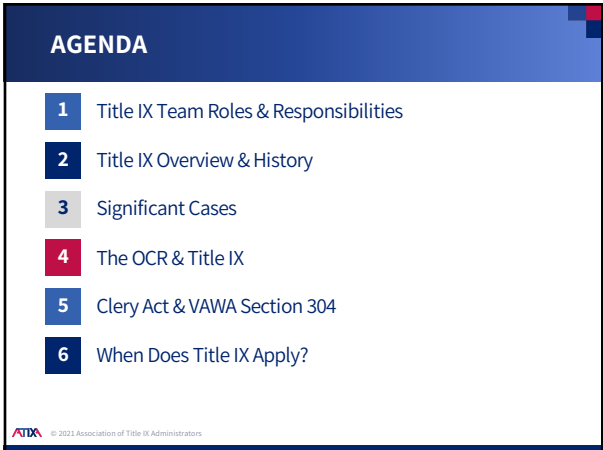




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AGENDA

- 7 Creating & Implementing Appropriate Policies & Procedures
- 8 Oversight & Coordinating Prompt & Equitable Grievance Procedures
- 9 Coordinating Overlap in Various Grievance Processes
- 10 Point Person for Complaints
- 11 Coordinating Informal Resolution
- 12 Supervising Investigations

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4

AGENDA

- 13 Elements of an Investigation
- 14 Coordinating Decision-Making Stages
- 15 Ensuring Compliance with Final Sanctions
- 16 Coordinating Appeal Processes
- 17 General Title IX Compliance Oversight

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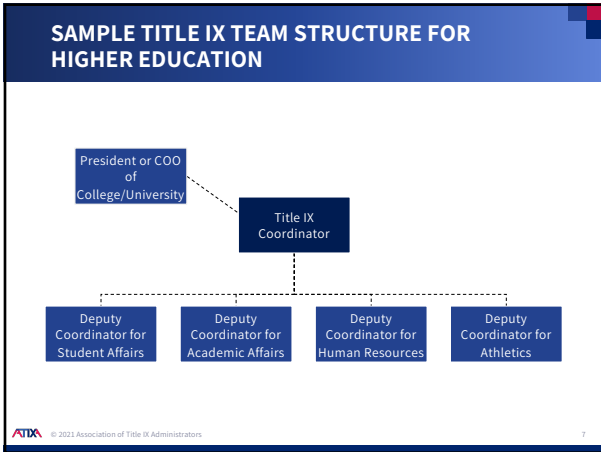
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TITLE IX TEAM ROLES & RESPONSIBILITIES

- Sample Team Structure
- Title IX Coordinator
- Investigator
- Decision-Maker
- Informal Resolution Facilitator
- Training the Team

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7

- ### THE TITLE IX TEAM
- Title IX Coordinator(s)
 - Deputy Coordinator(s)
 - Investigator(s)
 - Decision-Makers—can be a single Decision-maker or a panel of Decision-makers
 - Policy Violation
 - Appeal
 - Informal Resolution Facilitator(s)
 - Institution-appointed Advisors
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8

- ### TITLE IX TEAM STRUCTURE: ADDITIONAL CONSIDERATIONS
- Co-Coordinators?
 - Job responsibilities of Deputy Coordinators
 - Tailor scope and roles based on school/campus culture
 - Delegation
 - Multiple campuses/locations
 - Campuses within a larger system (e.g., SUNY schools)
 - Extension campuses
 - Online communities
 - District-level (e.g., community college systems)
 - Dual-enrollment oversight
 - Investigator oversight
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9

THE TITLE IX COORDINATOR

- Recipients are required to designate at least one employee as the “Title IX Coordinator”
- Administrator with significant authority and wide-ranging responsibilities
- Affects change across many departments, including Human Resources, Academic Affairs, Athletics, and Student Conduct
- Some institutions will allocate part-time responsibilities to the Coordinator while others will dedicate a full-time position
- Title IX Coordinator has become a profession within the field of civil rights compliance

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10

**TITLE IX COORDINATOR:
ROLES AND RESPONSIBILITIES**

- Create & implement appropriate policy & procedures
- Navigate First Amendment protections
- Point person for reports & complaints
- Contact for government inquiries
- Oversight of prompt & equitable grievance procedures
- Coordinate overlap of various student & employee grievance processes
- Oversight of informal resolution processes
- Supervise investigations

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11

**TITLE IX COORDINATOR:
ROLES AND RESPONSIBILITIES (CONT.)**

- Ensure compliance with final sanctions & remedies
- Coordinate appeal process
- General Title IX compliance oversight
- Compliance with requirements to stop, prevent, and remedy
- Training oversight
- Oversight of athletics gender equity (if applicable)
- Section 504 disability compliance oversight (if applicable)

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12

ROLE OF THE INVESTIGATOR

- Conduct reliable, prompt, fair, and impartial investigations
 - Work with TIXC to develop investigation strategy
 - Identify and interview parties and witnesses
 - Identify, organize, and compile relevant information
 - Maintain accurate and thorough investigation records and notes
 - Share the evidence with the parties and their Advisors
 - Provide notices to the parties (may be done in conjunction with TIXC)
- Create an investigation report that fairly summarizes relevant evidence

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ROLE OF THE DECISION-MAKER(S)

- Determine whether institution's policy has been violated based upon the applicable standard of evidence
 - Decisions must be based upon an independent assessment of the evidence gathered during the investigation and/or provided during a hearing, to include an assessment of the credibility of the parties and witnesses
 - Decisions must be based on the specific policy alleged to have been violated
 - Decisions must be impartial and free of substantive bias
- Determine appropriate sanctions/discipline when a policy violation is found
- Draft a written determination that outlines the rationale for the finding(s)

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14

ROLE OF THE APPEAL DECISION-MAKER

- Make determination on a party's request for an appeal
- Review written submissions from parties
- May review investigation report or other evidence gathered during investigation/hearing
- May need to speak with Investigator, Decision-maker, parties, or witnesses
- Review of case should be limited to the grounds noted in the appeal request
 - Not a *de novo* review
- Draft a written determination that outlines the rationale for the outcome

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ROLE OF INSTITUTION-APPOINTED ADVISORS

- Parties have the right to have an Advisor of their choice to assist them throughout the process, to include attending any meetings and interviews
- No mandate to provide an Advisor to the parties at the outset of the process
- If party does not have an Advisor at the hearing, the institution must provide an Advisor to conduct the cross-examination on behalf of the party during the live hearing
- Must be provided at no cost to the party
- No mandate to train Advisors however, it is advisable to do so for all institution-appointed Advisors

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16

TIX TEAM TRAINING REQUIREMENTS

- Robust training mandates
- Coordinators, Investigators, Decision-makers, Appeal Decision-makers, Informal Resolution Facilitators
- Training materials cannot include sex stereotypes; should promote impartiality
- Training materials must be maintained for seven years and posted publicly on Recipient's website

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17

REQUIRED TRAINING TOPICS

- Definition of sexual harassment
- Scope of the Recipient's education program or activity
- How to conduct an investigation and grievance process including hearings, appeals, and informal resolution processes, as applicable
- How to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias
- Use of any technology to be used at a live hearing

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REQUIRED TRAINING TOPICS (CONT.)

- Issues of relevance for both questions and evidence, including when questions and evidence about the Complainant’s prior sexual behavior is not relevant
- Issues of relevance regarding the creation of an investigation report that fairly summarizes relevant evidence
- **Note:** The OCR sets the minimum training requirements and institutions should conduct training that covers a broader range of topics

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PUBLICATION OF TRAINING MATERIALS

- Make all materials used to train Title IX Coordinators, Investigators, Decision-makers, and any person who facilitates an informal resolution process publicly available on the Recipient’s website, or if the Recipient does not maintain a website, the Recipient must make these materials available upon request for inspection by members of the public
 - The most recent materials used to train the Title IX Team should be posted
 - Although seven year of materials need to be maintained, only most recent need to be posted
 - This requirement is not retroactive; seven years started August 14, 2020

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20

TITLE IX OVERVIEW & HISTORY

- Text of the Law
- The Road to Title IX
- Where We are Today
- Key Title IX-Related Issues
- Essential Compliance Elements
- The IX Commandments


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TITLE IX

20 U.S.C. § 1681 & 34 C.F.R. Part 106 (1972)

“No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving federal financial assistance.”



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A BRIEF HISTORY OF TITLE IX: PRE-1972

1964 - Title VI of the Civil Rights Act

- Prohibits discrimination on the basis of race, color, or national origin in any program or activity receiving Federal financial assistance

1964 - Title VII of the Civil Rights Act

- Prohibits discrimination in the terms, conditions, or privileges of employment on the basis of an employee’s race, sex, color, religion, or national origin

1965 - Executive Order 11246

- Prohibits federal contractors from discriminating on the basis of race, color, religion, or national origin. “Sex” was added in 1968; renamed Exec. Order 11375.

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A BRIEF HISTORY OF TITLE IX: 1972-1979

- 1972:** Title IX passed and signed into law by President Nixon
- 1975:** Department of Health, Education, and Welfare (HEW) codified Title IX regulations
 - HEW was the precursor to the current U.S. Dept. of Ed.
- 1979:** Supreme Court created a private right of action under Title IX
 - Cannon v. U. of Chicago*, 441 U.S. 677 (1979)
- 1979:** HEW promulgated three-part test for athletics to evaluate equity in athletic participation and access to resources and equitable opportunities

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A BRIEF HISTORY OF TITLE IX: 1980-PRESENT

- **1980:** U.S. Department of Education created
 - Title IX oversight transferred to Dept. of Ed.’s Office for Civil Rights (OCR)
- **1982:** Supreme Court holds “Employment discrimination comes within Title IX’s prohibition”
 - *North Haven Bd. of Education v. Bell*, 452 U.S. 512.
- **2020:** Title IX sexual harassment regulations issued

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25

KEY TITLE IX-RELATED ISSUES

<p>Sex-Based Discrimination</p> <ul style="list-style-type: none"> ▪ Program Equity ▪ Recruitment, Admissions, & Access ▪ Pregnancy ▪ Athletics ▪ Employment, Recruitment, & Hiring ▪ Extra-curricular activities ▪ Housing 	<ul style="list-style-type: none"> ▪ Access to Course Offerings ▪ Salaries & Benefits ▪ Financial Assistance ▪ Facilities ▪ Funding ▪ Sex, Sexual Orientation, & Gender Identity 	<p>Sexual Harassment</p> <ul style="list-style-type: none"> ▪ Quid Pro Quo ▪ Hostile Environment ▪ Sexual Assault ▪ Domestic Violence ▪ Dating Violence ▪ Stalking <p>Retaliation</p>
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26

TITLE IX ESSENTIAL COMPLIANCE ELEMENTS

Once an official with authority has actual notice of sexual harassment/sexual misconduct, the institution must:

- Take immediate and appropriate steps to **investigate** what occurred
 - The obligation to investigate is absolute, even if just an Initial Assessment is completed (see *Davis*)
- Take prompt and effective action to:
 - **Stop** the harassment
 - **Prevent** the recurrence
 - **Remedy** the effects

NOTE: This is regardless of whether the Complainant makes a formal complaint or asks the school to take action

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THE IX COMMANDMENTS

INVESTIGATION (plus prompt & fair per VAWA Sec. 304)	Thorough	Reliable	Impartial
PROCESS	Prompt	Effective	Equitable
REMEDIES	Act reasonably to stop discrimination	Act reasonably to prevent recurrence	Act equitably to remedy effects

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28

SIGNIFICANT CASES

- *Franklin v. Gwinnett County Public Schools*, 503 U.S. 60 (1992)
- *Gebser v. Lago Vista Independent School District*, 524 U.S. 274 (1998)
- *Davis v. Monroe County Bd. of Education*, 526 U.S. 629 (1999)

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FRANKLIN V. GWINNETT PUBLIC SCHOOLS

503 U.S. 60 (1992)

- District and Eleventh Circuit dismissed the case, indicating that Title IX does not allow for award of monetary damages
- Supreme Court held:
 - Sexual harassment constitutes sex discrimination under Title IX
 - Private right for recovery of monetary damages under Title IX
- *Franklin* did not address issues concerning the educational institution's liability

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GEBSER V. LAGO VISTA INDEP. SCHOOL
524 U.S. 274 (1998)

The Supreme Court ruled individuals cannot recover monetary damages against the school unless:

- Three-part standard:
 1. An official of the educational institution must have had "**actual notice**" of harassment;
 2. The official must have authority to "**institute corrective measures**" to resolve the harassment problem; **AND**
 3. The official must have "**failed to adequately respond**" to the harassment and, in failing to respond, must have acted with "**deliberate indifference.**"

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DAVIS V. MONROE COUNTY BD. OF ED.
526 U.S. 629 (1999)

Finding in favor of Davis, the Supreme Court expanded on the Gebser case:

- The institution must have "**actual notice**" of the harassment; and the institution must have responded to the harassment with "**deliberate indifference.**"

Additionally, court held:

- Harassment must be "**severe, pervasive, and objectively offensive.**" and the indifference "**systemic.**" to the extent that the victim is deprived of educational opportunities or services.
- Justice O'Connor added a framework to determine deliberate indifference – stating that deliberate indifference constitutes a response that is "**clearly unreasonable in light of the known circumstances.**"

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32

THE OCR & TITLE IX

- OCR's Role
- Civil Lawsuits v. Administrative Actions
- OCR Guidance
- OCR Resources

33

33

ROLE OF THE OCR & TITLE IX

- The Office for Civil Rights (OCR) under the U.S. Department of Education is responsible for establishing the **compliance standards to be applied in investigations and enforcement** of Title IX regarding sexual harassment.
 - Provides regulatory and sub-regulatory guidance
- The OCR administratively enforces Title IX by:
 - Conducting investigations of complaints filed by an individual, a representative, or a group
 - Engaging in compliance reviews
 - Initiatives to combat sexual assault in K-12 public schools (compliance reviews; public awareness and support; data collection and reviews)

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ROLE OF THE OCR & TITLE IX (CONT.)

- Technical Assistance (The OPEN Center)
 - To help Recipients, students, and parents/guardians understand their rights and responsibilities

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35

CIVIL LAWSUITS VS. ADMINISTRATIVE ACTION

Lawsuit	Administrative Action
<ul style="list-style-type: none"> ▪ Filed in federal court ▪ Monetary damages, injunction ▪ Requires: <ul style="list-style-type: none"> ▪ Actual notice ▪ Employee with authority to take action ▪ Deliberate Indifference 	<ul style="list-style-type: none"> ▪ Initiated by the OCR ▪ Voluntary compliance or findings ▪ Requires: <ul style="list-style-type: none"> ▪ Actual OR constructive notice (“knew or should have known”) ▪ Investigate ▪ End harassment ▪ Remedy impact ▪ Prevent recurrence

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36

OCR GUIDANCE

Key Regulatory and Sub-Regulatory Guidance from OCR

- Rescinded:
 - 2001 OCR Revised Sexual Harassment Guidance
 - 2011 Dear Colleague Letter (DCL)
 - 2014 Q&A on Title IX and Sexual Violence
 - 2015 DCL on the Role of Title IX Coordinators; TIX Resource Guide
 - 2016 DCL on Transgender Students
 - 2017 Q&A on Campus Sexual Misconduct

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37

OCR GUIDANCE (CONT.)

Key Regulatory and Sub-Regulatory Guidance from OCR

- In effect:
 - 2003 DCL on Title IX and Free Speech
 - 2010 DCL on Harassment and Bullying
 - 2013 DCL on Pregnant and Parenting Students
 - 2020 Amendments to Title IX Regulations
 - 2020 Q&A on Final Title IX Rule
 - 2021 Q&A on Title IX and Single Sex Scholarships, Clubs, and other Programs

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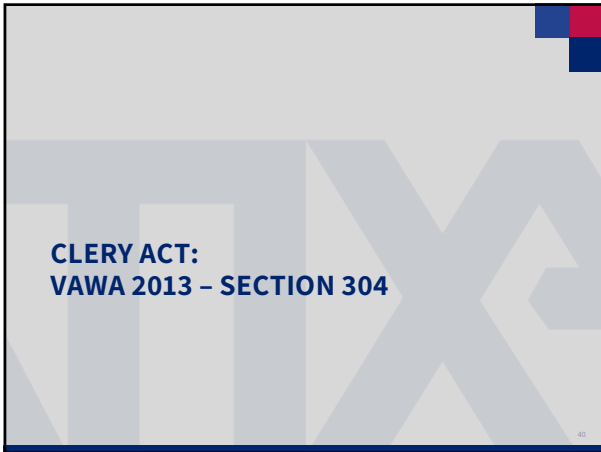
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ADDITIONAL OCR RESOURCES

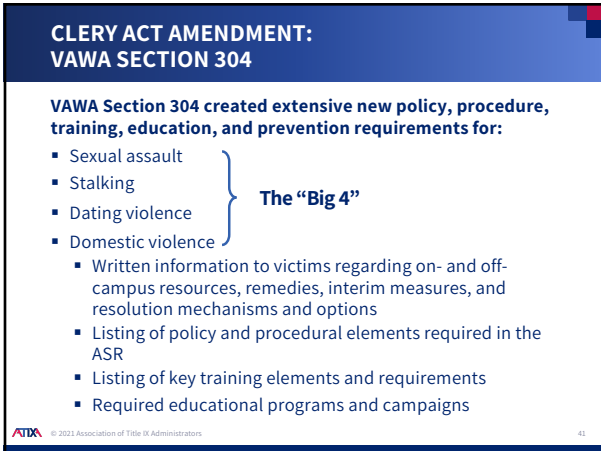
- About OCR:
 - <http://www.ed.gov/about/offices/list/ocr/index.html>
- In addition to the implementing regulations, compliance guidance documents are issued by OCR from time to time:
 - <https://www2.ed.gov/about/offices/list/ocr/frontpage/fag/rr/policyguidance/index.html>
- Updated OCR Case Processing Manual (August 2020):
 - <http://www2.ed.gov/about/offices/list/ocr/docs/ocrspm.pdf>
- OPEN Center
 - OPEN@ed.gov

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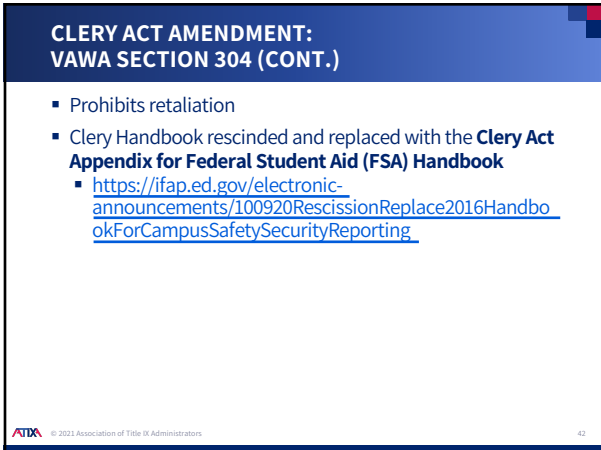
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42

WHEN DOES TITLE IX APPLY?

- Personal Jurisdiction
- Covered Programs
- Geographic Jurisdiction
- Subject Matter Jurisdiction
- When Title IX Does Not Apply
- Group Discussion

43

43

WHEN DOES TITLE IX APPLY?

- Regulations emphasize the *Davis* standard - Title IX applies, and jurisdiction is required, when the recipient has:
 - Control over the harasser (Respondent) AND control over the context of the harassment
 - “Education program or activity” means...
 - locations, events, or circumstances under substantial control
 - any building owned or controlled by an officially recognized student organization

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44

WHEN DOES TITLE IX APPLY?

Personal Jurisdiction

- At the time of filing a formal complaint, a Complainant must be participating in or attempting to participate in the Recipient’s education program or activity.
 - The OCR adopts a fairly broad definition of what could constitute “attempting to participate”
 - Can include dual enrollment students, alumni, prospective students/employees, medical residents, etc.

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45

WHEN DOES TITLE IX APPLY?

Personal Jurisdiction (Cont.)

- When is a student a “student”?
 - Upon **application**? Once **admitted**? Once **registered**? Upon **matriculation**?
 - What about winter and summer **breaks**?
- When is an employee an employee?
 - Exempt vs. Non-Exempt Employees

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46

WHEN DOES TITLE IX APPLY?

Personal Jurisdiction (Cont.)

- If Respondent is **not** affiliated with the institution in any way, the institution **lacks authority** to take disciplinary action
 - E.g.: Employee of an outside company (e.g., vendor, construction worker, etc.); guest or invitee; prospective student; former student; former employee; student from another institution

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47

WHEN DOES TITLE IX APPLY?

Covered Programs

- All programs run by a federal funding Recipient
- It does not matter whether the program receives federal funding, all institutional programs are covered
- All programs using facilities of the funding Recipient
 - e.g., camps using Recipient fields/stadium
- Includes hospitals, residency programs, branch or satellite campuses

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WHEN DOES TITLE IX APPLY?

Geographic Jurisdiction

- Sexual Harassment and Discrimination cases
 - Must be dismissed if did not occur against a person in the U.S., but...
 - Contrary case law
 - There is NO expectation that you exercise jurisdiction over off-site/off-campus incidents UNLESS
 - The property is owned or controlled by the school OR
 - The property is being used for a program or event sponsored by the school or an organization recognized by the school OR
 - The property is owned or controlled by an organization recognized by the school

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49

WHEN DOES TITLE IX APPLY?

Geographic Jurisdiction (Cont.)

- The definition of sexual harassment arguably covers the in-program effects of out-of-program misconduct (though not the misconduct itself)
- Other forms of liability may still apply and the PPTWMM analysis may come into play here
- The Recipient may still be taking discretionary jurisdiction over incidents off-campus or on non-school property, but under other policies, not Title IX

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WHEN DOES TITLE IX APPLY?

Subject Matter

- Sexual Harassment as defined in the 2020 Title IX regulations
- Sex/Gender discrimination (Equity)
 - The OCR recently noted this includes sexual orientation and gender identity (based on biological sex) following Supreme Court's *Bostock* case
- Any other policy violation that is sex/gender-based that causes a discriminatory effect (e.g., hazing, bullying, arson, vandalism, theft, etc.)
- Pregnant and parenting discrimination
- Retaliation

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WHEN DOES TITLE IX APPLY?

Subject Matter (Cont.)

- Limitations:
 - Actions/conduct/speech protected by **academic freedom**
 - Pedagogically appropriate and germane to the subject matter of course that instructor hired to teach/research
 - Actions/conduct/speech protected by the **First Amendment**.
 - Merely offensive conduct cannot be disciplined at a public school
 - Must be **severe, pervasive, and objectively offensive**

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IF TITLE IX JURISDICTION IS NOT PRESENT

- Behavior could still violate and be addressed under:
 - Institutional harassment/discrimination policies
 - Student Handbook/conduct policies
 - Technology/Acceptable Use policies
 - Employee Handbook/conduct policies
 - Professionalism standards
- Institution should still take steps to:
 - Provide support and resources to the Complainant and campus community
 - Address any “downstream effects”
 - Determine if there are patterns or institutional variables that contributed to the alleged incident
 - Take what action it can (e.g., trespass the person)

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GROUP DISCUSSION QUESTIONS

- Does your institution exercise jurisdiction over off-campus/non-school property incidents?
 - Under what circumstances?
 - For Students? Faculty? Staff?
- When is a student officially a student under your code of conduct and/or Title IX policies?
- What are you doing to address off-campus intimate partner violence?
- What are you doing to address online harassment and discrimination?

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54

CREATING & IMPLEMENTING APPROPRIATE POLICY & PROCEDURES

- Required Definitions
- ATIXA Definitions
- Consent Construct
- Navigating First Amendment Protections

55

CREATING AND IMPLEMENTING APPROPRIATE POLICY & PROCEDURES

- **Policies = The Rules**
 - Should clearly define expected/prohibited conduct
 - Should be regularly updated, revised, and assessed
- **Procedures/“Process” = How alleged policy violations are addressed**
 - Should clearly channel the parties to appropriate resources
 - Should provide for the equitable remedying of complaints
- **The 2020 Regulations have likely required substantial changes to your existing policies and procedures.**

56

CREATING AND IMPLEMENTING APPROPRIATE POLICY & PROCEDURES (CONT.)

- TIXC must be an integral part of the policy/procedure development and review process
 - Ensure all policies/procedures related to sex/gender misconduct and discrimination are legally accurate and complete
 - Confirm that new or revised grievance procedures are posted and published promptly and that old procedures are removed from publications and websites
 - Beware of multiple conflicting or varying versions of published policy
 - Internally maintain copies of old policies and procedures for reference in the event of a lawsuit, etc.

57

CREATING AND IMPLEMENTING APPROPRIATE POLICY & PROCEDURES (CONT.)

- If the institution has multiple policies and procedures (for faculty, staff, students), Recipient must ensure that these policies are not conflicting, or do not contain conflicting definitions
 - A strong argument for a single policy!
 - ATIXA's One Policy, Two Processes Model (1P2P)

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CREATING AND IMPLEMENTING APPROPRIATE POLICY & PROCEDURES (CONT.)

- Students and employees should **know policy exists, how it works, and how to file a complaint**
 - Ensure that policy and procedures are published and posted widely
 - E.g., In the publications and information sources that are most commonly read and used — and can be easily located
 - Must be included on website and all handbooks/catalogs given to applicants for admission and employment, students, employees, and unions

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CREATING AND IMPLEMENTING APPROPRIATE POLICY & PROCEDURES (CONT.)

- Written in a manner that is easily understood
- Clearly articulate the difference between making a **report** v. making a **formal complaint**
- Clearly identify the individuals to whom discrimination complaints can be submitted

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DEFINITIONS OF SEXUAL HARASSMENT

- Quid Pro Quo Sexual Harassment
- Hostile Environment Sexual Harassment
- Sexual Assault
- Domestic Violence
- Dating Violence
- Stalking

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REQUIRED DEFINITIONS – TIX REGULATIONS

Sexual Harassment is conduct on the basis of sex meeting one of the following conditions:

- An employee of the Recipient conditioning the provision of an aid, benefit, or service of the Recipient on an individual's participation in unwelcome sexual conduct;
- Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the Recipient's education program or activity; or
- "Sexual assault" as defined in 20 U.S.C. 1092(f)(6)(A)(v)
 "Dating violence" as defined in 34 U.S.C. 12291(a)(10)
 "Domestic violence" as defined in 34 U.S.C. 12291(a)(8)
 "Stalking" as defined in 34 U.S.C. 12291(a)(30)

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HOSTILE ENVIRONMENT: "UNWELCOME"

Unwelcomeness is subjective and determined by the Complainant (except when the Complainant is younger than the age of consent)

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HOSTILE ENVIRONMENT: “REASONABLE PERSON”

Severity, pervasiveness, and objective offensiveness are evaluated based on the totality of the circumstances from the perspective of a reasonable person in the same or similar circumstances (“in the shoes of the Complainant”), including the context in which the alleged incident occurred and any similar, previous patterns that may be evidenced

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HOSTILE ENVIRONMENT: “SEVERE”

- Physical conduct is more likely to be severe
- Accompanied by threats or violence
- Consider the circumstances (e.g., the ability for Complainant to remove themselves from the harassment)

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HOSTILE ENVIRONMENT: “PERVERSIVE”

- Widespread
- Openly practiced
- Well-known among students or employees – reputation of a department, person, etc.
- Occurring in public spaces (more likely to be pervasive)
- Frequency of the conduct is often a variable in assessing pervasiveness (look to intensity and duration)
- Unreasonable interference with school or job
- A “gauntlet of sexual abuse” *Meritor v. Vinson*, 477 U.S. 57 (1986)

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**HOSTILE ENVIRONMENT:
"OBJECTIVELY OFFENSIVE"**

- Reasonable person standard in context
- "I know it when I see it..."
- Age and relationships of Complainant and Respondent
- Number of persons involved
- Frequency
- Severity

- Physically threatening
- Humiliation
- Intimidation
- Ridicule
- Abusive

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**HOSTILE ENVIRONMENT:
TOTALITY OF THE CIRCUMSTANCES**

- Hostile environment analysis requires that you evaluate the "totality of the circumstances."
- Totality of the circumstances to consider:
 - Frequency, nature, and severity of the conduct (see factors previously discussed)
 - Identity of and relationship between the parties
 - Age and sex of the parties
 - Size of the school, location of the incidents, and context in which they occurred

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**HOSTILE ENVIRONMENT:
TOTALITY OF THE CIRCUMSTANCES (CONT.)**

- Totality of the circumstances to consider:
 - Whether the conduct unreasonably interfered with the Complainant's educational/work performance
 - Effect on the Complainant's mental or emotional state
 - Whether the statement was an utterance of an epithet which was offensive or offended by discourtesy or rudeness
 - Whether the speech or conduct deserves the protections of academic freedom or First Amendment protection
 - "Constellation of surrounding circumstances."

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SEXUAL ASSAULT

Any sexual act directed against another person, without the consent of the Complainant including instances where the Complainant is incapable of giving consent.

- **Rape** - Penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the Complainant.
- **Sodomy** - Oral or anal sexual intercourse with another person, forcibly and/or against that person's will or not forcibly or against the person's will (non-consensually) in instances where the Complainant is incapable of giving consent because of age or because of temporary or permanent mental or physical incapacity.

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70

SEXUAL ASSAULT (CONTD.)

- **Sexual Assault with an Object** - To use an object or instrument to penetrate, however slightly, the genital or anal opening of the body of another person, forcibly and/or against that person's will or not forcibly or against the person's will (non-consensually) in instances where the Complainant is incapable of giving consent because of age or because of temporary or permanent mental or physical incapacity.
- **Fondling** - The touching of the private body parts of another person (buttocks, groin, breasts) for the purpose of sexual gratification, forcibly and/or against that person's will (non-consensually) or not forcibly or against the person's will in instances where the Complainant is incapable of giving consent because of age or because of temporary or permanent mental or physical incapacity.

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71

SEXUAL ASSAULT (CONTD.)

- **Incest** - Nonforcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by [insert state] law.
- **Statutory Rape** - Nonforcible sexual intercourse with a person who is under the statutory age of consent of [insert age in your state].

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72

DATING VIOLENCE

- Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the Complainant. The existence of such a relationship shall be determined based on the Complainant’s statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. For the purposes of this definition —
 - Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse.
 - Dating violence does not include acts covered under the definition of domestic violence.

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73

DOMESTIC VIOLENCE

- A felony or misdemeanor crime of violence committed —
 - By a current or former spouse or intimate partner of the Complainant;
 - By a person with whom the Complainant shares a child in common;
 - By a person who is cohabitating with, or has cohabitated with, the Complainant as a spouse or intimate partner;
 - By a person similarly situated to a spouse of the Complainant under the domestic or family violence laws [insert your state here];
 - By any other person against an adult or youth Complainant who is protected from that person’s acts under the domestic or family violence laws of [insert your state here].

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74

DOMESTIC VIOLENCE (CONTD.)

- To categorize an incident as Domestic Violence, the relationship between the Respondent and the Complainant must be more than just two people living together as roommates. The people cohabitating must be current or former spouses or have an intimate relationship.

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75

STALKING

- Engaging in a course of conduct directed at a specific person that would cause a reasonable person to —
 - Fear for the person’s safety or the safety of others; or
 - Suffer substantial emotional distress.
- For the purposes of this definition:
 - **Course of conduct** means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.

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76

STALKING (CONTD.)

- **Reasonable person** means a reasonable person under similar circumstances and with similar identities to the Complainant.
- **Substantial emotional distress** means significant mental suffering or anguish that may but does not necessarily require medical or other professional treatment or counseling.
- The TIX regulations insist this definition not be interpreted to violate First Amendment.

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77

OTHER POLICY DEFINITIONS

- Retaliation
- Sexual Exploitation

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78

RETALIATION – REGULATION DEFINITION

§ 106.71 Retaliation

- *Retaliation prohibited.* No Recipient or other person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX or this part, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this part...

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79

RETALIATION – REGULATION DEFINITION

(Cont.)...Intimidation, threats, coercion, or discrimination, including charges against an individual for code of conduct violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or formal complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by Title IX or this part, constitutes retaliation.

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80

RETALIATION

§ 106.71 Retaliation.

- The Recipient must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a formal complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of 34 CFR part 106, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder...

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81

RETALIATION

(Cont.)...Complaints alleging retaliation may be filed according to the grievance procedures for sex discrimination required to be adopted under § 106.8(c).

- *Specific circumstances.*
 - (1) The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under paragraph (a) of this section.
 - (2) Charging an individual with a code of conduct violation for making a materially false statement in bad faith in the course of a grievance proceeding under this part does not constitute retaliation prohibited under paragraph (a) of this section, provided, however, that a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith.

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82

**ATIXA MODEL DEFINITIONS:
SEXUAL EXPLOITATION**

Sexual Exploitation (non-Title IX sexual harassment)

- Occurs when one person takes non-consensual or abusive sexual advantage of another for their own advantage or benefit, or to benefit or advantage anyone other than the one being exploited, and that behavior does not otherwise constitute one of other sexual misconduct offenses.
- Examples of sexual exploitation include, but are not limited to:
 - Invasion of sexual privacy
 - Non-consensual digital, video, or audio recording of nudity or sexual activity

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83

**ATIXA MODEL DEFINITIONS:
SEXUAL EXPLOITATION (CONT.)**

- Examples (continued):
 - Unauthorized sharing or distribution of digital, video, or audio recording of nudity or sexual activity
 - Engaging in voyeurism
 - Going beyond the boundaries of consent (such as letting your friend hide in the closet to watch you having consensual sex)
 - Knowingly exposing someone to or transmitting an STI, STD, or HIV to another person
 - Intentionally or recklessly exposing one's genitals in non-consensual circumstances or inducing another to expose their genitals
 - Sexually-based bullying may also be a form of sexual exploitation

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CONSENT CONSTRUCT

- Force
- Incapacity
- Consent

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CONSENT

- Informed, knowing, and voluntary (freely given)
- Active (not passive)
- Creates mutually understandable permission regarding the conditions of sexual activity
- No means no, but nothing also means no. Silence and passivity do not equal consent.
- Given immediately prior to or contemporaneously with the sexual or intimate activity
- Consent can be withdrawn at any time, so long as it is clearly communicated verbally or non-verbally

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CONSENT (CONT.)

- Cannot be obtained by use of:
 - Physical force, threats, intimidation, or coercion
- Cannot be given by someone known to be — or who should be known to be — mentally or physically incapacitated

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87

OVERVIEW OF THE THREE QUESTIONS

1. Was force used by the Respondent to obtain sexual or intimate access?
2. Was the Complainant incapacitated?
 - a. If so, did the Respondent know, or
 - b. Should the Respondent have known that the Complainant was incapacitated


Note: The intoxication of the Respondent can not be used as a reason they did not know of the Complainant's incapacity.

3. What clear words or actions by the Complainant gave the Respondent permission for each specific sexual or intimate act that took place as it took place?

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88

NAVIGATING FIRST AMENDMENT PROTECTIONS



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NAVIGATING FIRST AMENDMENT PROTECTIONS

“Congress shall make no law...abridging the freedom of speech...”

- The ED reaffirms First Amendment protections in Title IX Regulations
- An important concern for all public institutions and any private campuses impacted by state law and constitutions (e.g., California and New Jersey)
- Impacts policy language regarding expression
 - Pay heed to vagueness and over-breadth concerns
 - Avoid incorporating “intent” or “purpose” language
 - Incorporate appropriate standard for context

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NAVIGATING FIRST AMENDMENT PROTECTIONS (CONT.)

- Issues to consider:
 - Time, place, and manner
 - Open forum, limited open forum, and closed forum
 - Confluence with academic freedom (faculty)
 - Unprotected speech
 - Incitement of disruption and breach of peace
 - Defamation
 - True threat
 - Obscenity
 - Outside speakers
 - Hate speech

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OVERSIGHT AND COORDINATING PROMPT & EQUITABLE GRIEVANCE PROCEDURES

- The Process
- Promptness
- Equity
- Clery Act: VAWA Sec. 203

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92

THE PROCESS

```

    graph LR
      A[Incident] --> B[Initial Assessment]
      B --> C[Formal Investigation & Report]
      C --> D[Determination (Hearing)]
      D --> E[Appeal]
  
```

- Incident**
 - Complaint or notice to the Title IX Coordinator
 - Strategy development
- Initial Assessment**
 - Jurisdiction?
 - Dismissal?
 - Policy violation implicated?
 - Reinstatement?
 - Informal or formal resolution?
- Formal Investigation & Report**
 - Notice to parties
 - Identification of witnesses
 - Interview scheduling
 - Evidence collection
 - Report drafted
 - Evidence and draft investigation report shared
 - Investigation report finalized and shared
- Determination (Hearing)**
 - Cross-examination
 - Determination
 - Sanction?
 - Remedies
- Appeal**
 - Standing?
 - Vacate?
 - Remand?
 - Substitute?

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PROMPTNESS

- Reasonably prompt timeframes for the conclusion of the grievance process, including reasonably prompt timeframes for filing and resolving appeals
- Concurrent law enforcement investigation does not relieve the burden of the institution to investigate
- Temporary delays for “good cause” and with written notice of the delay to parties
 - Complexity of the investigation
 - Concurrent law enforcement investigation with time-dependent release of evidence (we recommend 1-2 week delay)
 - Delays for administrative needs are insufficient

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OVERSIGHT AND COORDINATING PROMPT AND EQUITABLE GRIEVANCE PROCEDURES

- Institutions are required to make a “good faith effort” to resolve allegations promptly
 - 60 days to resolution is a good guide; varies based on situation
 - What about breaks?
 - Pending criminal or civil actions are not reasons for lengthy delays
 - Injunctions?
 - What about delays by the Complainant?

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OVERSIGHT AND COORDINATING PROMPT AND EQUITABLE GRIEVANCE PROCEDURES (CONT.)

- The grievance process must be conducted according to the timelines in the Recipient’s policy
 - Policy wording: Use “reasonable delays at the discretion of the Title IX administrator,” “barring exigent circumstances,” etc.
- Document all delays/extension and rationale therefore
 - E.g., unresponsive or uncooperative parties, criminal investigation, holidays, etc.
- Periodically update the parties throughout the process

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96

Equality
requires a level playing field that doesn't yet exist

Equity
acknowledges systemic impediments with targeted fixes

Justice
eliminates systemic barriers

Agency
individuals know that access is their right

The journey starts by asking those affected how they see and are impacted by the conditions, rules, and resources.

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EQUITY REQUIREMENTS

- Various forms of notice — policies and procedures, investigation, hearing, outcome (finding and sanction), etc.
 - Notification of outcomes to parties permitted by FERPA and also required by Clery (outcome and sanctions)
 - Title IX rules in conflict with FERPA
 - IN WRITING!
- Opportunities to present witnesses and provide evidence
- Ability to discuss the allegations without restriction
- Ability to inspect and review evidence and investigation report
- Provide the same rights for an Advisor

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EQUITY REQUIREMENTS (CONT.)

- Impartial Investigators, investigation, hearing, and Decision-makers
- Remedies
- All parties entitled to appeal

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CLERY: VAWA 2013 SECTION 304

- Institutional disciplinary procedures shall “provide a prompt, fair, and impartial process from the initial investigation to the final result.”
 - Accuser and accused are entitled to the **same opportunities** to have a support person/Advisor **of their choice** at any proceeding or related meeting.

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CLERY: VAWA 2013 SECTION 304 (CONT.)

- Accuser and accused must be simultaneously informed in writing of:
 - The outcome that arises from an allegation of Dating Violence, Domestic Violence, Sexual Assault, Stalking
 - **Outcome = Finding, sanction, and rationale**
 - The institution’s procedures for appeal
 - Any change to the results that occurs prior to the time that such results become final
 - When such results become final

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101

EQUITY CONCERNS

- Participants/stakeholders believe “equity” = “equality”
- Institutional policies and procedures that are constituency-based and thereby privilege certain groups more than others (e.g., faculty, staff, or students)
- Widely disparate procedures to remedy different forms of discrimination (e.g., race, religion, disability, sex/gender)
- Ensuring that remedies are equitable (in addition to resolution processes)
- Contact restrictions on the parties that are too broad or punitive

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EQUITY CONCERNS (CONT.)

- Appeal processes, or other processes, where only one party is entitled to participate
- Conflicts among federal regulations/guidance and state laws or education codes

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COORDINATING OVERLAP OF VARIOUS STUDENT & EMPLOYEE GRIEVANCE PROCESSES

- Potential Processes
- Title IX And Title VII
- One Policy-Two Processes

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104

COORDINATING THE OVERLAP OF VARIOUS GRIEVANCE PROCESSES

- The Title IX Coordinator must coordinate across multiple constituency groups and procedures as necessary
- Potential processes:
 - Generalized sexual harassment procedures
 - General student grievance procedures
 - Faculty & Employee grievance procedures
 - Student conduct/discipline process
 - Faculty & Employee discipline processes
 - Academic appeal process
 - Athletic department polices/processes and “team rules”
 - Collective bargaining agreements

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TITLE IX AND TITLE VII

- Must understand distinctions between Title IX and Title VII in responding and investigating
- Must be very familiar with all the processes
- Must have the ability to merge/combine/pick the investigatory and hearing processes and explain these to the parties
 - E.g., The difference between a student-employee and an employee-student

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ONE POLICY-TWO PROCESSES (1P2P)

- A community-based policy that addresses all forms of harassment, discrimination, and sexual misconduct applicable to all members of the institution community promotes equity, minimizes confusion, and supports institutional mission
 - Provides easier training focus
 - Allows for commonality in documentation and investigation

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POINT PERSON FOR REPORTS AND COMPLAINTS

- Notice, Reporting, & Confidentiality
- Initial Assessment
- Supportive Measures
- Mandatory & Discretionary Dismissals
- Emergency Removal

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108

POINT PERSON FOR REPORTS AND COMPLAINTS

- The Title IX Coordinator will be the individual designated to ensure the Title IX protocol is implemented and therefore should be the individual to whom all complaints or notice related to sex/gender harassment, misconduct, and discrimination should be directed
 - Contact information for Title IX Coordinator must be included on website and all handbooks/catalogs given to applicants for admission and employment, students, employees, and unions
 - Recipient may designate multiple portals for receipt of information (e.g., Deputy Coordinators)
 - All responsible employees are expected to report notice and complaints to the Title IX Coordinator

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109

COORDINATION WITH LAW ENFORCEMENT

- Law enforcement information sharing:
 - The Title IX Coordinator should establish a **reporting and information-sharing structure** with campus law enforcement.
 - May wish to have a formal Memorandum of Understanding (MOU)
 - All campus law enforcement officers (whether sworn or public safety/security) are considered “officials with authority” and have an obligation to report to the Title IX Coordinator
 - Institutions with sworn law enforcement officers may need to negotiate timing and information-sharing based on the law enforcement’s role with criminal investigations and state laws

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110

POINT PERSON FOR REPORTS AND COMPLAINTS

- The Title IX Coordinator must ensure the institution is promptly engaging in:
 - Initiation of the initial assessment
 - Implementation of response to stop the alleged harassment/discrimination
 - Provision of supportive measures to the parties
 - Provision of information about how to make a formal complaint
 - Action to reasonably prevent the recurrence
- The Title IX Coordinator must **coordinate** all of these steps, often across administrative processes and institutional silos
- Importance of a centralized database

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NOTICE, REPORTING, & CONFIDENTIALITY

- Notice to the Institution
- Responsible Employees
- Clery: Campus Security Authorities
- Additional Reporting Requirements
- Privileged, Confidential & Private

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112

NOTICE TO THE INSTITUTION

- “Actual Knowledge” is defined as a report being received by:
 - The TIX Coordinator; or
 - Any official who has authority to institute corrective measures on behalf of the recipient
- This is only the standard for when the OCR would deem a higher education institution to have received actual notice AND MUST investigate; it is the bare minimum requirement
 - What if Recipient receives notice in some other way?
 - Other types of liability may still exist for failure to act with constructive notice (e.g., tort)

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113

RESPONSIBLE EMPLOYEES

- ATIXA still recommends institutions require all employees to report harassment or discrimination and keep the “Responsible Employee” standard
- A **Responsible Employee** is any employee who:
 1. Has the authority to take action to redress the harassment; **or**
 2. Has the duty to report harassment or other types of misconduct to appropriate officials; **or**
 3. Someone a student could reasonably believe has this authority or responsibility.

Institutions must ensure that employees are trained regarding their obligation to report harassment to appropriate administrators.

Some institutions or schools use the term “mandatory reporters.”

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114

**THE CLERY ACT:
CAMPUS SECURITY AUTHORITY (CSA)**

- CSA mandatory reporting:
 - 4-part definition of a CSA noted in the Clery Act Appendix for FSA Handbook
 - CSAs must share all reports of any allegations that would fall into the Clery crime categories made to them in their capacity as a CSA to their campus chief CSA (typically campus police)
 - Does not include indirect notification: classroom discussions, overhearing something in the hallway, speeches (e.g., Take-Back-The-Night events), etc.

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CSA VS. RESPONSIBLE EMPLOYEE

- “Responsible Employee” is a broader/more encompassing designation.
- All CSAs are Responsible Employees, but not all Responsible Employees are CSAs.

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116

OTHER LAWS THAT DETAIL REPORTING REQUIREMENTS

- Supervisors and Managers (per Title VII)
 - Mandated to report harassment or other misconduct of which they are aware.
- Abuse or Suspected Abuse of Minors
 - All employees are required to report abuse or suspected abuse of minors consistent with the law of the state. This generally includes reporting immediately to law enforcement and to the state’s child welfare agency.
- Additional state reporting requirements (e.g., elder abuse and felony reporting)

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117

PRIVILEGE VS. CONFIDENTIALITY VS. PRIVACY

Privilege

- Granted by laws and professional ethics
- Attorneys, licensed professional counselors, medical professionals, pastoral counselors
 - To have privilege, these individuals must be:
 - Acting in the capacity for which they are employed,
 - Acting within the scope of their license, and
 - Receive the disclosure during the scope of that employment
 - Key exception is child abuse reporting

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118

PRIVILEGE VS. CONFIDENTIALITY VS. PRIVACY

Confidentiality

- Designated by the institution
- Do not have to report harassment or discrimination of which they become aware
- Allows for provision of services and support without concern of reporting
- Examples: Victim advocates/sexual assault-related services, gender-based resource centers, Advisors during resolution processes, ombudspersons
- Must still follow state reporting laws

* ATIXA recommends confidential employees report aggregate, non-identifiable data for Clery and Title IX statistical purposes

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119

PRIVILEGE VS. CONFIDENTIALITY VS. PRIVACY

Privacy

- Anyone who does not meet the definition of a “Responsible Employee” can maintain privacy
 - This number could expand significantly under the 2020 Regulations given the more restrictive “Official with Authority” definition
 - Notice to them does not constitute “Actual Knowledge” requiring an investigation
- May report incidents without identifying the parties
- Examples: Administrative Assistants, Non-supervisory employees
- Must still follow state reporting laws

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120

ATIXA'S RECOMMENDED APPROACH

- ATIXA recommends that all employees report because this:
 - Enables institution to best support those who have experienced harassment or discrimination
 - “Private” employees may report non-identifiable information, but this may limit provision of support and resources
 - Better enables tracking patterns
 - Ensure information gets to those trained to respond

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121

INITIAL ASSESSMENT

- Title IX Coordinator’s Role
- Report vs. Formal Complaint
- Requests for Confidentiality
- Supportive Measures
- Mandatory and Permissive Dismissal
- Emergency Removal
- Timely Warning & Emergency Notification
- Notice to the Parties

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122

INITIAL ASSESSMENT

Upon receipt of notice, the TIXC should be responsible for conducting an initial assessment to determine the following:

- Has there been a formal complaint?
- Does the TIXC need to sign/initiate a formal complaint?
- Does the alleged conduct meet the required definitions?
- Does jurisdiction exist?
- Can/should Recipient remedy informally or without discipline?
- Mandatory/Discretionary dismissal considerations
- If dismissed, does an alternate policy/process apply?

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INITIAL ASSESSMENT (CONT.)

- If proceeding under Title IX:
 - Establish basis of investigation:
 - Incident or pattern, and/or climate/culture
 - Establish a preliminary timeline for the investigation
- If no formal action, document how Recipient’s response was not deliberately indifferent.
- Responding to anonymous reports:
 - Determine if a trend or pattern may be apparent
 - Can you identify parties?
 - Duty to attempt some form of remedial response, even to an anonymous report

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124

REPORT V. COMPLAINT

- Distinguish between a “report” and a “formal complaint”
- Upon receiving a “report” (either from the would-be Complainant or a third party):
 - Reach out and provide support.
 - Provide supportive and interim measures to the person alleged to have experienced the harassment. May also offer to would-be Respondent.
 - Explain process to make a formal complaint.
 - Must be in writing and signed by the Complainant but can be made in any format (on paper or electronic) and made at any time
 - Also explain option to report to law enforcement (VAWA requirement)

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125

REPORT V. COMPLAINT (CONT.)

- Upon receiving a “formal complaint:”
 - Conduct initial assessment to determine jurisdiction
 - Triggers obligation to follow “grievance process” including investigation and hearing

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126

FORMAL COMPLAINT

Formal Complaint

- Document or electronic submission
- Filed by Complainant or signed by TIX Coordinator
 - TIXC does not become a party to the complaint
- Alleging sexual harassment
- Requesting an investigation
- Complainant must be participating or attempting to participate in the Recipient’s education program or activity at the time of filing
- Initiates mandatory grievance process (investigation and hearing)

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127

REQUESTS FOR CONFIDENTIALITY

If a Complainant requests confidentiality and/or does not want the institution to investigate:

- The Complainant should be notified of the following:
 - The process will still be available to them, regardless of how long they wait
 - The institution can provide resources and supportive measures to limit the effect of the behavior on the Complainant
 - If information is brought to the attention of the institution that may involve a threat to the community, the institution may be forced to proceed with an investigation, but that the Complainant will be notified of this process

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128

REQUESTS FOR CONFIDENTIALITY (CONT.)

- The Complainant should be notified of the following:
 - The institution’s responsive action/remedial abilities may be limited based on the level of confidentiality or privacy requested by Complainant
 - Privacy cannot be guaranteed if doing so would jeopardize the safety of the Complainant or others
 - Only those with a need to know will be informed
 - If the Respondent is an employee, the institution may need to proceed due to Title VII

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129

REQUESTS FOR CONFIDENTIALITY (CONT.)

- The institution should take all reasonable steps to respond consistent with the Complainant’s request.
 - Provided that doing so does not prevent the school from responding effectively and preventing the harassment of other students or the Complainant.
- Use the PPTVWM analysis to determine whether you are to honor a Complainant’s request for confidentiality.
- Proceeding without a Complainant’s participation has due process implications for the Respondent.

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130

PPTVWM

- Title IX Coordinator may need to file a formal complaint if any of the following are present:
 - **PPTVWM**
 - Pattern
 - Predation
 - Threat
 - Violence/Weapon
 - Minors (will always be reported to proper authorities)

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131

PPTVWM (CONT.)

- Factors to consider:
 - Additional complaints of sexual violence involving the same Respondent
 - Whether the sexual violence was committed by multiple individuals
 - Whether the Respondent has a prior history of violence
 - Whether the report reveals a pattern of behavior at a given location or by a particular group
 - Whether the Respondent threatened further sexual violence or violence against the Complainant or others
 - Whether a weapon facilitated the sexual violence
 - Age of the Complainant (incidents involving minors will always be reported to proper authorities)

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132

PPTVWM (CONT.)

- Factors to consider:
 - Whether the school possesses other means to obtain relevant evidence (e.g., security cameras or personnel, or physical evidence)
- If school proceeds, it should notify the Complainant and utilize appropriate supportive measures to protect them

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133

SUPPORTIVE MEASURES

- Provided to all parties throughout the process:
 - Non-disciplinary, non-punitive
 - Individualized
 - Restore or preserve equal access
 - Without unreasonably burdening other party
 - Protect safety of parties or environment, or deter sexual harassment
- If supportive measures not provided, document why not.

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134

COMMON SUPPORTIVE MEASURES

<ul style="list-style-type: none"> ▪ Referral to counseling, medical and/or other health services ▪ Referral to the Employee Assistance Program ▪ Visa and immigration assistance ▪ Education to the community or community subgroup ▪ Altering housing situation (if applicable) ▪ Altering work arrangements for employees ▪ Safety planning 	<ul style="list-style-type: none"> ▪ Providing school safety escorts ▪ Transportation accommodations ▪ Implementing contact limitations (no contact orders) between the parties ▪ Academic support, extensions of deadlines, or other course-related adjustments ▪ Trespass or Be on the Lookout (BOLO) orders ▪ Emergency notifications ▪ Increased security and monitoring of certain areas
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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135

MANDATORY DISMISSAL OF A FORMAL COMPLAINT

The TIX Coordinator MUST dismiss the complaint at any time if the alleged conduct:

- Would not constitute sexual harassment as defined (five offenses in § 106.30), even if proved
- Did not occur in the Recipient’s education program or activity
- Did not occur against a person in the United States
- The Complainant is not participating or attempting to participate in Recipient’s program at time of complaint

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136

DISCRETIONARY OR PERMISSIVE DISMISSAL OF A FORMAL COMPLAINT

The TIX Coordinator MAY dismiss the complaint if at any time prior to a determination:

- Complainant notifies the Title IX Coordinator in writing that the Complainant would like to withdraw the formal complaint or any allegations
- Respondent is no longer enrolled or employed by Recipient
- Specific circumstances prevent the Recipient from gathering evidence sufficient to reach a determination as to the formal complaint or any allegations

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137

MANDATORY OR PERMISSIVE DISMISSAL OF A FORMAL COMPLAINT

- Written notice of dismissal to parties required
 - Dismissal (or non-dismissal) of formal complaint may be appealed

Upon dismissal, the Recipient may institute action under another provision of the code of conduct or other policies. Due process requirements for VAWA offenses may be required in alternate processes.

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138

EMERGENCY REMOVAL

A Recipient may remove a student Respondent from the education program or activity on an emergency basis, only after:

1. Undertaking an individualized safety and risk analysis
2. Determining if an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment justifies removal
3. Providing the Respondent with notice and an opportunity to challenge the decision immediately following the removal while respecting all rights under the Individuals with Disabilities Education Act, Section 504 of the Rehabilitation Act of 1973, or the Americans with Disabilities Act, as applicable.

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139

EMPLOYEE ADMINISTRATIVE LEAVE

- A Recipient may place a non-student employee Respondent on administrative leave during the pendency of a grievance process under existing procedures, without modifying any rights provided under Section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act

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140

THE CLERY ACT: TIMELY WARNING & EMERGENCY NOTIFICATION

- **Timely Warning** – notification of crimes reported to campus security authorities or local law enforcement that are serious or pose a continuing threat
- **Emergency Notification** – notification of any significant emergency or dangerous situation that poses an immediate threat to the health or safety
 - Includes both Clery and non-Clery incidents.
 - Clery-based example: campus shooting
 - Non-Clery-based examples: outbreak of communicable disease, nearby gas main leak, or impending weather emergency

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141

NOTICE REQUIREMENTS PRIOR TO INVESTIGATION

After receiving a formal complaint, the Recipient must provide the following written notice to the parties who are known:

- Notice of the grievance process, including any informal resolution process
- Notice of the allegations of sexual harassment potentially constituting sexual harassment, including sufficient details known at the time and with sufficient time to prepare a response before any initial interview, including:
 - The identities of the parties involved in the incident, if known
 - The conduct allegedly constituting sexual harassment
 - The date and location of the alleged incident, if known

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142

NOTICE REQUIREMENTS PRIOR TO INVESTIGATION (CONT.)

- A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the grievance process
- Notice that the parties may have an Advisor of their choice, who may be, but is not required to be, an attorney, and may inspect and review evidence
- Parties may inspect and review evidence prior to the completion of the investigation report
- Any provision from code of conduct that prohibits knowingly making false statements or knowingly submitting false information (if any)
- Update notice if additional allegations will be added/investigated

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143

COORDINATING INFORMAL RESOLUTION

- Regulations Requirements
- Types of Informal Resolution
- Informal Resolution Considerations

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144

INFORMAL RESOLUTION – TITLE IX REGULATIONS

- The Title IX regulations include a provision that encourages informal resolution, and it is a worthy practice, when voluntary
- **Informal resolution** is not defined
- Regulations specify:
 - Formal complaint required
 - Allowed at any time prior to a final determination at discretion of TIXC
 - Voluntary, written consent of the parties
 - Not available for allegations of employee on student harassment
 - **Must still stop, prevent, remedy, and document response**

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145

INFORMAL RESOLUTION

- ATIXA has framed a process for Informal Resolution that includes:
 - A response based on supportive measures; and/or
 - A response based on a Respondent accepting responsibility; and/or
 - A response based on alternative resolution, which could include various approaches and facilitation of dialogue.
- Alternative resolution approaches like mediation, restorative practices, transformative justice, etc., are likely to be used more often by colleges and universities.
- ATIXA does not endorse these approaches as better or worse than other formal or informal approaches.

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146

INFORMAL RESOLUTION CONSIDERATIONS

The Title IX Coordinator may look to the following factors to assess whether Informal Resolution is appropriate, or which form of Informal Resolution may be most successful for the parties:

- Amenity of the parties to Informal Resolution
- Likelihood of potential resolution, taking into account any power dynamics between the parties
- Motivation of the parties to participate
- Civility of the parties
- Cleared violence risk assessment/ongoing risk analysis
- Whether an emergency removal is needed
- Skill of the Informal Resolution facilitator with the type of complaint

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147

INFORMAL RESOLUTION CONSIDERATIONS (CONT.)

- Complexity of the complaint
- Emotional investment/intelligence of the parties
- Rationality of the parties
- Goals of the parties
- Adequate time to invest in Informal Resolution (resources, staff, etc.)

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148

SUPERVISING INVESTIGATIONS

- Title IX Coordinator's Role
- When to Investigate
- Who Should Investigate
- Role of Law Enforcement

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149

SUPERVISING INVESTIGATIONS

- The Title IX Coordinator is responsible for:
 - Determining extent of investigation
 - Appointment of investigators
 - Coordination/supervision of investigators and investigations
 - Investigation strategy
 - Assurance of supportive measures
 - Timeline compliance
 - Providing institutional memory to investigators
 - Training investigators
 - Facilitating the sending of notices to the parties (e.g., Notice of Investigation & Allegations (NOIA); Notice of Hearing, etc.)

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SUPERVISING INVESTIGATIONS (CONT.)

- The Title IX Coordinator is responsible for:
 - Reviewing the investigation report
 - Gatekeeping
 - Duty to warn
 - Recordkeeping of all activities

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WHEN DO YOU INVESTIGATE?

- Upon receipt of a formal, written, signed complaint
- When the Coordinator deems an investigation is warranted (and signs the formal written complaint)
- Rumors, gossip, social media, etc. can be notice, but not under the OCR regulations
 - Investigating on these bases is discretionary particularly considering the regulations
- Once a formal complaint is filed, the duty to investigate is absolute
 - At a minimum, an initial assessment (formerly preliminary inquiry) must be completed

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152

WHO SHOULD INVESTIGATE?

- Investigations of sexual harassment must be impartial, thorough, and reliable. Investigators must be **well-trained**.

<ul style="list-style-type: none"> ▪ Title IX Coordinator? ▪ Standing panel of Investigators? ▪ Human resources? ▪ Student services? ▪ Administrators/Staff? ▪ Faculty? 	<ul style="list-style-type: none"> ▪ Coaches? ▪ Outside/External Investigator? ▪ NOT Legal Counsel
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153

SHOULD THERE BE MORE THAN ONE INVESTIGATOR?

- No specific requirement, but:
 - Investigation must be prompt, thorough, and impartial
 - Investigator must collect the maximum amount of relevant information available
 - A pool of investigators may help to ensure that your investigation meets these requirements
 - Who investigates may be strategic to each specific case
 - Team = ability to brainstorm investigation steps and lines of questioning with co-investigators and co-facilitate interviews
 - Flexibility if there is any conflict with investigators and parties

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ROLE OF CAMPUS LAW ENFORCEMENT IN CIVIL RIGHTS INVESTIGATIONS

- Can campus law enforcement be the Title IX investigatory arm?
 - Should it be? (not a best practice)
 - Legal standards for criminal investigations are different
 - Police investigations or reports may not be determinative of whether harassment occurred under Title IX and do not relieve the school of its duty to respond promptly and effectively
- Establish MOUs with campus police and other local enforcement and update annually
 - The power of the tabletop exercise

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155

ELEMENTS OF AN INVESTIGATION

- 10 Steps
- Investigation Strategy
- Rights of the Parties
- Understanding Evidence
- Credibility
- Investigation Report
- G.A.S. Framework
- Credibility
- Evidence & Report Review

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10 STEPS OF AN INVESTIGATION

1. Receive Notice/Complaint
2. Initial Assessment and Jurisdiction Determination
3. Establish basis for investigation (Incident, Pattern, and/or Culture/Climate)
4. Notice of Investigation and Allegations (NOIA) to Parties (“Charge”)
5. Establish investigation strategy
6. Formal comprehensive investigation
 - Witness interviews
 - Evidence gathering

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10 STEPS OF AN INVESTIGATION (CONT.)

7. Draft investigation report
8. Meet with Title IX Coordinator (or legal counsel) to review draft report and evidence
9. Provide report all evidence directly related to the allegations to parties and their Advisors for inspection and review with 10 days for response
10. Complete final investigation report
 - Synthesize and analyze relevant evidence
 - Send final report to parties for review and written response at least 10 days prior to hearing

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INVESTIGATION: STRATEGY IS KEY

The investigation team, in consultation with the Title IX Coordinator, and/or the Deputy Coordinator, strategizes the entire investigation. Begin with:

- What are the undisputed facts? Which ones are significant to the investigation?
- What are the facts in dispute? Which ones are significant to the investigation?
- Who needs to be interviewed?
- What should be the order of the interviews?
- What evidence needs to be gathered?
- Timeline

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RIGHTS OF THE PARTIES DURING THE INVESTIGATION

Complainants and Respondents have the right to:

- Present witnesses, including fact and expert witnesses
- Present inculpatory and exculpatory evidence
- Discuss the allegations under investigation without restriction
- Gather and present relevant evidence without restriction
- Be accompanied to any related meeting or proceeding by Advisor of their choice, who may be, but is not required to be, an attorney
- Written notice of the date, time, location, participants, and purpose of investigation interviews or other meetings, with sufficient time to prepare
- Inspect and review directly related evidence and investigation report

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160

UNDERSTANDING EVIDENCE

- Formal rules of evidence do not apply
- **All** relevant and reasonably available evidence must be considered – inculpatory and exculpatory
- If the information is considered relevant to prove or disprove a fact at issue, it should be admitted. If credible, it should be considered.
 - Evidence is any kind of information presented with the intent to prove what took place
 - Certain types of evidence may be relevant to the credibility of the party or witness, but not to the allegations

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CREDIBILITY

- Credibility is largely a function of corroboration and consistency
- To assess credibility is to assess the extent to which you can rely on an individual's testimony to be accurate and helpful in your understanding of the case.
 - Credible is not synonymous with truthful
 - Memory errors do not necessarily destroy witness credibility, nor does some evasion or misleading
 - Refrain from focusing on irrelevant inaccuracies and inconsistencies

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162

THE INVESTIGATION REPORT

- Comprehensive document summarizing the investigation
 - Results of interviews with parties and witnesses (including experts)
 - Summary of other information collected (i.e., information from police reports including pretext calls, medical exams, video surveillance and photographs; copies of text, email and social networking messages; etc.)
- G.A.S. framework
 - **Gather** evidence; **Assess** credibility and evidence; **Synthesize** areas of dispute/agreement and all questions asked
- The supplemental “bucket” to the report

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163

EVIDENCE AND REPORT REVIEW BY PARTIES PART 1

Prior to the completion of the Investigation Report:

- Evidence directly related to allegations must:
 - Be sent to each party and Advisor
 - Be in an electronic format or hard copy
 - Include evidence upon which the Recipient does not intend to rely
 - Include exculpatory and inculpatory evidence
 - Be made available at any hearing
- After sending the evidence, the Investigator must:
 - Allow 10 days for written response
 - Consider response prior to completion of report

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164

EVIDENCE AND REPORT REVIEW BY PARTIES PART 2

At least 10 days prior to making a determination regarding responsibility:

- The final Investigation Report summarizing relevant evidence must be sent:
 - To each party and advisor
 - In an electronic format or hard copy
 - For the parties’ review and written response
 - Best Practice: Provide the investigation report to the TIXC and/or legal counsel to review for completeness prior to being shared with the parties

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165

EVIDENCE AND REPORT REVIEW BY PARTIES, PART 2 (CONT.)

- For K-12 schools, with or without a hearing, this review is followed by, or in conjunction with, the exchange of relevant written questions and responses facilitated by a decision-maker.

Source: § 106.45(b)(5)(vii) and § 106.45(b)(6)(ii)

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166

COORDINATING THE DECISION-MAKING STAGES

- Title IX Coordinator's Role
- Standard of Evidence
- Making a Determination

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DECISION-MAKERS IN TITLE IX PROCESSES

- The Title IX Coordinator **cannot** be the Decision-maker, but may need to coordinate with Decision-makers:
 - Coordinating hearings, Hearing Panel/Decision-Maker
 - Facilitating the sending of notices to the parties (e.g., Notice of hearing, Notice of outcome, Notice of appeal, etc.)
 - Overseeing appeal processes
 - Sanctions
 - Remedies
 - Providing institutional memory
 - Training Decision-makers (hearings and appeals)
 - Recordkeeping of all activities

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168

STANDARD OF EVIDENCE

- Current industry standard is preponderance of the evidence
- The OCR says Recipients must now apply either the preponderance of the evidence standard or the clear and convincing evidence standard
- Standard of evidence must be consistent for all formal complaints of sexual harassment, regardless of policy or underlying statutory authority
- Must also apply the same standard of evidence for complaints against students as for complaints against employees, including faculty

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169

EVIDENTIARY STANDARDS

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170

EQUITY: PREPONDERANCE STANDARD

- The only equitable standard
- ATIXA maintains that preponderance of the evidence is the appropriate standard
- Articulate the standard throughout your policy, procedures, investigation, and hearings
- Educate the parties and their Advisors
- Use language the community understands:
 - 50.1%
 - “More likely than not”
 - The “tipped scale”
 - Try NOT to use just the term “preponderance of the evidence” – it is not common language

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171

DECISION-MAKERS: MAKING A FINDING/DETERMINATION

- Review the institutional policies that apply
- Parse the policy
 - Provide specific findings for each alleged violation and for each Respondent
- Review the evidence and what it shows (relevance)
- Assess the credibility of evidence and witness statements as factual, opinion-based, or circumstantial
- Determination whether a policy violation occurred based on standard of evidence
- Concretely cite the reasons for this conclusion
- Move to sanctioning (if applicable)

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172

ENSURING COMPLIANCE WITH FINAL SANCTIONS

- Sanctioning Considerations
- Assuring Compliance
- Common Sanctions

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173

SANCTIONING CONSIDERATIONS

- Title IX Coordinator does not issue sanctions but oversees the process
- Investigation alone is not sufficient to overcome a deliberate indifference claim

Title IX and case law require resolutions which:

- **STOP:** bring an end to the discriminatory conduct
- **PREVENT:** take steps reasonably calculated to prevent the future reoccurrence of the discriminatory conduct
- **REMEDY:** restore the Complainant as best you can to their pre-deprivation status

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174

SANCTIONING CONSIDERATIONS (CONT.)

- Tension between educational and developmental sanctions of student conduct processes
- There must be a nexus between the sanction(s) and the discriminatory conduct that led to the sanction(s)
- Engage in strategic education and training requirements
- Conduct a risk assessment audit and mitigation process
- The OCR asserts institutions should consider impact on the Respondent's education when determining sanction(s)

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175

SANCTIONING CONSIDERATIONS (CONT.)

- What is appropriate?
 - Separation/expulsion? Suspension? Lesser sanctions?
- Sanction(s) must be reasonable and reflect the severity of the behavior
 - May consider prior misconduct
 - What is the role of precedent?
 - May consider attitude
 - May also be educational (i.e., targeted to stop and prevent)
 - What best compensates for loss or injury to Recipient or individuals?
 - Compliant with laws and regulations

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176

SANCTIONING CONSIDERATIONS (CONT.)

- Ensure that remedies are equitable
- Ensure that remedies are not clearly unreasonable in light of the known circumstances
- The institution may have already taken steps to protect Complainant(s) even before the final outcome of the process (e.g., through no-contact orders, etc.) – these may be continued post-determination
- Avoid undue delays
- Monitor for retaliation and respond immediately to formal complaints
- Review policies, procedures, and practices regularly to ensure they are in accordance with best practices, and state, and federal case law

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177

ASSURANCE OF COMPLIANCE WITH FINAL SANCTIONS

- Take steps to confirm and document that all sanctions were enforced/complete
 - Did the Respondent attend mandatory training?
 - Is the Respondent complying with the no-contact order?
 - Were the necessary documents placed in the Respondent's personnel or conduct file?
 - Was the notation placed on the Respondent's transcript or personnel file?
- Possible consequences of a Respondent's failure to comply with sanctions:
 - Failure to comply conduct charge
 - Additional sanctions imposed

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178

COMMON STUDENT SANCTIONS

- Warning
- Probation
- Loss of privileges
- Counseling
- No contact
- Residence hall relocation, suspension, or expulsion
- Limited access to campus
- Service hours
- Online education
- Parent/guardian notification
- Alcohol and drug assessment, and counseling
- Discretionary sanctions
- Suspension
- Expulsion

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179

COMMON EMPLOYEE SANCTIONS

- Warning - verbal or written
- Probation
- Performance improvement/management process
- Training (e.g., sensitivity training)
- Counseling
- Loss of privileges
- Reduction in pay
- Loss of annual raise
- Discretionary sanctions
- Loss of supervisory or oversight responsibilities
- Paid or unpaid leave
- Suspension
- Termination

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180

COORDINATING THE APPEAL PROCESS

- Appeals
- Appeal Grounds
- Appeal Process

181

APPEALS

- Appeals are mandatory under the 2020 Title IX Regulations
- Must offer equitable opportunity to appeal based on determination or dismissal of any allegations
- Clearly communicate to parties
 - Process to appeal
 - When an appeal is received and opportunity to respond
- Opportunity for all parties to support or oppose outcome
- Written decision with rationale delivered simultaneously to the parties
- Appeal Decision-maker cannot have had any other role in the investigation or resolution process

182

APPEALS (CONT.)

- “Reasonably prompt” timeframe for producing appeal decision
- One level of appeal is best practice
- Defined window of time to request appeal
- Three mandatory grounds for appeal; may add others
- Committee versus individual determination preferred
- Deference to original Decision-maker
- Remand
- Short window to request an appeal
 - Can always grant an extension if necessary
- Document-based review
 - NOT *de novo*

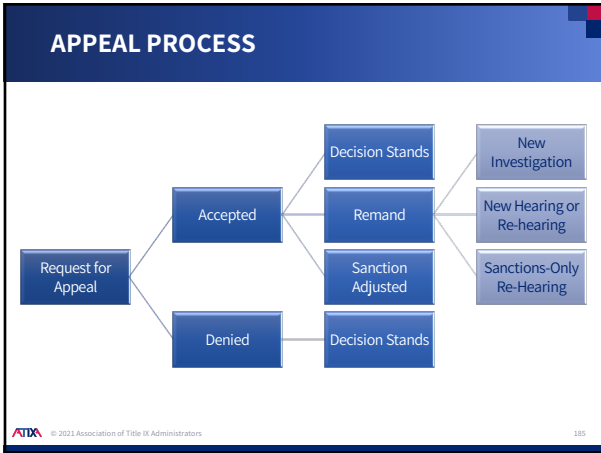
183

APPEAL GROUNDS

- A Recipient must offer both parties an opportunity to appeal a determination regarding responsibility, and from a Recipient's dismissal of a formal complaint or any allegations therein, on the following bases:
 - Procedural irregularity that affected the outcome of the matter;
 - New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter; and
 - The Title IX Coordinator, Investigator(s), or Decision-maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual complainant or respondent that affected the outcome of the matter.
- May add additional grounds provided they are made available on an equitable basis

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184



185

GENERAL TITLE IX COMPLIANCE OVERSIGHT

- Stop, Prevent & Remedy
- Athletics Gender Equity
- Assessing Compliance
- Record-Keeping & Documentation

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186

ENSURING COMPLIANCE WITH REQUIREMENTS TO STOP, PREVENT, REMEDY

Stop The Discriminatory Conduct:

- Take timely steps to identify and implement appropriate supportive measures for the parties
- Confirm and document that the appropriate supportive measures were implemented. For example:
 - Was the student provided alternative housing?
 - Was the employee provided an alternate supervisor/work assignment/workspace?
 - Was the student assigned to a different seat or class?
 - Was counseling made available?
 - Was a no-contact order issued?

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187

ENSURING COMPLIANCE WITH REQUIREMENTS TO STOP, PREVENT, REMEDY

Stop The Discriminatory Conduct (Cont.):

- Regularly re-evaluate the need for any continuing supportive measures (particularly when emergency removal is implemented)
- Enforce any violations (e.g., no contact order)
- Make sure the parties know they should report any difficulties with measures provided

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188

ENSURING COMPLIANCE WITH REQUIREMENTS TO STOP, PREVENT, REMEDY

Prevent Recurrence:

- Identify patterns and systemic problems
- Issue school/campus-wide policy statements, informational campaigns, and other messages that harassment and assault will not be tolerated
- Provide regular training on sex/gender-based misconduct for students and employees
- Conduct periodic surveys of campus climate
- Establish a system for monitoring future incidents and patterns
- Provide technical assistance to school/campus law enforcement on Title IX compliance

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189

ENSURING COMPLIANCE WITH REQUIREMENTS TO STOP, PREVENT, REMEDY

Prevent Recurrence (Cont.):

- Consider the effect of educational sanctions
- The potential next Complainant is potentially both a Title IX and negligence concern

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190

ENSURING COMPLIANCE WITH REQUIREMENTS TO STOP, PREVENT, REMEDY

Remedy the Effects:

- Designed to make Complainant whole and return them to the pre-deprivation status.
- Take timely steps to confirm and document that the appropriate remedies were implemented.
- Make sure the Complainant knows that they should report any difficulties obtaining the remedies and any subsequent harassment.
- Determine what, if any, remedies may need to be provided to the school community as a whole.

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191

OVERSIGHT OF ATHLETICS GENDER EQUITY

- The oversight of compliance in athletics remains the responsibility of the Title IX Coordinator.
- There should be a compliance officer in the athletics department already – get to know them.
- The **two sides** of athletics compliance are:
 - Equity in offering and experience (also referred to as “The Prongs” and the “Laundry List”)
 - Sexual Harassment and Climate and Culture
- These concepts are taught in the Athletics Training in more detail!

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192

ASSESSING COMPLIANCE

- Active, internal reviews/audits/assessments
 - Reporting and resolution processes
 - Policies and procedures up-to-date and compliant
 - Athletics
 - Training content and requirements
 - Policy and non-discrimination notice dissemination
 - Materials, website, and resource guide
- Compliance checklist
 - Departmental self-study audit at regular intervals
- Case/investigation debriefing

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193

ASSESSING COMPLIANCE

- Active professional development on issues related to compliance; oversight of compliance plan implementation
 - For Title IX Coordinator and/or Deputy Coordinators
- Climate surveys.
 - Online, in-person, focus groups, campus/system committee feedback, etc.

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194

RECORDKEEPING AND DOCUMENTATION

- Certain records must be created, retained, and available to the parties for at least **seven** years:
 - Sexual harassment investigation including any responsibility determination, any disciplinary sanctions imposed, and any remedies implemented
 - Any appeal and related result(s)
 - Any informal resolution implemented
 - Any supportive measures implemented
 - **For each formal complaint, must document the basis for why the Recipient's response was not deliberately indifferent**

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195

RECORDKEEPING AND DOCUMENTATION (CONT.)

- Rationale for each determination
- Measures taken to preserve/restore access to education programs/activity

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196

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Questions?

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198