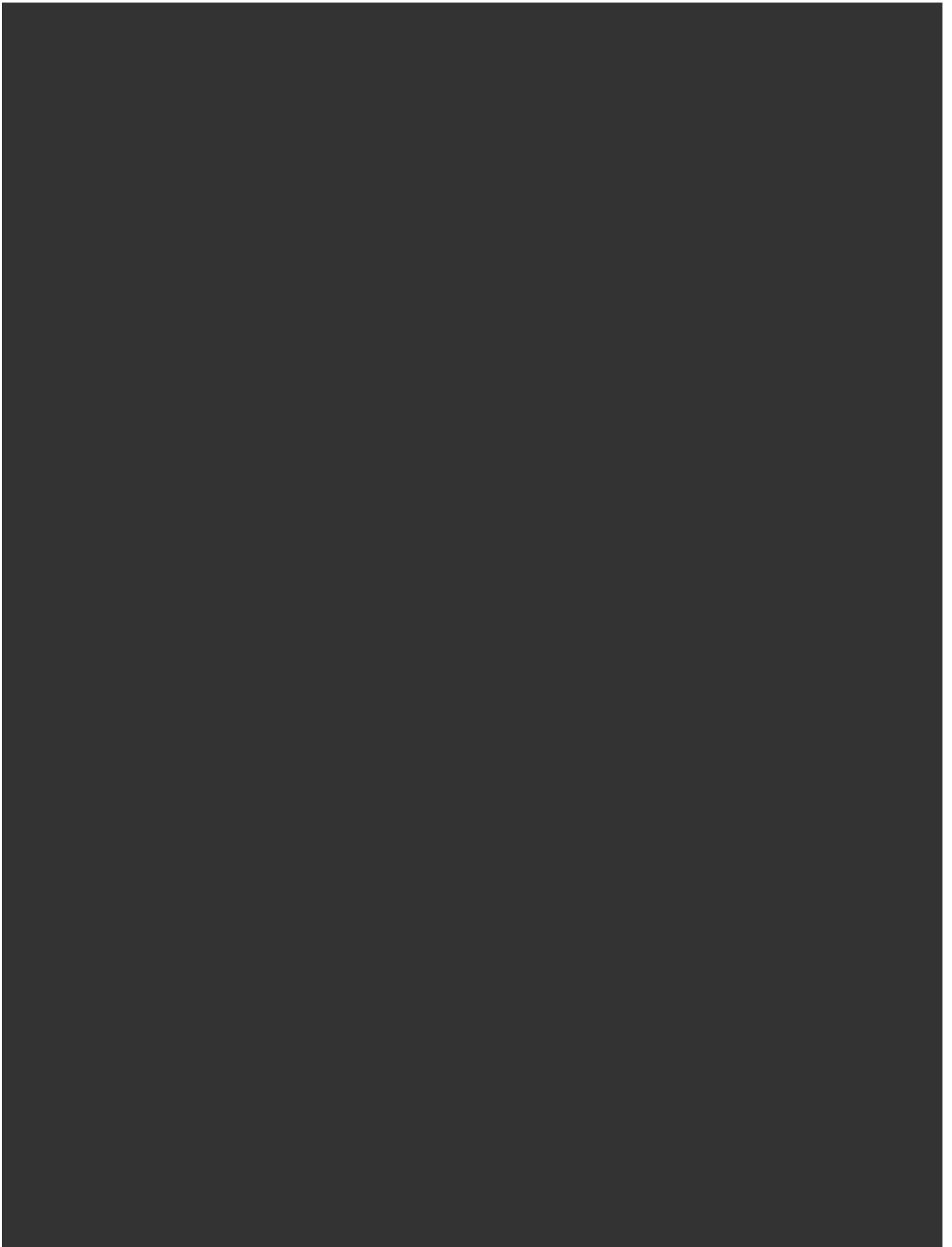
FI &RPSODLQWV &RQFHUQLQJ ,QVWUXFWLRQDO 0DWHULDQV
 FI 8QLRUPR&FRPSODLQW 3U
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7KH %RDUG SURKLELWV UHWDOLDWLRQ DJDLQVW FRPSODLQDQWV 7KH 6XS
 FRQILGHQWLDO H[FHSW WR WKH H[WHQW QHFHVVDU\ WR LQYHVWLJDWH WKH
 GHVLUHV

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*XLGHORRQHFRQSUOLQJ FKLOG DEXVH FRPSODLQWV
 &ORVHG VHVVLQV
 3HÀpRQQHO ILOH FRQWHQWV DQG LQVSHFWLRQ
 'LVUXSWLRQ RI SXEOLF VFKRRO DFWLYLWLHV
 LOQV ÀpÄJD 0` p€



D 7KH IXOO QDPH RI HDFK HPSOR\HH LQYROYHG

E \$ EULHI EXW VSHFLILF VXPPDU\ RI WKHFERS\OWRQWQDQJ W
SDUWLHV DV WR WKH SUHFLVH QDWXUH RI WKH FRPSODLQW DQG WI

F \$ FRS\ RI WKH VLJQHG RULJLQDO FRPSODLQW

G \$ VXPPDU\ RI WKH DFWLRQ WDNHQ E\ WKH 6XSHULQWHQGH
SUREOHP KDV QRW EHHQ UHVROYHG DQG WKH UHDVQRV

7KH %RDUG PD\ XSKROG WKH 6XSHULQWHQGHQW V GHFLVLRQ ZL

\$OO SDUWLHV WR D FRPSODLQW PD\ EH DVNHG WR DWWHQG D %
HYLGHQFH

\$ FORVHG VHVLRQ PD\ EH KHOG WR KH DU WKH FRPSODLQW LQ D

FI &ORVHG 6HVLRQ 3XUSRVHV DQG \$JHQGDV

FI 0HHWLQJ &RQGXFV

7KH GHFLVLRQ RI WKH %RDUG VKDOO EH ILQDO

\$Q\ FRPSODLQW RI FKLOG DEXVH RU QHJOHFW DOOHJHG DJDLQVW D GLVWUL
ZLWK ~~OR~~DUG SROLF\ DQG DGPLQLVWUDWLYH UHJXODWLRQ

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7KH *RYHUQLQJ %RDUG LV FRPPLWWHG WR VXSSRUWLQJ WKH VDIHW\ DQG ZH
UHVSRQVH WR FKLOG DEXVH DQG QHJOHF 7KH 6XSHULQWHQGHQW RU GHV
SURPSWO\ UHSRUWLQJ NQRZQ RU VXVSHFWHG FKLOG DEXVH DQG QHJOHF

+RPHOHVVQHV V RU FODVVLILFDWLRQ DV DQ XQDFFRPSDQLHG PL

0DQGDWHG UHSRUWHU\XGH EXW DUH QRW OLPLWHG WR WHDFKHUV LQVWUXFWLRQ
SXSLO SHUVRQQHO HPSOR\HHV RDG\XSHUWLDUWLYRIRAKLOG DWWHQGDQFH D'
DGPLQLVWUDWRUV DQG HPSOR\HHV RI D OLFHQVHG FKLOG GD\FFDUMH IDLFLHQV
KHDOWK FDUH SURYLGHUV DQG DGPLQLVWUDWRUV SUHVHQWHUV DQG FRX'

5HDVRQDEOH\XSHUWLDUWLYRIRAKLOG LW LV REMHFWLYHO\ UHDVRQDEOH IRU D SHUVRQ
UHDVRQDEOH SHUVRQ LQ D OLNH SRVLWLRQ GUDZLQJ ZKHQ DSSURSULDWH I
UHDVRQDEOH\XSHUWLDUWLYRIRAKLOG HTXLUH FHUWDLQW\ WKDW FKLOG DEXVH RU QHJOHF
FKLOG DEXVH RU QHJOHF 3HQDO &RGH

5HSRUWDEOH 2IIHQVHV

\$ PDQGDWHG UHSRUWHU VKDOO PDNH D UHSRUW\XSHUWLDUWLYRIRAKLOG OS I
RI KLV KHU HPSOR\PHQW KH VKH KDV NQRZOHGJH RI RU REVHUYHV D FKLOG
YLFWLP RI FKLOG DEXVH RU QHJOHF 3HQDO &RGH

\$Q\ PDQGDWHG UHSRUWHU ZKR KDV NQRZOHGJH RIRAKLOG ZKHQ UHDVRQDEOH\XSHUWLDUWLYRIRAKLOG
VXEVDQWU\XSHUWLDUWLYRIRAKLOG HPRWLRQDO GDPDJH EHDSUHG\XSHUWLDUWLYRIRAKLOG
EHKDYL RU WRZDUG VHOI RU RWKHUV PD\ 3HQDO &RGH RU WR WKH DSSURSU

\$Q\ GLVWULFW HPSOR\HH ZKR UHDVRQDEOH\EHOLHYHV W\XSHUWLDUWLYRIRAKLOG
IRUFH YLROHQFH GXUHVV PHQDFH RU IHDU RI LPPHGLDWH DQG XQODZIXO
SHD\XSHUWLDUWLYRIRAKLOG 3HQDO &RGH

5HVSQRVLELQW\ IRU 5HSRUWLQJ

7KH UHSRUWLQJ GXWLHV RI PDQGDWHG UHSRUWHUV DUH LQGLYLGXDO DQG F
:KHQ WZR RU PRUH PDQGDWHG UHSRUWHUV MRLQWO\ KDYH NQRZOHGJH RI D

7KH 'HSDUWPHQW RI -XVWLFH IRUP PD\ EH REWDLQHG IURP WKH SULQFL
5HSRUWV RI VXVSHFWHG FKLOG DEXVH RU QHJOHFW VKDOO LQFOXGH L
D 7KH QDPH EXVLQHVV DGGUHV V DQG WHOHSCRQH QXPEHU
SHUVRQ D PDQGDWHG UHSRUWHU
E 7KH FKLOG V QDPH DQG DGGUHV V SUHVHQW ORFDWLRQ D
F 7KH QDPHV DGGUHVHV DQG WHOHSCRQH QXPEHUV RI WK
G 7KH QDPH DGGUHV V WHOHSCRQH QXPEHUV SHUVRQDO LQIRUF
DEXVHG RU QHJOHFWHG WKH FKLOG
H 7KH LQIRUPDWLRQ WKDW JDYH ULVH WR WKH UHDVRQDEOH
LQIRUPDWLRQ

VFKRRO SUHPLVHV 7KH 6XSHULQWHQGHQW RU GHVLJQHH VKDOO JLYH WKH \
DGXOW VFKRRO HPSOR\HH RU YROXQWHHU DLGH VHOHFWHG E\ WKH VWXGHQ

\$ VWDPHEHU RU YROXQWHHU DLGH VHOHFWHG E\ D FKLOG FBFBFWGQSHWR
GHVLJQHH VKDOO LQIRUP KLP KHU RI WKH IROORZLQJ UHTXLUHPHQWV 3HQ

7KH SXUSRVH RI WKH VHOHFWHG SHUVRQ V SUHVHWFH DW WKH
FRPIRUWDEOH DV SRVVLEOH

7KH VHOHFWHG SHUVRQ VKDOO QRW SDUWLFLSDWH LQ WKH LQW

7KH VHOHFWHG SHUVRQ VKDOO QRW GLVFXVV WKH IDFWV RU FL

7KH VHOHFWHG SHUVRQ LV VXEMHFW WR WKH FRQILGHQWLDOLW
ZKLFK LV SXQLVKDEOH DV VSHFLILHG LQ 3HQDO &RGH

,I D VDPHEHU DJUHHV WR EH SUHVHQW WKH LQWHUYLHZ VKDOO EH KHOG DV
VFKRRO 3HQDO &RGH

5HOHDVH RI &KLOG WR 3HDFH 2IILFHU

:KHQ D FKLOG LV UHODVHVVW D SHODER FXVWRG\ DV D YLFWLP RI VXVSI
GHVLJQHH DQG RU SULQFLSDO VKDOO QRW QRWLI\ WKH SDZLHWKWK DGLDQ\
RI WKH FKLOG V SDUHQW JXDUGLDQ (GXFDWLRQ &RGH

FI 4XHVWLRQHQWGRSSUHPZQWIRU

3DUHQW *XDUGLDQ &RPSODLQWV

8SRQ UHTXHVW WKH 6XSHULQWHQGHQW RU GHVLJQHH VKDOO SURYLG SDU
D VFKRRO VLWH WR DSSURSULDWH DJHQFLHV)RU SDUHQWV JXDUGLDQV ZK
ODQJXDJH DQG ZKHQ FRPPXQLFDWLQJ RUDOO\ UHJDUGLQJ WKRVH SURFHGX

7R ILOH D FRPSODLQW DJDLQW D GLVWULFW HPSOR\HH RU RWKHU SHUVRQ

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UHSRUW RU PDGH D UHSRUW ZLWK UHFNOHVV GLVUHJDUG RI WKH WUXW

,I D PDQGDWHG UHSRUWHU IDLOV WR WLPHO\ UHSRUW DQ LQFLC
EH JXLOW\ RI D FULPH SXQLVKDEOH E\ D ILQH DQG RU LPSULVRQPHQW

1R HPSOR\HH VKDOO EH VXEMHFW WR DQ\ VDQFWLRQ E\ WKH GL
PDGH D IDOVH UHSRUW RU PDGH D UHSRUW ZLWK UHFNOHVV GLVUHJDUG



%RRN

3ROLFLHVHDQGD5WLRQV

6HFWLRQ



%RRN 3ROLFLHVHDQGD3WLRQV
 6HFWLRQ %XVLQHVV DQG 1RQLQVWVWRQVLRQDO 2SHU
 7LWOH 72%\$\$\$2)5((6&+22/6
 &RGH \$5
 6WDWXV \$FWLY
 \$GRSWHG)HEUXDU\

1RWLILFDWLRQV

,QIRUPDWLRQ DERXW WKH GLVWULFW V WREDFFR IUHH VFKRROV SROLF\ DQG SDUHQQW JXDUGLDQV VWXGHQWV DQG KIDGWHUFRPBRGHW\

FI (PSOR\HH 1RWLILFDWLRQV
 FI HQWDO 1RWLILFDWLRQV

7KH 6XSHULQWHQGHW RU GHVLJQHH PD\ GLVVHPLQDWH WKLW LQIRUPDWLRQ DQG SDUHQQW KDQGERRNV DQG RU RWKHU DSSURSULDWH PHWKRGV RI FRPP\

FI 'LVWULFW DQG LQVFKRRO :

7KH 6XSHULQWHQGHW RU GHVLJQHH FD\ FRDQXHQV SURMHLWV GJDUV SDWPDQ SURSHUW\ DQG 6DIHW\ &RGH

(QIRUFPHQW 'LVFLSOLQH

\$Q\ HPSOR\HH RU VWXGHQW ZKR YLRODWHV WKH GLVWULFW V WREDFFR IUHH GLVFLSOLQDU\ DFWLRQ DV DSSURSULDWH

FI 6XVSHQVLRQ 'LVFLSOLQDU\ \$FWLRQ
 FI 'LVPLVDO 6XVSHQVLRQ 'LVFLSOLQDU\ \$FWLRQ
 FI 'LVFLSOLQH
 FI 6XVSHQVLRQ DQG LQVXOVLRQ 'XH 3U

\$Q\ RWKHU SHUVRQ ZKR YLRODWHV WKH GLVWULFW V SROLF\ RQ WREDFFR II VPRNLQJ ,I WKH SHUVRQ IDLOV WR FRPSO\ ZLWK WKLW UHTXHVW WKH 6XSH

'LUHFW WKH SHUVRQ WR OHDYH VFKRRO SURSHUW\

5HTXHVW ORFDO ODZ HQIRUFPHQW DVVLVWDQFH LQ UHPRYLQJ

,I WKH SHUVRQ UHSHDWHGO\ YLRODWHV WKH LQVXOVLRQ WKH DIFRPP\ HGMWVFI VSHFLILHG SHULRG RI WLPH

FI LVWRUV 2XWVLGHUV
 FI 'LVUXSWLRQV

7KH 6XSHULQWHQGHW RU GHVLJQHH VKDOO QRW EH UHTXLUHG WR SK\VLFD UHIUDLQ IURP VPRNLQJ XQGHU FLUFXPVWDQFHV LQYROYLQJ D ULVN RI SK\VI



%RRN 3ROLFLHVHDQGD5WLRQV
6HFWLRQ 3HUVRQQHO
7LWOH 81,9(56/ 35(&87,216
&RGH %3
6WDWXV \$FWLY
\$GRSWHG)HEUXDU\

,Q RUGHU WR SURWHFW HPSOR\HHV IURP FRQWDFW ZLWK SRWHQWLDOO\ LQI
SUHFDXWLRQV EH REVHUYHG WKURXJKRXW WKH GLVWULFW

8QLYHUVDO SUHFDXWLRQV DUH DSSURSULDWH IRU SUHYHQWLQJ WKH VSUHD
SDWKRJHQV DUH NQRZQ WR EH SUHVHQW

FI (PSOR\HH 6DIHW\
FI +HE DOWK &HDFLHV
FI ,QIHFWRXV 'LVHVVHV
FI 6SHFLDOH JHGU YHDFWK &DU
FI 6FKRRO +HDOWK 6HUYLEFHV
FI \$WKOHWLF &RPSHWLWLRQ

(PSOR\HHV VKDOO LPPHGLDWHO\ UHSRUW DQ\ H[SRVXUH LQFLGHQW RU ILUV\
VDIHW\ SURFHGXUHV

FI (SRROU) ODQ IRU %ORRGERUQH 3DWKRJHQV

/HJDO HGFHHU

$$\frac{+(\$7 + \$1'6\$)(7 < &2'(\text{DQGOLQJ DCHXGOLVWRVGDZDRWH})}{\text{BY LGLQJ LQIRUPDWLRQ WR VFKRROHGLFWOGEWLRQV } \$,66 \$,H6DWLV}$$

,QIRUPDWLRQ WR HPSOR\HHV RI VFKRRO GLVWULFW

$$\frac{\&2'(2)5(*87\$216 \text{ } 7,7/(\text{\&DOLIRUQLD EORRGERUQH SDWKRJHQV VWDQGDU})}{\&2'(2)('5\$ / 5(*87,\$216 \text{ } 7,7/(\text{26+\$ EORRGERUQHGSVDWKRJHQV VWDQGDU})}$$



%RRN 3ROLFLHVHDQGD3WLRQV
 6HFWLRQ 3HUVRQQHO
 7LWOH 81,9(56/ 35(887,216
 &RGH \$5
 6WDWXV \$FWLY
 \$GRSWHG)HEUXDU\

'HILQLWLRQV

8QLYHUFDXWURQDQ DSSURDFK WR LQIHFWLRQ FRQWURO \$OO KXPdq EORRG VHPHQ YDJLQDO VHFUHWLRQV DQG DQ\ ERG\ IOXLG WKDW LV YLVLEO\ FRQW LPPXQRGHILFLHQF\ YLUXV +,9 KHSDWLWLWLV % YLUXV +%9 KHSDWLWLWLV & Y

3HUVRQVGFSWLYHLHQTFLXSPHQW SHFLDOLJHG FORWKLQJ RU HTXLSPHQW ZRUQ R VXFK DV XQLRUPV SDQWV VKLUWV RU EORXVHV QRW LQWHQG HG WR IXQFW HTXLSPHQW &&5 E

\$VKDUV DQ\ REMHFW WKDW FDQ EH UHVRQDEO\ DQWLFLSDWHG WR SHQHWU LQFLGHQW &&5 E

(QJLQHVKDDQBXU\ SURWHFWLRQ LV D SK\VLFDQ DWWULEXWH EXHFWWLYHQOR DI ULVN 81° 0@ 0y@SR@X@HGLDFL@G@WÀ0` p&&DR•@E

(PSOR\HH ,QIRUPDWLRQ

7KH 6XS0ULQWHQGHQWRNU GHVLJQHH VKDOO GLVWULEXWH WR HPSOR\HHV L DFTXLUHG LPPXQH GHILFLHQF\ V\QQURPH \$,'6 \$,'6 UHODWHG FRQGLWLRQV WR DQ\ DSSURSULDWH PHWKRGV HPSOR\HHV PD\ XVH WR SUHYHQW H[SRVXU DYDLODELOLW\ RI D YDFFLQH WR SUHYHQW FRQUDFWLRQ RI KHSDWLWLWLV % RI WKH HPSOR\HHV ,QIRUPDWLRQ VKDDQREUHGUVWVHDXWNG IDWKGHVW DQZ: 'HSDUWPHQW RI (GXFDWLRQ +HDOWK DQG 6DIHW\ &RGH €`@pÀdð

)RU WKH SUHYHQWLRQ RI LQIHFWLRXV GLVHVVH HPSOR\HHV VKDOO URXWLQ

3HUIRUP DOO SURFHGXUHV LQYROYLQJ EORRG RU RWKHU SRWH\ VSUD\LQJ VSDWWHULQJ DQG JHQHUDWLQJ GURSOHWV RI WKHVVH VXEVV

8VH SHUVRQDO SURWHFWLYH HTXLSPHQW DV DSSURSULDWH

D \$SSURSULDWH FORWKLQJ LQFOXGLQJ EXW QRW OLPLWHG VKDOO EH ZRUQ LQ RFFXSDWLRQDO H[SRVXUH VLWXDWLRQV

,I D JDUPHQW EHFRPHV SHQHWUDWHG E\ EORRG RU RWKHU SRWHQV LPPHGLDWHO\ RU DV VRRQ DV IHDVLEOH \$OO SHUVRQDO SURWHFW UHPRYHG LW VKDOO EH SODFHG LQ DQ DSSURSULDWHO\ GHVLJQDW GLVSRVDO

E *ORYHV VKDOO EH ZRUQ ZKHQ LW FDQ EH UHDVRQDEO\ DQV RWKHU SRWHQWLDOO\ LQIHFWLRXV PDWHULDOV PXFRXV PHPEUDQH LWHPV RU VXUIDFHV

'LVSRVDEOH JORYHV VKDOO EH UHSODFHG DV VRRQ DV SUDFWLFDQ RU ZKHQ WKHLU DELOLW\ WR IXQFWLRQ DV D EDUULHU LV FRPSURP JORYHV PD\ EH GHFRQWDPLQDWHG IRU UHXVH LI WKH LQWHJULW\ R FUDFNHG SHHOLQJ WRUQ SXQFWXUHG RU H[KLELW RWKHU VLJQV FRPSURPLVHG

F ODNV LQ FRPELQDWLRQ ZLWK H\H SURWHFWLRQ GHVLSFWV GURSOHWV RI EORRG RU RWKHU SRWHQWLDOO\ LQIHFWLRXV PDWHUL UHDVRQDEO\ DQWLFLSDWHG

DV K KDQGV DQG RWKHU VNLQ VXUIDFHV WKRURXJKO\ ZLWK VRDS D

D ,PPHGLDWHO\ RU DV VRRQ DV IHDVLEOH IROORZLQJ FRQWD RWKHU SRWHQWLDOO\ LQIHFWLRXV PDWHULDOV

E ,PPHGLDWHO\ DIWHU UHPRYLQJ JORYHV RU RWKHU SHUVRQ

:KHQ KDQGZDVKLQJ IDFLOLWLHV DUH QRW DYDLODEOH WKH HP RU SDSHU WRZHOV RU DQWLVSRLF WRZHOHWWHV ,Q VXFH LQVWDQFH

5HIUDLQ IURP HDWLQJ GULQNLQJ VPRNLQJ DSSO\LQJ FRVPHWU UHDVRQDEOH OLNHOLKRRG RI RFFXSDWLRQDO H[SRVXUH

&OHDQ DQG GHFRQWDPLQDWH DOO HTXLSPHQW DQG HQYLURQPH LQIHFWLRXV PDWHULDO QR ODWHU WKDQ WKH HQG RI WKH VKLIW RU PI

5DWKHU WKDQ ~~XVHG IURP KDDO DQD QD QD QD QD~~ DV D EUXVK DQG JODVVZDUH ZKLFK PD\ EH FRQWDPLQDWHG

I ~~IVM~~ IVM SDWLHQW KDQGOLQJ WHFKQLTXHV DQG RWKHU PHWKRQ LQYROYLQJ WKH XVH RI VKDUSV LQ SDWLHQW FDUH

FI \$GPLQLVWHULQJ OHGLFDWLRQ DQG ORQLWRULQJ +HDOWK &RQGLV FI 6SHFLDOH]HQYHDQWK &DU

D 1HHGOHOHV V\WHPV VKDOO EH XVHG WR DGPLQLVWHU P

+DQGOH VWRUH WUHDW DQG GLVSRVH RI UHJXODWHG ~~ZQGWRL~~
DSSOLFDEOH VWDWH DQG IHGHUDO UHJXODWLRQV

D ,PPHGLDWHO\ RU DV VRRQ DV SRVVLEOH DIWHU XVH FRQW
UHTXLUHPPHQWV RI &&5 G ' &RQWDLQHUV VKDOO EH HDVLO
IHDVLEOH DQG UHSODFHG DV QHFHVVDU\ WR DYRLG RYHUOLOOLQJ

E 6SHFLPHQV RI EORRG RU RWKHU SRWHQWLDOO\ LQIHFWR>
GXULQJ FROOHFWLRQ KDQGOLQJ SURFHVVLRQ VWRUDJH WUDQVS

FI (PSOR\HH 6DIHW\
FI +HEDWK &RPHU HV
FI ,QIHFWRXV 'LVHVVHV
FI 6FKRRO +HDOWK 6HUULFHV
FI \$WKOHWF &RPSHWLWLRQ



%RRN 3ROLFLHVHDQGD3WLRQV
 6HFWLRQ 3HUVRQQHO
 7LWOH (;32685(&21752/ 3/\$1)232%%251(\$7+2*(16
 &RGH %3
 6WDWXV \$FWLY
 \$GRSWHG)HEUXDU\

\$V SDUW RI LWV FRPPLWPHQW WR SURYLGH D VDIH DQG KHDOWKIXO ZRUN H[
 DQ H[SRVXUH FRQWURO SODQ 7KH 6XSHULQWHQGHQW RU GHVLJQHH VKDOO
 VWDQGDUGV IRU GHDOLQJ ZLWK SRWHQWLDQ\ LQIHFWLRXV PDWHULDOV LQ
 EORRGERUQH SDWKRJHQV LQFOXGLQJ EXW QRW OLPLWHG WR KHSDWLWLV %

FI 8QHFDXWLRQV
 FI (PSOR\HH 6DIHW\

7KH 6XSHULQWHQGHQW RU GHVLJQHH VKDOO GHWHUPLQH ZKLFK HPSOR\HHV
 LQIHFWLRXV PDWHULDOV ,Q DFFRUGDQFH ZLWK WKH GLVWULFW V HI-SURVQWH
 KHSDWLWLV % YDFFLQDWLRQ

7KH 6XSHULQWHQGHQW RU GHVLJQHH PD\ H[HPSW GHVLJQDWHG ILUVW DLG S
 VSHFLILHG E\ VWDWH UHJXODWLRQV &&5 I

\$Q\ HPSOR\HH QRW LGHQWLILHG E\ WKH 6XSHULQWHQGHQW RU GHVLJQHH DV
 RU GHVLJQHH WR EH LQFOXGHG LQ WKH WUDLQLQJ DQG KHSDWLWLV % YDFF
 WKHUH LV QR UHDVQRDEOH DQWLFLSDWLRQ RI FRQWDFW ZLWK DQ\ LQIHFWL

/HJDO HGFHUU

/\$%25 &2'(

\$XWKRULW\ RI &DO 26+\$ WR DGRSW VWDQGDU
 5HTXHQW WR DBNQG VWDQGDU

&2'(2) 5(*87\$216 7.7/(

\$FFHVV WR HPSOR\HH HGFHUU

&DOLIRUQLD EORRGERUQH SDWKRJHQV VWDQGDU

&2'(2))('\$/ 5(*87\$216 7.7/(

26+\$ EORRGERUQHSDWKRJHQV VWDQGDU



'HILQLWLRQV

2FFXSDWLRQPHQHSRUXD\VRQDEO\ DQWLF LSDWHG VNLQ H\H PXFRXV PHPEUD
LQIHFWLRXV PDWHULDOV WKDW PD\ UHVXOW IURP WKH SHUIRUPDQFH RI DQ I
([SRWXLUQFPHQW D VSHFLILF H\H PRXWK RWKHU PXFRXV PHPEUDQH QRQLG

D 0HWKRGV RI FRPSOLDQFH UHTXLUHG E\ &&5 G VXFK
DQG ZRUN SUDFWLFH FRQWUROV DQG SHUVRQDO SURWHFWLYH HT)

FI 8QHFDXWLRQV

E +HSDWLWLV % YDFFLQDWLRQ

F %ORRGERUQH SDWKRJHQ SRVW H[SRVXUH HYDOXDWLRQ DQ

G &RPPXQLFDWLRQ RI KD]DUGV WR HPSOR\HHV LQFOXGLQJ C

H `••@BHQFRUGNHHSLQJ

7KH GLVWULFW V SURFHGXUH IRU HYDOXDWLQJ FLUFXPVWDQFH

IHQWLYH SURFHGXUH IRU JDWKHULQJ LQIRUPDWLRQ DERXW HDFK
VKDUSV LQMXULHV

IHQWLYH SURFHGXUH IRU SHULRGLFDOO\ GHWHUPLQLQJ WKH IUH
H[SRVXUH LQFLGHQWV GRFXPHQWHG LQ WKH VKDUSV LQMXU\ ORJ

IHQWLYH SURFHGXUH IRU LGHQWLI\LQJ FXUUHQWO\ DYDLODEOH F
WKH SURFHGXUHV SHUIRUPHG E\ HPSOR\HHV LQ WKHLU ZRUN DUHDV RU

IHQWLYH SURFHGXUH IRU GRFXPHQLQJ LQVWDQFHV ZKHQ D OLF
GHWHUPLQHV LQ WKH UHDVRQDEOH H[HUFLVH RI FOLQLFDO MXGJPHQW
VDIHW\ RU WKH VXFFHVV RI D PHGLFDO GHQWDO RU QXUVLQJ SURFHGX

IHQWLYH SURFHGXUH IRU REWDLQLQJ WKH DFWLYH LQYROYHPHQ
ZLWK UHVSHFW WR WKH SURFHGXUHV SHUIRUPHG E\ HPSOR\HHV LQ WKH

7KH H[SRVXUH FRQWURO SODQ VKDOO EH UHYLHZHG DQG XSGDWHG DW OHD

5HIOHFW QHZ RU PRGLIHFWLQJ RFFXSDQV SURFHGXSRVXDIH

R WKH H[WHQW WKDW VKDUSV DUH XVHG LQ WKH GLVWULFW UHIOH
ZLWK HQJLQHUUHG VKDUSV LQMXU\ SURWHFWLRQ

,QFOXGH QHZ RU UHYLVHG HPSOR\HH SRVLWLRQV ZLWK RFFXSD'

5HYLHZ DQG HYDOXDWH WKH H[SRVXUH LQFLGHQWV ZKLFK RFFX

5HYLHZ DQG UHVSRRG WR LQIRUPDWLRQ LQGLFDWLQJ WKDW WK

7KH GLVWULFW V H[SRVXUH FRQWURO SODQ VKDOO EH DFFHVVLEOH WR HPSO

3UHYHQWLYHVHDVXU

7KH 6XSHULQWHQGHW RU GHVLJQHH VKDOO XVH HQJLQHULQJ DQG ZRUN S
UHJXODUO\ H[DPLQH DQG XSGDWH FRQWUROV WR RFFXSDQ WKHLU HI

+HSDWLWLV % YDFFLQDWLRQ

7KH KHSDWLWLV % YDFFLQDWLRQ DQG YDFFLQDWLRQ VHULHV VKDOO EH PDG
KHSDWLWLV % YDFFLQDWLRQ VKDOO EH PDGH DYDLODEOH DIWHU DQ HPSOR\

7KH 6XSHULQWHQGHW RU GHVLJQHH VKDOO SURYLGH WKH KHDOWK FDUH S
DV WKH\ UHODWH WR WKH H[SRVXUH LQFLGHQW GRFXPHQWDWLRQ RI WKH U
WKH VRXUFH LQGLYLGXDO V EORRG WHVWLQJ LI DYDLODEOH DQG DOO PHG
HPSOR\HH LQFOXGLQJ YDFFLQDWLRQ VWDWXV &&5 I

7KH GLVWULFW VKDOO PDLQWDLQH WKH HPSOR\HH QWUHODUG LWV HPSOR\HH
HYDOXDWLRQ &&5 I

i•O 41 WKH GLVWULFW REHA V 4s VW ñ pa`À À pÀ @ ð 0 € 0° € 0 • 0 p° • Pp° € 0 0 € P U 0 € P U P ` P € 0 pÀ @ ð
HGLFDO UHFRUGV IRU HGLFDO KURHU-HEGO À HOHDVH RI &RQILGHQWLDO 3ULYLOHJH
FI 'LVFRVXULRQILGHQWLDO 3ULYLOHJHG ,QIRUPDWLRQ

5HFRUGV

8SRQ DQ HPSOR\HH V LQLWLDO HPSOR\HH WDIWV DSIGUDWQHQQHW WFRUHGHUOLJKH
RFFXSDWLRQDO H[SRVXUH RI WKH H[LVWHQFH ORFDWLRQ DQG DYDLODELOL'
DFFHVV WR UHFRUGV DQG WKH HPSOR\HH V ULJKW RI DFFHVV WR WKHVH UH

FI \$FFHVV WR 'LVWULFW 5HFRU
FI 'LVWULFW 5HFRU

0HGLFDO UHFRUGV IRU HDFK HPSOR\HH ZLWK RFFXSDWLRQDO H[SRVXUH VKD
ZULWWHQ FRQVHQQW WR DQ\ SHUVRQ ZLWKLQ RU RXWVLGH WKH ZRUNSODFH I



Book	Policies and Regulations
Section	3000: Business and Noninstructional Operations
Title	CAMPUS SECURITY
Code	3515 BP
Status	Active
Adopted	February 2, 2017

The Governing Board is committed to providing a school environment that promotes the safety of students, employees, and visitors to school grounds. The Board also recognizes the importance of protecting district property, facilities, and equipment from vandalism and theft.

The Superintendent or designee shall develop campus security procedures which are consistent with the goals and objectives of the district's comprehensive safety plan and site-level safety plans. Such procedures shall be regularly reviewed to reflect changed circumstances and to assess their effectiveness in achieving safe school objectives.

(cf. 0450 - Comprehensive Safety Plan)

Surveillance Cameras

The Board believes that reasonable use of surveillance cameras will help the district achieve its goals for campus security. The Superintendent or designee shall identify appropriate locations for the placement of surveillance cameras. Cameras shall not be placed in areas where students, staff

32211 Threatened disruption or interference with classes

32280-32288 School safety plans

35160 Authority of governing boards

35160.1 Broad authority of school districts

38000-38005 Security patrols

49050-49051 Searches by school employees

49060-49079 Student records

PENAL CODE

469 Unauthorized making, duplicating or possession of key to public building

626-626.10 Disruption of schools

CALIFORNIA CONSTITUTION



Book Policies and Regulations

Section 3000: Business and Noninstructional Operations

Title CAMPUS SECURITY

9. All media viewed or listened to by law enforcement, parents, or any persons outside of authorized school personnel will be documented in a log with the date, time, reason, and names of individuals reviewing the media.
10. Employees shall be responsible for the appropriate use of technology and shall not use any district resources for unethical practices or any activity prohibited by law or Board policy.

CSEA and the District agree the safety and health of students, staff, and the public requires every reasonable effort be made to discourage alcohol and/or illegal substance abuse among all employees. The District and CSEA further agree to make every reasonable effort to protect students, staff, and the public from alcohol and/or illegal drug use. For this reason, commencing July 1, 2016, the parties agreed to a reasonable suspicion/post-accident testing policy for bargaining unit employees who regularly utilize District vehicles in the course of employment for a three year trial period. This article shall sunset on June 30, 2019, unless the parties negotiate to continue this provision.

A. Application

This section applies to CSEA employees that regularly utilize District vehicles in the course of transportation regulations. The positions will be identified by a committee comprised of two members from the District negotiation team and two members from the CSEA negotiation team. Examples of positions subject to this section may include grounds, maintenance, warehouse/delivery drivers, night custodial, and certain classifications of technology staff.

B. Notice

All employees subject to testing for controlled substances and alcohol shall be individually notified, in advance and in writing that they are subject to reasonable suspicion and/or post-accident testing while on duty. The District will provide CSEA with a copy of the notice prior to distributing to applicable employees.

C. Reasonable Suspicion Testing

1.

