

Guidelines for Using Cameras in Research

(Collecting Video and/or Audio Recordings)

These Guidelines cover the use of Research Cameras at Caltech. Research Cameras are cameras that can record audio as well as video (Research Data) to be used exclusively for the purposes of research. Research Cameras can be used to collect data from environmental, biological or physical systems, human participants, and animal subjects. Research Cameras include cameras used in integrated or used in conjunction with autonomous vehicles for navigation or observation purposes. Non-research Video Camera Systems installed for the purpose of monitoring safety and security at Caltech must be purchased, approved, installed, maintained, and accessed according to Caltech's Administrative Guideline entitled, "[Use of Safety and Security Camera Guidelines](#)."

Purpose

These Guidelines address the purchase, installation, use, and operation of Research Cameras at Caltech.

Definitions

Dummy Camera: A decoy device deliberately designed and positioned to appear that an area is monitored by a Video Camera System when it is not.

Incidental Recording: An incidental recording is the recording of video or sound from a person passing by or coming into proximity of a Research Camera, but the person is not the subject of the research, and the recording is unnecessary for the research purpose.

Private Spaces: Settings where an individual has reasonable expectation of privacy and being free from surveillance. The following are some examples of Private Spaces: residential living quarters, bathrooms, locker rooms, private offices, and designated lactation rooms.

Research Camera: A Video Camera System used for the purposes of generating and/or collecting Research Data. Research Cameras can be used to study environmental, biological or physical systems, human participants, and animal subjects. Research Cameras include cameras integrated into or used in conjunction with autonomous vehicles for navigation or observation purposes.

Research Data: Visual images, and any associated audio recordings, recorded by Research Cameras, that can be viewed live, replayed, stored, analyzed, edited, transcribed, published and/or deleted and which use is for the design, conduct or reporting of Caltech research (e.g. data analysis, publication, use in navigation systems, etc.) Research Data does not include data collected by Video Camera Systems installed on campus for the purpose of monitoring safety and security.

Sensitive Areas: Settings determined to be high risk and that require special protection. Examples may include data centers, power facilities, facilities with security requirements, and areas that house hazardous or controlled substances, animal care facilities, any areas in which the exchange of currency or other forms of payment occur, and certain laboratory spaces.

Video Camera System: A video camera and its associated electronics, electrical, software and hardware systems necessary for installation and use. A Video Camera System includes any equipment used to capture and/or record video data and/or any visual data (e.g. photos), and which may or may not have the capability to record audio.

Prohibited Uses

Cameras, including Research Cameras, must not be installed, or used in Private Spaces, including private offices, bathrooms, locker rooms, rooms designated for lactation or other areas where activities occur where a person has a reasonable expectation of privacy, or in residential rooms or apartments in student housing.

Research Cameras must not record audio unless the audio is necessary for the research purpose and has been approved, in advance, as described below.

Hidden Research Cameras and Dummy Cameras are prohibited, unless they are necessary for the research purpose and have been approved, in advance, as described below.

For the security of Research Data, it is advised that cameras (e.g. phones, laptops, dashcams) personally owned by faculty, staff, or students not be used to collect Research Data.

Appropriate Use and Approval

Research Cameras shall only be used to generate or collect Research Data in support of Caltech research.

- Recordings of human participants must be approved, in advance, by Caltech's Institutional Review Board (IRB). The IRB may impose additional requirements or protections for collecting and storing Research Data from human participants.
- Use of Research Cameras to collect Research Data from animal subjects must be approved, in advance, by Caltech's Institutional Animal Care and Use Committee (IACUC). The IACUC may impose additional requirements or protections for collecting and storing Research Data from animal subjects.

Research Cameras can be used in conjunction with autonomous vehicles for navigation or observation purposes.

- Use of Research Cameras as part of Unmanned Aircraft System are subject to [Caltech's Guidelines for Operation of Unmanned Aircraft Systems \(Drones\) and Other Airborne Objects on Campus](#).
- Research Cameras that may pose a safety risk (mobile or flying cameras) should be reviewed by the Division, Security, and/or EH&S for compliance with [Caltech's Guidelines for Operation of Unmanned Aircraft Systems \(Drones\) and Other Airborne Objects on Campus](#).

Research Cameras must not intentionally record audio unless (1) the audio recording is necessary for the research purpose, and (2) the researcher has submitted the rationale for the necessity of the audio recording and obtain prior written approval, from the IRB¹ or the Office of Research Compliance as appropriate. See Appendix A for Research Camera Video, Video & Audio, or Audio signage.

Research Cameras should be placed to try to avoid Incidental Recordings; however, since there is generally always a possibility that an Incidental Recording could occur, all areas where Research Cameras are present where there is a possibility of Incidental Recording should be appropriately

¹ Consult the IRB when recording participants. The IRB will refer the researcher to one of the other offices, if appropriate and necessary.

marked, providing notice to persons nearby that video and/or audio recording of research is taking place, that their image or audio may be incidentally collected, and that such image or audio data will be blocked or removed before release or publication of such recordings. See Appendix A for Research Camera Video, Video & Audio, or Audio signage. Exceptions must be reviewed by the IRB.

Purchasing Cameras

Caltech must comply with federal laws and regulations regarding the Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment, including the National Defense Authorization Act, Section 889. These regulations impact both the administrative and research community regarding the purchase and use of specific telecommunications and video surveillance equipment. As a federal awardee, Caltech is subject to these prohibitions.

Researchers purchasing Research Cameras must not purchase or use any of these, including equipment, system, service, or components thereof, that are produced or provided by prohibited companies, their subsidiaries, or their affiliates. Please consult with the Director of Procurement Services or see [Caltech's NDAA-889 Website](#) for additional information.

To comply with federal laws, best practice is to use TechMart to purchase cameras, components, or systems. If TechMart is not going to be used, the researcher is responsible for due diligence and compliance with the federal laws.

Procedures

A researcher wishing to install a Research Camera can do so, without approval, provided that:

- (1) The Research Camera:
 - (a) will be used for research purposes and not to monitor for safety or security; and
 - (b) will not be installed in a private space; and
 - (c) the Research Camera System is not produced or provided by prohibited companies, their subsidiaries, or their affiliates; and
 - (d) does not record sound/audio; and
 - (e) does not pose a potential safety or cybersecurity concern; and
 - (f) is not to be used for research covered by the IRB or IACUC;

and

- (2) Appropriate notice is posted in the surrounding area.

See Appendix A for Research Camera Video, Video & Audio, or Audio signage.

If these conditions are not met, approval is needed.

- (1) If there are human participants or animal subjects, a query or protocol application should be filed with the Caltech IRB or IACUC, as appropriate.
- (2) All other requests for approval should be made in writing to the cognizant Division who will coordinate to the Office of Research Policy.

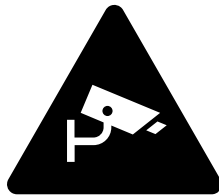
Appendix A: Signage for Research Camera Video, Video & Audio, or Audio

NOTICE

Research Camera

VIDEO

Recording in Use



Notice to persons nearby that video and/or audio recording of research is taking place, that their image or audio may be incidentally collected, and that such image or audio data will be blocked or removed before release or publication of such recordings, unless consent for such release or publications has been granted.

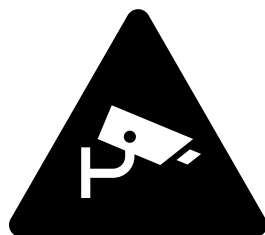
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Research Camera

VIDEO &

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