

# TRAINING MATERIALS

## Track 3: Title IX Investigators

Summer 2020 Cohort #1



## Introduction: Critical Issues in Title IX and Sexual Misconduct

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### This Module is Designed for:



- TRACK 1 – Title IX Coordinators
- TRACK 2 – Title IX Decision-Makers and Student Conduct Administrators
- TRACK 3 – Title IX Investigators

### Structure of the NASPA Title IX Training



- Why three tracks?
- Why combine Title IX decision-makers and student conduct administrators in the second track?
- Why will Title IX coordinators receive all of the Title IX investigator training?
- Combination of asynchronous pre-recorded videos and live virtual sessions.
- Quizzes, questions and assessment.
- Certificate of completion.

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### Nothing presented in any module in the NASPA Title IX Training Certificate is, or should be considered, legal advice!



Know when to consult legal counsel.

### A Few Initial Thoughts on the New Regulations



- First new regulations in a very long time.
- Institutional response requirement—Supportive measures, sanctions, remedies
- Potentially unfamiliar dynamics with the Department of Education—Guidance, commentary, blogs
- Status of preexisting guidance and resolutions
- Expect enforcement if regulations survive legal challenges in court

## Some Key Features of the New Regulations



- Title IX redefines sexual harassment and creates special grievance procedures for sexual harassment.
  - What does this mean for your existing policies and Title IX compliance more generally?
- Term "hostile environment" disappears/"balancing test" with it.
- Allows for recipients to offer informal resolution (mediation). Can be used in most instances if parties (complainant and respondent) consent voluntarily when a formal complaint is filed.
  - Informal resolution cannot be used when a student alleges sexual harassment by an employee
- "Formal complaints" and "allegations"
- Live hearing with cross-examination by advisors

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## Training Mandates Specific to the New Regulations



"Schools must ensure that Title IX personnel [Title IX Coordinator, any investigator, any decision-maker, and any person who facilitates an informal resolution (such as mediation)] receive training as follows:

- On Title IX's definition of "sexual harassment"
- On the scope of the school's education program or activity
- On how to conduct an investigation and grievance process
- On how to serve impartially, including by avoiding prejudgment of the facts at issue
- On how to avoid conflicts of interest and bias
- Decision-makers must receive training on any technology to be used at a live hearing, and on issues of relevance of questions and evidence, including when questions and evidence about a complainant's sexual predisposition or prior sexual behavior are not relevant
- Investigators must receive training on issues of relevance to create an investigative report that fairly summarizes relevant evidence"

U.S. Dept. of Educ. Office for Civil Rights, Blog (May 18, 2020), <https://www2.ed.gov/about/offices/list/ocr/blog/20200518.html>

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## Permission from NASPA and Speakers



### TRAINING MATERIALS

We will give each institution permission to post training materials (PowerPoint slide handouts, other handouts) to their website **upon request**. This permission must be granted from NASPA in writing **before** posting any training materials to your institution's website.

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## Some Key Features of the New Regulations



- Choice in evidentiary standard preserved
  - "Preponderance of the evidence" or "clear and convincing"
- "Mandated reporters" supplants "responsible employees"
- Changes in jurisdiction and scope of Title IX
  - Off campus; study abroad
- Emphasis on "impartial" processes free from bias and conflicts of interest
- "Supportive measures" supplants "interim measures"
- Separation of the decision-maker from other tasks
  - No more single-investigator model, but single decision-maker permitted.
- Appeals required
- Training mandates
- "Not a court"/ "Not a criminal justice system"

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## Posting Training Materials to Your Website



**All materials used to train Title IX personnel:**

- Must not rely on sex stereotypes,
- Must promote impartial investigations and adjudications of formal complaints of sexual harassment,
- Must be maintained by the school for at least 7 years,
- Must be publicly available on the school's website; if the school does not maintain a website the school must make the training materials available upon request for inspection by members of the public."

"Schools must publish training materials that are up to date and reflect the latest training provided to Title IX personnel."

"If a school's current training materials are copyrighted or otherwise protected as proprietary business information (for example, by an outside consultant), the school still must comply with the Title IX Rule. This may mean that the school has to secure permission from the copyright holder to publish the training materials on the school's website."

U.S. Dept. of Educ. Office for Civil Rights, Blog (May 18, 2020), <https://www2.ed.gov/about/offices/list/ocr/blog/20200518.html> (emphasis added).

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## Training Time Estimated by the Department



We assume all recipients will need to take time to review and understand these final regulations. . . . At the IHE level, we assume eight hours for the Title IX Coordinator and 16 hours for an attorney.

Department of Education, nondiscrimination on the Basis of Sex in Education Programs or Activities Warning Federal Financial Assistance, 34 Fed. Reg. 30204 (May 29, 2020) (Final rule) (on file at www.govinfo.gov/content/pkg/FR-2020-05-29/pdf/2020-10512.pdf) at 30267.

We assume that all recipients will need to revise their grievance procedures. . . . At the IHE level, we assume this will take 12 hours for the Title IX Coordinator and 28 hours for an attorney with an additional four hours for an administrator to review and approve them. . . .

We assume that all recipients will need to train their Title IX Coordinators, an investigator, any person designated by a recipient to facilitate an informal resolution process (e.g., a mediator), and two decision-makers (assuming an additional decision-maker for appeals). . . . We assume this training will take approximately eight hours for all staff at the . . . IHE level. . . .

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## Personnel



- Title IX coordinator
  - Every institution must designate one
- Title IX investigator
  - Can be the Title IX coordinator, cannot be a decision-maker or appellate officer (thus no single-investigator model)
- Title IX decision-maker
  - Cannot be the investigator (thus no single-investigator model) or Title IX coordinator
- Appellate officer
  - Cannot be the original decision-maker or investigator
- Anyone implementing an informal process such as a mediation, case management, records management, etc.



**Budgetary and operational concerns?**

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## Prevalence Data

See generally *Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance (Final rule)* at 2017-83.



### Postsecondary Institutions

*One in five college women experience attempted or completed sexual assault in college; some studies state one in four. One in 16 men are sexually assaulted while in college. One poll reported that 20 percent of women, and five percent of men, are sexually assaulted in college. 62 percent of women and 61 percent of men experience sexual harassment during college.* (Internal citation omitted)

*Among undergraduate students, 23.1 percent of females and 5.4 percent of males experience rape or sexual assault; among graduate and undergraduate students 11.2 percent experience rape or sexual assault through physical force, violence, or incapacitation; 4.2 percent have experienced stalking since entering college.* (Internal citation omitted)

*A study showed that 63.3 percent of men at one university who self-reported acts qualifying as rape or attempted rape admitted to committing repeat rapes.* (Internal citation omitted)

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## Prevalence Data – Postsecondary Institutions Cont'd



*More than 50 percent of college sexual assaults occur in August, September, October, or November, and students are at an increased risk during the first few months of their first and second semesters in college; 84 percent of the women who reported sexually coercive experiences experienced the incident during their first four semesters on campus.* (Internal citation omitted)

*Seven out of ten rapes are committed by someone known to the victim; for most women victimized by attempted or completed rape, the perpetrator was a boyfriend, ex-boyfriend, classmate, friend, acquaintance, or coworker.* (Internal citation omitted)

## Prevalence Data – Postsecondary Institutions Cont'd



*Of college students in fraternity and sorority life, 48.1 percent of females and 23.6 percent of males have experienced nonconsensual sexual contact, compared with 33.1 percent of females and 7.9 percent of males not in fraternity and sorority life.* (Internal citation omitted)

*Fifty-eight percent of female academic faculty and staff experienced sexual harassment across all U.S. colleges and universities, and one in ten female graduate students at most major research universities reports being sexually harassed by a faculty member.* (Internal citation omitted)

*Twenty-one to 38 percent of college students experience faculty/staff-perpetrated sexual harassment and 39 to 64.5 percent experience student-perpetrated sexual harassment during their time at their university.* (Internal citation omitted)

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## The Controversial Science of Sexual Predation



- Lisak D, Miller PM. Repeat rape and multiple offending among undetected rapists. *Violence Vict.* 2002;17(1):73-84. doi:10.1891/vivi.17.1.73.33638
- Swartout KM, Koss MP, White JW, Thompson MP, Abbey A, Bellis AL. Trajectory Analysis of the Campus Serial Rapist Assumption. *JAMA Pediatr.* 2015;169(12):1148-1154. doi:10.1001/jamapediatrics.2015.0707
- Johnson & Taylor, *The Campus Rape Frenzy: The Attack on Due Process at America's Universities* (Encounter Books, 2017).
- Foubert, J.D., Clark-Taylor, A., & Wall, A. (2019). "Is campus rape primarily a serial or single time problem? Evidence from a multi-campus study." *Violence Against Women.* DOI: 10.1177/1077801219833820.

## Trauma-Based Approaches



### Avoid or Use?

- Some schools and training entities have moved away from using trauma-informed techniques for fear of appearing victim-leaning.
- Trauma can impact anyone in a grievance process or seeking supportive measures: Use research without stereotypes or gender bias.
- Credibility v. Reliability
- Read DOE's thoughts on trauma carefully...

## Trauma



The Department is sensitive to the effects of **trauma on sexual harassment victims** and appreciates that choosing to make a report, file a formal complaint, communicate with a Title IX Coordinator to arrange supportive measures, or participate in a grievance process are often difficult steps to navigate in the wake of victimization.

Department of Education, Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance, 85 Fed. Reg. 30236 (May 29, 2020) (final rule) (cited as www.gpo.gov/etds/oeip/FR-2020-05-29/pdf/2020-10512.pdf) at 30264 (emphasis added).

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## Trauma Cont'd



Further, the final regulations contain provisions specifically intended to take into account that complainants may be suffering results of trauma; for instance, § 106.44(a) has been revised to require that recipients promptly offer supportive measures in response to each complainant and inform each complainant of the availability of supportive measures with or without filing a formal complaint. To protect traumatized complainants from facing the respondent in person, cross-examination in live hearings held by postsecondary institutions must never involve parties personally questioning each other, and at a party's request, the live hearing must occur with the parties in separate rooms with technology enabling participants to see and hear each other.

id. (internal citation omitted).

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## Our Mission Has Not Changed...



Enacted by Congress, Title IX seeks to **reduce or eliminate barriers to educational opportunity caused by sex discrimination** in institutions that receive federal funding.  
***This is the unchanged mission of Title IX!***

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## Trauma Cont'd



The Department understands from anecdotal evidence and research studies that sexual violence is a traumatic experience for survivors. The Department is aware that the neurobiology of trauma and the impact of trauma on a survivor's neurobiological functioning is a developing field of study with application to the way in which investigators of sexual violence offenses interact with victims in criminal justice systems and campus sexual misconduct proceedings. The final regulations require impartiality in investigations and emphasize the truth-seeking function of a grievance process. The Department wishes to emphasize that treating all parties with dignity, respect, and sensitivity without bias, prejudice, or stereotypes infecting interactions with parties fosters impartiality and truth-seeking.

id. at 30069 (internal citation omitted).

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## "Victim"/"Survivor" or "Perpetrator"



When the Department uses the term "victim" (or "survivor") or "perpetrator" to discuss these final regulations, the Department assumes that a reliable process, namely the grievance process described in § 106.45, has resulted in a determination of responsibility, meaning the recipient has found a respondent responsible for perpetrating sexual harassment against a complainant.

id. at 30031.

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## Title IX: FINAL RULE



**34 CFR Part 106** Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance

The final regulations obligate recipients to respond promptly and supportively to persons alleged to be victimized by sexual harassment, resolve allegations of sexual harassment promptly and accurately under a predictable, fair grievance process that provides due process protections to alleged victims and alleged perpetrators of sexual harassment, and effectively implement remedies for victims.

id. at 30026.

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## Summary of Basic Requirements for a Grievance Process



A summary of the 10 elements of § 106.45(b)(1)(i-x) *Basic Requirements for a Grievance Process.*

1. Equitable treatment of parties/provision of remedies
2. Objective evaluation of evidence
3. No bias or conflicts of interest/training of Title IX personnel
4. Presumption of non-responsibility of respondent until process is complete
5. Reasonably prompt time frames
6. Articulate and publish the range of possible sanctions
7. Choose then evenly apply the evidentiary standard
8. Provide procedures and standards for appeal
9. Describe supportive measures
10. Legally-privileged information can only be used if privilege is waived

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## Tuning



- *Recipients may continue to address harassing conduct that does not meet the § 106.30 definition of sexual harassment, as acknowledged by the Department's change to § 106.45(b)(3)(i) to clarify that **dismissal of a formal complaint because the allegations do not meet the Title IX definition of sexual harassment, does not preclude a recipient from addressing the alleged misconduct under other provisions of the recipient's own code of conduct.*** *Id.* at 30037-38 (emphasis added).
- *Similarly, nothing in these final regulations prevents a recipient from addressing conduct that is outside the Department's jurisdiction due to the conduct constituting sexual harassment occurring outside the recipient's education program or activity, or occurring against a person who is not located in the United States.* *Id.* at 30038 n.108 (emphasis added).

## "Staying in Your Lane"



### § 106.45 may not be circumvented...

... by processing sexual harassment complaints under non-Title IX provisions of a recipient's code of conduct. The definition of "sexual harassment" in § 106.30 constitutes the conduct that these final regulations, implementing Title IX, address. . . . [W]here a formal complaint alleges conduct that meets the Title IX definition of "sexual harassment," a recipient must comply with § 106.45.

*Id.* at 30095.

## Retaliation



- Against complainant, respondent, witnesses, advisors
- Against employees
- Vigilantism—Digital or otherwise

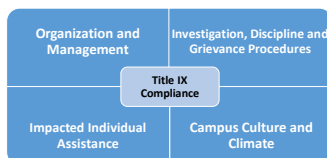
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## Four Corners Model



### Lake's Four Corners of Title IX Regulatory Compliance



## Timing



These regulations slated to go into effect on **August 14, 2020**. This date is potentially subject to modification. Consult your attorneys. The Dept. of Education has stated they **will not** enforce these regulations retroactively.



## The Social Context



### COVID-19

- Virtual hearings
- More online learning
  - More Clery/VAWA-type offenses?
- Budget cuts, hiring freezes, furloughs, etc. due to the pandemic

### Social Justice Issues

## Further training recommended...



- Training specific to your institution's policies.
  - There is not one universal policy for sex discrimination; differences exist in procedures, definitions, etc. from campus to campus.
  - Your campus policies may be in transit now.
- Training on technology usage for live hearings on your campus.
  - Especially important for decision-makers.
- Additional and continued training on bias is always a good idea.
- Continuing education at regular intervals.
- REMEMBER—It's always good to hear from multiple voices!

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## Thank You...

- to NASPA
- to my fellow presenters
- to **YOU!!!!**

### Post-Module Questions



## Legal Foundations for Title IX Investigators Under the New Regulations

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## This Module is Designed for:



- TRACK 1 – Title IX Coordinators
- TRACK 3 – Title IX Investigators

## Why does this module combine these two tracks?



- Under the new Title IX regulations, Title IX coordinators are permitted to be investigators.
  - It is important Title IX coordinators receive investigator training.
- Title IX coordinators, as a part of their overall oversight function, must understand the investigative process and how it has shifted under the new regulations, irrespective of whether they ever serve as the actual investigator.
- Title IX investigators should have working knowledge of the Title IX grievance system overall and understand their role within the system.



## What is Title IX? What is its mission?



- Enacted by Congress, Title IX seeks to **reduce or eliminate barriers to educational opportunity caused by sex discrimination** in institutions that receive federal funding. **This is the mission of Title IX!**
- Other federal laws also address sex discrimination. There are complex interactions with other federal laws, such as the Clery Act, the Family Educational Rights and Privacy Act (FERPA), and the Violence Against Women Act (VAWA).
- Title IX is concerned with **institutional response** to discrimination.

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## Title IX: FINAL RULE



### 34 CFR Part 106 Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance

*The final regulations specify how recipients of federal financial assistance covered by Title IX, including elementary and secondary schools as well as postsecondary institutions, (hereinafter collectively referred to as "recipients" or "schools"), must respond to allegations of sexual harassment consistent with Title IX's prohibition against sex discrimination. These regulations are intended to effectuate Title IX's prohibition against sex discrimination by requiring recipients to address sexual harassment as a form of sex discrimination in education programs or activities.*

Department of Education, Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance, 85 Fed. Reg. 20203 (May 23, 2020) (Final rule) (online at [www.gpo.gov/fdsys/pkg/FR-2020-05-19/pdf/2020-10512.pdf](http://www.gpo.gov/fdsys/pkg/FR-2020-05-19/pdf/2020-10512.pdf)) at 30024 (emphasis added).

## Title IX: FINAL RULE



*The final regulations obligate recipients to **respond** promptly and supportively to persons alleged to be victimized by sexual harassment, **resolve** allegations of sexual harassment promptly and accurately under a predictable, fair grievance process that provides due process protections to alleged victims and alleged perpetrators of sexual harassment, and **effectively implement** remedies for victims.*

(i) (emphasis added).

## Title IX: FINAL RULE



*The final regulations also clarify and modify Title IX regulatory requirements regarding remedies the Department may impose on recipients for Title IX violations, the intersection between Title IX, Constitutional protections, and other laws, the designation by each recipient of a Title IX Coordinator to address sex discrimination including sexual harassment, the dissemination of a recipient's non-discrimination policy and contact information for a Title IX Coordinator, the adoption by recipients of grievance procedures and a grievance process, how a recipient may claim a religious exemption, and prohibition of retaliation for exercise of rights under Title IX.*

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## Special Issues in Investigation\*



- Definitions Under the New Regulations
- Familiarity with Specific Campus Policies
- The Investigation Process Itself
- Relevance and Rape Shield Rules
- The *Minimum* and *Maximum* Role of the Investigator
- The Tie to the Adjudication Process
- Who should serve as an investigator?

**Note: These concepts will be covered in this module, subsequent modules, and in the live virtual session.**

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## A Review of the New Regulations

*Operational considerations will be addressed in separate modules.*

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## Is "sex" defined in the new regulations?

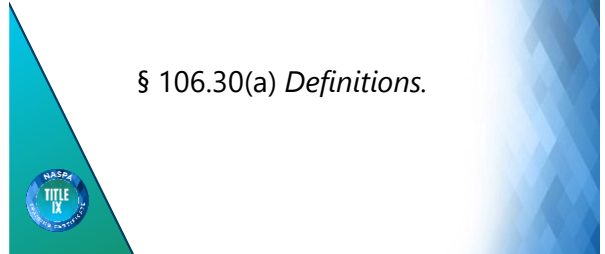


The word "sex" is undefined in the Title IX statute. **The Department did not propose a definition of "sex" in the NPRM and declines to do so in these final regulations.** The focus of these regulations remains prohibited conduct.

Department of Education, *Non-Discrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance*, 80 Fed. Reg. 30026 (May 19, 2015) (final rule) (online at [www.gpo.gov/etds/2015/2015-05-19/2015-10-23-1023-1023.pdf](http://www.gpo.gov/etds/2015/2015-05-19/2015-10-23-1023-1023.pdf)) or 30077 (proposed rule)).

Important to look at campus policy and other relevant laws. Seek advice of counsel.

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## "Actual Knowledge"



Actual knowledge means notice of sexual harassment or allegations of sexual harassment to a recipient's Title IX Coordinator or any official of the recipient who has authority to institute corrective measures on behalf of the recipient, or to any employee of an elementary and secondary school. Imputation of knowledge based solely on vicarious liability or constructive notice is insufficient to constitute actual knowledge. This standard is not met when the only official of the recipient with actual knowledge is the respondent. The mere ability or obligation to report sexual harassment or to inform a student about how to report sexual harassment, or having been trained to do so, does not qualify an individual as one who has authority to institute corrective measures on behalf of the recipient. "Notice" as used in this paragraph includes, but is not limited to, a report of sexual harassment to the Title IX Coordinator as described in § 106.8(a).

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## "Complainant"



Complainant means an individual who is alleged to be the victim of conduct that could constitute sexual harassment.

What is "alleged?"

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## "Respondent"



Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment.

Allege = "report?"

## More on Complainants/Respondents



- A person may be a complainant, or a respondent, even where no formal complaint has been filed and no grievance process is pending. *Id.* at 30030.
- References . . . to a complainant, respondent, or other individual with respect to exercise of rights under Title IX should be understood to include situations in which a parent or guardian has the legal right to act on behalf of the individual. *Id.*
- [T]he definitions of "complainant" and "respondent" do not restrict either party to being a student or employee, and, therefore, the final regulations do apply to allegations that an employee was sexually harassed by a student. *Id.* at 30071-72 (internal citations omitted, emphasis added).

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## "Consent"



*The Assistant Secretary will not require recipients to adopt a particular definition of consent with respect to sexual assault, as referenced in this section.*

This has been a central issue in fairness/consistency.  
How does "consent" fit into the new framework for "sexual harassment"?

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## "Consent"—Not Defined in New Regulations



- What will your campus definition be?
  - Affirmative consent?
  - Will distribute across multiple offenses
- Elements
  - consent is a voluntary agreement to engage in sexual activity;
  - someone who is incapacitated cannot consent;
    - (such as due to the use of drugs or alcohol, when a person is asleep or unconscious, or because of an intellectual or other disability that prevents the student from having the capacity to give consent)
  - past consent does not imply future consent;
  - silence or an absence of resistance does not imply consent;
  - consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another;
  - consent can be withdrawn at any time; and
  - coercion, force, or threat of either invalidates consent.

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## "Formal Complaint"



**Formal complaint means a document filed by a complainant or signed by the Title IX Coordinator alleging sexual harassment against a respondent and requesting that the recipient investigate the allegation of sexual harassment.** At the time of filing a formal complaint, **a complainant must be participating in or attempting to participate in the education program or activity of the recipient with which the formal complaint is filed.** A formal complaint may be filed with the Title IX Coordinator in person, by mail, or by electronic mail, by using the contact information required to be listed for the Title IX Coordinator under § 106.8(a), and by any additional method designated by the recipient.

(emphasis added)

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## "Formal Complaint" Cont'd



*As used in this paragraph, the phrase "document filed by a complainant" means a document or electronic submission (such as by electronic mail or through an online portal provided for this purpose by the recipient) that contains the complainant's physical or digital signature, or otherwise indicates that the complainant is the person filing the formal complaint. Where the Title IX Coordinator signs a formal complaint, the Title IX Coordinator is not a complainant or otherwise a party under this part or under § 106.45, and must comply with the requirements of this part, including § 106.45(b)(1)(iii).*

## "Sexual Harassment" [Three-Prong Test]



*Sexual harassment means conduct on the basis of sex that satisfies one or more of the following:*

- (1) 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;
- (2) 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
- (3) "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), or "stalking" as defined in 34 U.S.C. 12291(a)(30).

(emphasis added)

## First Amendment and the Second Prong



*[P]rotection of free speech and academic freedom was weakened by the Department's use of wording that differed from the Davis definition of what constitutes actionable sexual harassment under Title IX . . . these final regulations return to the Davis definition verbatim, while also protecting against even single instances of quid pro quo harassment and Clery/VAWA offenses, which are not entitled to First Amendment protection.*

Id. at 30155 n.680.

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## "Stalking" (Clery Act Definition)



**Stalking.** (i) Engaging in a course of conduct directed at a specific person that would cause a reasonable person to—

- (A) Fear for the person's safety or the safety of others; or
- (B) Suffer substantial emotional distress.

(ii) For the purposes of this definition—

(A) *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.

(B) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.

(C) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

34 C.F.R. § 668.46(a)

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## "Domestic Violence" (Clery Act Definition)



**Domestic violence.** (i) A felony or misdemeanor crime of violence committed—

- (A) By a current or former spouse or intimate partner of the victim;
- (B) By a person with whom the victim shares a child in common;
- (C) By a person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner;
- (D) By a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred, or
- (E) By any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

34 C.F.R. § 668.46(a)

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## "Supportive Measures"



*Supportive measures means non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the complainant or the respondent before or after the filing of a formal complaint or where no formal complaint has been filed. Such measures are designed to restore or preserve equal access to the recipient's education program or activity without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the recipient's educational environment, or deter sexual harassment.*

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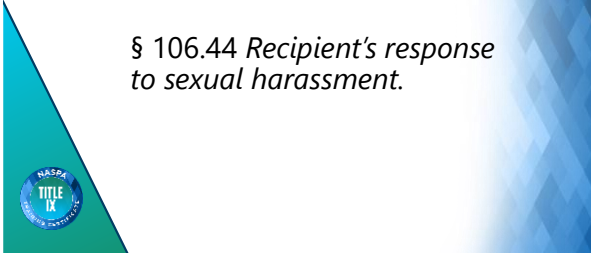
## "Supportive Measures" Cont'd



*Supportive measures may include counseling, extensions of deadlines or other course-related adjustments, modifications of work or class schedules, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of the campus, and other similar measures. The recipient must maintain as confidential any supportive measures provided to the complainant or respondent, to the extent that maintaining such confidentiality would not impair the ability of the recipient to provide the supportive measures. The Title IX Coordinator is responsible for coordinating the effective implementation of supportive measures.*

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**Remember state law and policy  
specific considerations!**



## § 106.44 Recipient's response to sexual harassment.

### §106.44(a) General response to sexual harassment.



*A recipient with actual knowledge of sexual harassment in an education program or activity of the recipient against a person in the United States, must respond promptly in a manner that is not deliberately indifferent. A recipient is deliberately indifferent only if its response to sexual harassment is clearly unreasonable in light of the known circumstances. For the purposes of this section, §§ 106.30, and 106.45, "education program or activity" includes locations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.*

(emphasis added)

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### §106.44(a) Cont'd



*A recipient's response must treat complainants and respondents equitably by offering supportive measures as defined in § 106.30 to a complainant, and by following a grievance process that complies with § 106.45 before the imposition of any disciplinary sanctions or other actions that are not supportive measures as defined in § 106.30, against a respondent. The Title IX Coordinator must promptly contact the complainant to discuss the availability of supportive measures as defined in § 106.30, consider the complainant's wishes with respect to supportive measures, inform the complainant of the availability of supportive measures with or without the filing of a formal complaint, and explain to the complainant the process for filing a formal complaint.*

### §106.44(a) Cont'd



*The Department may not deem a recipient to have satisfied the recipient's duty to not be deliberately indifferent under this part based on the recipient's restriction of rights protected under the U.S. Constitution, including the First Amendment, Fifth Amendment, and Fourteenth Amendment.*

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### §106.44(b) Response to a formal complaint.



- (1) *In response to a formal complaint, a recipient must follow a grievance process that complies with § 106.45. With or without a formal complaint, a recipient must comply with § 106.44(a).*
- (2) *The Assistant Secretary will not deem a recipient's determination regarding responsibility to be evidence of deliberate indifference by the recipient, or otherwise evidence of discrimination under title IX by the recipient, solely because the Assistant Secretary would have reached a different determination based on an independent weighing of the evidence.*

### §106.44(c) Emergency removal.



*Nothing in this part precludes a recipient from removing a respondent from the recipient's education program or activity on an emergency basis, provided that the recipient undertakes an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment justifies removal, and provides the respondent with notice and an opportunity to challenge the decision immediately following the removal. This provision may not be construed to modify any rights under the Individuals with Disabilities Education Act, Section 504 of the Rehabilitation Act of 1973, or the Americans with Disabilities Act.*

### § 106.44(d) Administrative leave.



Nothing in this subpart precludes a recipient from placing a non-student employee respondent on administrative leave during the pendency of a grievance process that complies with § 106.45. This provision may not be construed to modify any rights under Section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act.

### § 106.45 Grievance process for formal complaints of sexual harassment.



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### § 106.45(a) Discrimination on the basis of sex



*A recipient's treatment of a complainant or a respondent in response to a formal complaint of sexual harassment may constitute discrimination on the basis of sex under title IX.*

### § 106.45(b) Grievance process.



*For the purpose of addressing formal complaints of sexual harassment, a recipient's grievance process must comply with the requirements of this section. Any provisions, rules, or practices other than those required by this section that a recipient adopts as part of its grievance process for handling formal complaints of sexual harassment as defined in § 106.30, must apply equally to both parties.*

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### § 106.45(b)(1)(i)



- (1) Basic requirements for grievance process. A recipient's grievance process must—
- (i) Treat complainants and respondents equitably by providing remedies to a complainant where a determination of responsibility for sexual harassment has been made against the respondent, and by following a grievance process that complies with this section before the imposition of any disciplinary sanctions or other actions that are not supportive measures as defined in § 106.30, against a respondent. Remedies must be designed to restore or preserve equal access to the recipient's education program or activity. Such remedies may include the same individualized services described in § 106.30 as "supportive measures"; however, remedies need not be non-disciplinary or non-punitive and need not avoid burdening the respondent;

### § 106.45(b)(1)(ii)



- (ii) **Require an objective evaluation of all relevant evidence—including both inculpatory and exculpatory evidence—and provide that credibility determinations may not be based on a person's status as a complainant, respondent, or witness;**

(emphasis added)

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### § 106.45(b)(1)(iii)



*(iii) Require that any individual designated by a recipient as a Title IX Coordinator, investigator, decisionmaker, or any person designated by a recipient to facilitate an informal resolution process, not have a conflict of interest or bias for or against complainants or respondents generally or an individual complainant or respondent.*

(emphasis added)

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### § 106.45(b)(1)(iii) Cont'd



*A recipient must ensure that Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process, receive training on*

- the definition of sexual harassment in § 106.30,*
- the 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, and*
- how to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias. . . .*

(bullets added, emphasis added)

74

### § 106.45 (b)(1)(iii) Cont'd



*A recipient must ensure that decision-makers receive training on any technology to be used at a live hearing and on issues of relevance of questions and evidence, including when questions and evidence about the complainant's sexual predisposition or prior sexual behavior are not relevant, as set forth in paragraph (b)(6) of this section.*

*A recipient also must ensure that investigators receive training on issues of relevance to create an investigative report that fairly summarizes relevant evidence, as set forth in paragraph (b)(5)(vii) of this section.*

*Any materials used to train Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process, must not rely on sex stereotypes and must promote impartial investigations and adjudications of formal complaints of sexual harassment;*

(emphasis added)

### § 106.45(b)(1)(iv)



*(iv) Include a presumption that the respondent is not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the grievance process;*

(emphasis added)

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### § 106.45(b)(1)(v)



*(v) Include reasonably prompt time frames for conclusion of the grievance process, including reasonably prompt time frames for filing and resolving appeals and informal resolution processes if the recipient offers informal resolution processes, and a process that allows for the temporary delay of the grievance process or the **limited extension of time frames for good cause with written notice to the complainant and the respondent of the delay or extension and the reasons for the action.** Good cause may include considerations such as the absence of a party, a party's advisor, or a witness; concurrent law enforcement activity; or the need for language assistance or accommodation of disabilities;*

(emphasis added)

### § 106.45(b)(1)(vi)



*(vi) Describe the range of possible disciplinary sanctions and remedies or list the possible disciplinary sanctions and remedies that the recipient may implement following any determination of responsibility;*

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§ 106.45(b)(1)(vii)



*(vii) State whether the standard of evidence to be used to determine responsibility is the preponderance of the evidence standard or the clear and convincing evidence standard, apply the same standard of evidence for formal complaints against students as for formal complaints against employees, including faculty, and apply the same standard of evidence to all formal complaints of sexual harassment;*

§ 106.45(b)(1)(viii)



*(viii) Include the procedures and permissible bases for the complainant and respondent to appeal;*

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§ 106.45(b)(1)(ix)



*(ix) Describe the range of supportive measures available to complainants and respondents; and*

§ 106.45(b)(1)(x)



***(x) Not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.***

(emphasis added)

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§ 106.45(b)(2)(i)



*(2) Notice of allegations—  
(i) Upon receipt of a formal complaint, a recipient must provide the following written notice to the parties who are known:*

§ 106.45(b)(2)(i)(A)



*(A) Notice of the recipient's grievance process that complies with this section, including any informal resolution process.*

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## § 106.45(b)(2)(i)(B)



*(B) Notice of the allegations of sexual harassment potentially constituting sexual harassment as defined in § 106.30, including sufficient details known at the time and with sufficient time to prepare a response before any initial interview. Sufficient details include the identities of the parties involved in the incident, if known, the conduct allegedly constituting sexual harassment under § 106.30, and the date and location of the alleged incident, if known. The written notice must include 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. The written notice must inform the parties that they may have an advisor of their choice, who may be, but is not required to be, an attorney, under paragraph (b)(5)(iv) of this section, and may inspect and review evidence under paragraph (b)(5)(vi) of this section. The written notice must inform the parties of any provision in the recipient's code of conduct that prohibits knowingly making false statements or knowingly submitting false information during the grievance process.*

(emphasis added)

## § 106.45(b)(2)(ii)



*(ii) If, in the course of an investigation, the recipient decides to investigate allegations about the complainant or respondent that are not included in the notice provided pursuant to paragraph (b)(2)(i)(B) of this section, the recipient must provide notice of the additional allegations to the parties whose identities are known.*

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## § 106.45(b)(3)(i)



*(3) Dismissal of a formal complaint—*

*(i) The recipient must investigate the allegations in a formal complaint. If the conduct alleged in the formal complaint would not constitute sexual harassment as defined in § 106.30 even if proved, did not occur in the recipient's education program or activity, or did not occur against a person in the United States, then the recipient must dismiss the formal complaint with regard to that conduct for purposes of sexual harassment under title IX or this part; such a dismissal does not preclude action under another provision of the recipient's code of conduct.*

(emphasis added)

## § 106.45(b)(3)(ii)



*(ii) The recipient may dismiss the formal complaint or any allegations therein, if at any time during the investigation or hearing: A complainant notifies the Title IX Coordinator in writing that the complainant would like to withdraw the formal complaint or any allegations therein; the respondent is no longer enrolled or employed by the recipient; or specific circumstances prevent the recipient from gathering evidence sufficient to reach a determination as to the formal complaint or allegations therein.*

(emphasis added)

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## § 106.45(b)(3)(iii)



*(iii) Upon a dismissal required or permitted pursuant to paragraph (b)(3)(i) or (b)(3)(ii) of this section, the recipient must promptly send written notice of the dismissal and reason(s) therefor simultaneously to the parties.*

(emphasis added)

## § 106.45(b)(4)



*(4) Consolidation of formal complaints. A recipient may consolidate formal complaints as to allegations of sexual harassment against more than one respondent, or by more than one complainant against one or more respondents, or by one party against the other party, where the allegations of sexual harassment arise out of the same facts or circumstances. Where a grievance process involves more than one complainant or more than one respondent, references in this section to the singular "party," "complainant," or "respondent" include the plural, as applicable.*

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### § 106.45(b)(5)



***(5) Investigation of a formal complaint. When investigating a formal complaint and throughout the grievance process, a recipient must—***

(emphasis added)

### § 106.45(b)(5)(i)



***(i) Ensure that the burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rest on the recipient and not on the parties provided that the recipient cannot access, consider, disclose, or otherwise use a party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the party, unless the recipient obtains that party's voluntary, written consent to do so for a grievance process under this section (if a party is not an "eligible student," as defined in 34 CFR 99.3, then the recipient must obtain the voluntary, written consent of a "parent," as defined in 34 CFR 99.3);***

(emphasis added)

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### § 106.45(b)(5)(ii)



***(ii) Provide an equal opportunity for the parties to present witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence;***

(emphasis added)

### § 106.45(b)(5)(iii)



***(iii) Not restrict the ability of either party to discuss the allegations under investigation or to gather and present relevant evidence;***

(emphasis added)

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### § 106.45(b)(5)(iv)



***(iv) Provide the parties with the same opportunities to have others present during any grievance proceeding, including the opportunity to be accompanied to any related meeting or proceeding by the advisor of their choice, who may be, but is not required to be, an attorney, and not limit the choice or presence of advisor for either the complainant or respondent in any meeting or grievance proceeding; however, the recipient may establish restrictions regarding the extent to which the advisor may participate in the proceedings, as long as the restrictions apply equally to both parties;***

(emphasis added)

### § 106.45(b)(5)(v)



***(v) Provide, to a party whose participation is invited or expected, written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time for the party to prepare to participate;***

(emphasis added)

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## § 106.45(b)(5)(vi)



*(vi) Provide both parties an equal opportunity to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in a formal complaint, including the evidence upon which the recipient does not intend to rely in reaching a determination regarding responsibility and inculpatory or exculpatory evidence whether obtained from a party or other source, so that each party can meaningfully respond to the evidence prior to conclusion of the investigation.*

(emphasis added)

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## § 106.45(b)(5)(vii)



*(vii) Create an investigative report that fairly summarizes relevant evidence and, at least 10 days prior to a hearing (if a hearing is required under this section or otherwise provided) or other time of determination regarding responsibility, send to each party and the party's advisor, if any, the investigative report in an electronic format or a hard copy, for their review and written response.*

(emphasis added)

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## § 106.45(b)(6)(i) Cont'd



*At the request of either party, the recipient must provide for the live hearing to occur with the parties located in separate rooms with technology enabling the decision-maker(s) and parties to simultaneously see and hear the party or the witness answering questions. Only relevant cross-examination and other questions may be asked of a party or witness. Before a complainant, respondent, or witness answers a cross-examination or other question, the decision-maker(s) must first determine whether the question is relevant and explain any decision to exclude a question as not relevant. If a party does not have an advisor present at the live hearing, the recipient must provide without fee or charge to that party, an advisor of the recipient's choice, who may be, but is not required to be, an attorney, to conduct cross-examination on behalf of that party.*

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## § 106.45(b)(5)(vi) Cont'd



*Prior to completion of the investigative report, the recipient must send to each party and the party's advisor, if any, the evidence subject to inspection and review in an electronic format or a hard copy, and the parties must have at least 10 days to submit a written response, which the investigator will consider prior to completion of the investigative report. The recipient must make all such evidence subject to the parties' inspection and review available at any hearing to give each party equal opportunity to refer to such evidence during the hearing, including for purposes of cross-examination; and*

(emphasis added)

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## § 106.45(b)(6)(i)



*(6) Hearings.*

*(i) For postsecondary institutions, the recipient's grievance process must provide for a live hearing. At the live hearing, the decisionmaker(s) must permit each party's advisor to ask the other party and any witnesses all relevant questions and follow-up questions, including those challenging credibility. Such cross-examination at the live hearing must be conducted directly, orally, and in real time by the party's advisor of choice and never by a party personally, notwithstanding the discretion of the recipient under paragraph (b)(5)(iv) of this section to otherwise restrict the extent to which advisors may participate in the proceedings.*

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## § 106.45(b)(6)(i) Cont'd



*Questions and evidence about the complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the complainant's prior sexual behavior are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or if the questions and evidence concern specific incidents of the complainant's prior sexual behavior with respect to the respondent and are offered to prove consent. If a party or witness does not submit to cross-examination at the live hearing, the decision-maker(s) must not rely on any statement of that party or witness in reaching a determination regarding responsibility; provided, however, that the decision-maker(s) cannot draw an inference about the determination regarding responsibility based solely on a party's or witness's absence from the live hearing or refusal to answer cross-examination or other questions.*

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§ 106.45(b)(6)(i) Cont'd



Live hearings pursuant to this paragraph may be conducted with all parties physically present in the same geographic location or, at the recipient's discretion, any or all parties, witnesses, and other participants may appear at the live hearing virtually, with technology enabling participants simultaneously to see and hear each other. Recipients must create an audio or audiovisual recording, or transcript, of any live hearing and make it available to the parties for inspection and review.

§ 106.45(b)(7)(i)



(7) Determination regarding responsibility.

(i) The decision-maker(s), who cannot be the same person(s) as the Title IX Coordinator or the investigator(s), must issue a written determination regarding responsibility. To reach this determination, the recipient must apply the standard of evidence described in paragraph (b)(1)(vii) of this section.

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§ 106.45(b)(7)(ii)(A)



(ii) The written determination must include—

(A) Identification of the allegations potentially constituting sexual harassment as defined in § 106.30;

§ 106.45(b)(7)(ii)(B)



(B) A description of the procedural steps taken from the receipt of the formal complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;

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§ 106.45(b)(7)(ii)(C)



(C) Findings of fact supporting the determination;

§ 106.45(b)(7)(ii)(D)



(D) Conclusions regarding the application of the recipient's code of conduct to the facts;

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§ 106.45(b)(7)(ii)(E)



*(E) A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions the recipient imposes on the respondent, and whether remedies designed to restore or preserve equal access to the recipient's education program or activity will be provided by the recipient to the complainant; and*

§ 106.45(b)(7)(ii)(F)



*(F) The recipient's procedures and permissible bases for the complainant and respondent to appeal.*

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§ 106.45(b)(7)(iii)



*(iii) The recipient must provide the written determination to the parties simultaneously. The determination regarding responsibility becomes final either on the date that the recipient provides the parties with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.*

§ 106.45(b)(7)(iv)



*(iv) The Title IX Coordinator is responsible for effective implementation of any remedies.*

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§ 106.45(b)(8)(i)



*(8) Appeals.*  
*(i) A recipient must offer both parties an appeal from a determination regarding responsibility, and from a recipient's dismissal of a formal complaint or any allegations therein, on the following bases:*

§ 106.45(b)(8)(i)(A-C)



*(A) Procedural irregularity that affected the outcome of the matter;*  
*(B) 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*  
*(C) 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.*

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## § 106.45(b)(8)(ii)



*(ii) A recipient may offer an appeal equally to both parties on additional bases.*

## § 106.45(b)(8)(iii)(A-F)



*(iii) As to all appeals, the recipient must:*

- (A) Notify the other party in writing when an appeal is filed and implement appeal procedures equally for both parties;*
- (B) Ensure that the decision-maker(s) for the appeal is not the same person as the decision-maker(s) that reached the determination regarding responsibility or dismissal, the investigator(s), or the Title IX Coordinator;*
- (C) Ensure that the decision-maker(s) for the appeal complies with the standards set forth in paragraph (b)(1)(iii) of this section;*
- (D) Give both parties a reasonable, equal opportunity to submit a written statement in support of, or challenging, the outcome;*
- (E) Issue a written decision describing the result of the appeal and the rationale for the result; and*
- (F) Provide the written decision simultaneously to both parties.*

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## § 106.45(b)(9)



*(9) Informal resolution. A recipient may not require as a condition of enrollment or continuing enrollment, or employment or continuing employment, or enjoyment of any other right, waiver of the right to an investigation and adjudication of formal complaints of sexual harassment consistent with this section. Similarly, a recipient may not require the parties to participate in an informal resolution process under this section and may not offer an informal resolution process unless a formal complaint is filed. However, at any time prior to reaching a determination regarding responsibility the recipient may facilitate an informal resolution process, such as mediation, that does not involve a full investigation and adjudication, provided that the recipient—*

## § 106.45(b)(9)(i)



*(i) Provides to the parties a written notice disclosing: The allegations, the requirements of the informal resolution process including the circumstances under which it precludes the parties from resuming a formal complaint arising from the same allegations, provided, however, that at any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the grievance process with respect to the formal complaint, and any consequences resulting from participating in the informal resolution process, including the records that will be maintained or could be shared;*

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## § 106.45(b)(9)(ii-iii)



*(ii) Obtains the parties' voluntary, written consent to the informal resolution process; and*

*(iii) Does not offer or facilitate an informal resolution process to resolve allegations that an employee sexually harassed a student.*

## § 106.45(b)(10)(i)(A)



*(10) Recordkeeping.*

*(i) A recipient must maintain for a period of seven years records of—*

**(A) Each sexual harassment investigation** including any determination regarding responsibility and any audio or audiovisual recording or transcript required under paragraph (b)(6)(i) of this section, any disciplinary sanctions imposed on the respondent, and any remedies provided to the complainant designed to restore or preserve equal access to the recipient's education program or activity;

(emphasis added)

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## § 106.45(b)(10)(i)(B-D)



(B) Any appeal and the result therefrom;

(C) Any informal resolution and the result therefrom; and

**(D) All materials used to train Title IX Coordinators, investigators, decisionmakers, and any person who facilitates an informal resolution process. A recipient must make these training materials publicly available on its 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.**

(emphasis added)

## § 106.45(b)(10)(ii)



(ii) For each response required under § 106.44, a recipient must create, and maintain for a period of seven years, records of any actions, including any supportive measures, taken in response to a report or formal complaint of sexual harassment. In each instance, the recipient must document the basis for its conclusion that its response was not deliberately indifferent, and document that it has taken measures designed to restore or preserve equal access to the recipient's education program or activity. If a recipient does not provide a complainant with supportive measures, then the recipient must document the reasons why such a response was not clearly unreasonable in light of the known circumstances. The documentation of certain bases or measures does not limit the recipient in the future from providing additional explanations or detailing additional measures taken.

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## § 106.71 Retaliation.

## § 106.71(a)



(a) 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. 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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## § 106.71(a) Cont'd



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

(emphasis added)

## § 106.71(b)(1)



(b) Specific circumstances.

(1) The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under paragraph (a) of this section.

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## § 106.71(b)(2)



(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.

## Law Enforcement Activity/ Criminal Proceedings



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## Concurrent Law Enforcement Activity



Section 106.45(b)(1)(v) provides that the recipient's designated **reasonably prompt time frame for completion of a grievance process is subject to temporary delay or limited extension for good cause, which may include concurrent law enforcement activity.** Section 106.45(b)(6)(i) provides that **the decision-maker cannot draw any inference about the responsibility or non-responsibility of the respondent solely based on a party's failure to appear or answer cross-examination questions at a hearing; this provision applies to situations where, for example, a respondent is concurrently facing criminal charges and chooses not to appear or answer questions to avoid self-incrimination that could be used against the respondent in the criminal proceeding.**

Id. at 30099 n.466 (emphasis added).

## Concurrent Law Enforcement Activity Cont'd



**Further, subject to the requirements in § 106.45 such as that evidence sent to the parties for inspection and review must be directly related to the allegations under investigation, and that a grievance process must provide for objective evaluation of all relevant evidence, inculpatory and exculpatory, nothing in the final regulations precludes a recipient from using evidence obtained from law enforcement in a § 106.45 grievance process. § 106.45(b)(5)(vi) (specifying that the evidence directly related to the allegations may have been gathered by the recipient "from a party or other source" which could include evidence obtained by the recipient from law enforcement) (emphasis added); § 106.45(b)(1)(i).**

Id. at 30099 n.466 (emphasis added).

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## Law Enforcement Cannot Be Used to Skirt Title IX Process



**[A] recipient cannot discharge its legal obligation to provide education programs or activities free from sex discrimination by referring Title IX sexual harassment allegations to law enforcement (or requiring or advising complainants to do so), because the purpose of law enforcement differs from the purpose of a recipient offering education programs or activities free from sex discrimination. Whether or not particular allegations of Title IX sexual harassment also meet definitions of criminal offenses, the recipient's obligation is to respond supportively to the complainant and provide remedies where appropriate, to ensure that sex discrimination does not deny any person equal access to educational opportunities. Nothing in the final regulations prohibits or discourages a complainant from pursuing criminal charges in addition to a § 106.45 grievance process.**

Id. at 30099 (internal citation omitted, emphasis added).

## Police Investigations



*The 2001 Guidance takes a similar position: "In some instances, a complainant may allege harassing conduct that constitutes both sex discrimination and possible criminal conduct. Police investigations or reports may be useful in terms of fact gathering. However, because 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."*

Id. at 30099 n. 467.

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## Confidentiality

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## Special Issues for Investigations

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### Job Description



- Required Competencies
- Reporting Structure
- Full Time vs. Part Time
  - Time Requirements
- Potential Conflicts of Interest
- Soft skills

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### Confidentiality and FERPA Protections



Section 106.71(a) requires recipients to **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** (unless permitted by FERPA, or required under law, or as necessary to conduct proceedings under Title IX), and § 106.71(b) states that exercise of rights protected by the First Amendment is not retaliation. Section 106.30 defining "supportive measures" instructs recipients to **keep confidential the provision of supportive measures except as necessary to provide the supportive measures**. These provisions are intended to protect the confidentiality of complainants, respondents, and witnesses during a Title IX process, subject to the recipient's ability to meet its Title IX obligations consistent with constitutional protections.

[Separate module addresses FERPA, recordkeeping and confidentiality.]

*Id.* at 30071 (emphasis added).

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### Who Should Serve as an Investigator?



- Attorneys?
- Outside Investigator?
- Campus Safety/Security?
- Student Conduct Officers?
- Title IX Coordinator/Deputy Title IX Coordinator?
- Human Resources?
- Co-investigators?

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### Requirements



- No conflict of interest or bias; undue institutional interference.
- No sexual stereotypes
- Detail oriented
- Ability to write a quality investigative report
- Documentation is everything
- Organized
- Analytical skills
- Time to devote to investigation
- Listening skills
- Understand basics of Title IX evidence rules

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## Requirements (cont'd)



- Comfortable with subject matter
- Able to apply policies and think critically
- Comfortable with conflict
- Ability to build rapport
- Collaborative
- Ability to remain objective and neutral

## "Adversarial in Nature"



*In the context of sexual harassment that process is often inescapably adversarial in nature where contested allegations of serious misconduct carry high stakes for all participants.*

Id. at 30097.

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## The Investigation Process Itself



- Planning
- Interviewing
- Report Writing
- Tie to the hearing process

## The *Minimum* and *Maximum* Role of the Title IX Investigator



- Campuses are no longer permitted to have a "single" or "pure" investigator model under Title IX.
- A separate decision-maker (or panel of decision-makers) must make a final determination of responsibility.
  - This will be a shift in the function of the investigator on some campuses.
- What, then, is the scope of the investigative report?
  - Purpose? Tone? Format?
- Will the investigator become a witness in the hearing or play other roles?

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## The *Minimum* and *Maximum* Role of the Investigator Cont'd



- Gather all *relevant* information regarding an allegation of sexual harassment.
- Interview all *relevant* parties
- Collect and organize *relevant* evidence
- Credibility Assessments?
- Weighing Evidence?
- Write a detailed investigative report
  - [Separate module on writing an investigative report.]
- Make recommendations for interim measures or accommodations?
- Findings of Responsibility → Remember: There must be a separate decision-maker.

## Sample Policy Elements



- Introduction
- **Scope**
- Support services, supportive measures, and how to access
- Title IX Coordinator's contact information (and deputy coordinators) and how to report
- Mandated reporters
- **Definitions of key terms, such as sexual harassment and consent**
- Timeframes, both for reporting and for resolution

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## Sample Policy Elements Continued



- Confidentiality of information generally
- Requests for confidentiality
- Opportunity to provide/access to information
- Prohibition against retaliation
- Sanction and remedies, and how they will be determined
- Formal complaints
- **Grievance process**
- Evidentiary standard
- Notification of outcome
- Appeal process

## Scope/Off-Campus Jurisdiction



While such situations may be fact specific, recipients must consider whether, for example, a sexual harassment incident between two students that occurs in an off-campus apartment (i.e., not a dorm room provided by the recipient) is a situation over which the recipient exercised substantial control; if so, the recipient must respond to notice of sexual harassment that occurred there.

*Id.* at 30093.

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### "Involvement in an education program or activity"



... [A] complainant must be participating in or attempting to participate in the education program or activity of the recipient with which the formal complaint is filed as provided in the revised definition of "formal complaint" in § 106.30; this provision tethers a recipient's obligation to investigate a complainant's formal complaint to the complainant's involvement (or desire to be involved) in the recipient's education program or activity so that recipients are not required to investigate and adjudicate allegations where the complainant no longer has any involvement with the recipient while recognizing that complainants may be affiliated with a recipient over the course of many years and sometimes complainants choose not to pursue remedial action in the immediate aftermath of a sexual harassment incident. . . .

*Id.* at 30086-87 (emphasis added).

### Educational Program or Activity

#### §106.44(a) General response to sexual harassment.



... For the purposes of this section, §§ 106.30, and 106.45, "education program or activity" includes locations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.

(emphasis added)

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### §106.8(d) Application outside the United States.



The requirements of paragraph (c) of this section apply only to sex discrimination occurring against a person in the United States.

### Relevance



The final regulations do not define relevance, and the ordinary meaning of the word should be understood and applied.

*Id.* at 30247 n. 1018.

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## Relevance Cont'd



The new Title IX regulations specifically . . .  
... require **investigators** and decision-makers **to be trained on issues of relevance**, including **how to apply the rape shield provisions** (which deem questions and evidence about a complainant's prior sexual history to be irrelevant with two limited exceptions).

*Id.* at 30125 (emphasis added).

[Also covered in a separate module.]

## Prior Sexual History/Sexual Predisposition



Section 106.45(b)(6)(i)-(ii) protects complainants (but not respondents) from **questions or evidence about the complainant's prior sexual behavior or sexual predisposition**, mirroring rape shield protections applied in Federal courts.

*Id.* at 30103 (emphasis added).

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## Rape Shield Language



*[T]he rape shield language in § 106.45(b)(6)(i)-(ii) bars questions or evidence about a complainant's sexual predisposition (with no exceptions) and about a complainant's prior sexual behavior subject to two exceptions:*

- 1) if offered to **prove that someone other than the respondent committed the alleged sexual harassment**, or
- 2) if the question or evidence concerns sexual behavior between the complainant and the respondent and is offered to **prove consent**.

*Id.* at 30336 n. 1308 (emphasis added).

## Consent and Rape Shield Language



*[A] recipient selecting its own definition of consent must apply such definition consistently both in terms of not varying a definition from one grievance process to the next and as between a complainant and respondent in the same grievance process. The scope of the questions or evidence permitted and excluded under the rape shield language in § 106.45(b)(6)(i)-(ii) will depend in part on the recipient's definition of consent, but, whatever that definition is, the recipient must apply it consistently and equally to both parties, thereby avoiding the ambiguity feared by the commenter.*

*Id.* at 30125.

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## Rape Shield Language



*[T]he rape shield language in this provision:*

- *considers all questions and evidence of a complainant's sexual predisposition irrelevant, with no exceptions;*
- *questions and evidence about a complainant's prior sexual behavior are irrelevant unless they meet one of the two exceptions;*
- *and questions and evidence about a respondent's sexual predisposition or prior sexual behavior are not subject to any special consideration but rather must be judged like any other question or evidence as relevant or irrelevant to the allegations at issue.*

*Id.* at 30352 (emphasis added).

## Rape Shield Protections and the Investigative Report



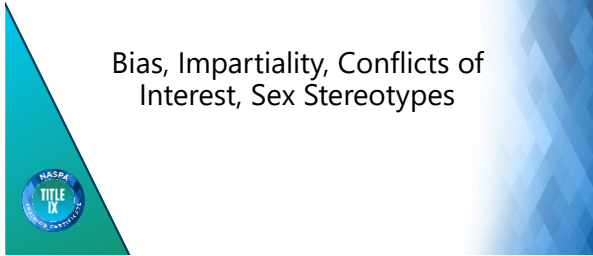
*[T]he investigative report must summarize "relevant" evidence, and thus at that point the rape shield protections would apply to preclude inclusion in the investigative report of irrelevant evidence.*

*Id.* at 30353-54.

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## Bias, Impartiality, Conflicts of Interest, Sex Stereotypes

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**Bias/Conflicts of Interest**

*Section 106.45(b)(1)(iii) requires Title IX Coordinators, investigators, decision-makers, and individuals who facilitate any informal resolution process to **be free of bias or conflicts of interest for or against complainants or respondents** and to be **trained on how to serve impartially**.*

Id. at 30103 (emphasis added).

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**"Bias"**

- Personal animosity
- Illegal prejudice
- Personal or financial stake in the outcome
- Bias can relate to:
  - Sex, race, ethnicity, sexual orientation, gender identity, disability or immigration status, financial ability or other characteristic

Department of Education, Non-discrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance, 81 Fed. Reg. 30205 (May 19, 2016) (Final rule) (online at www.govinfo.gov/content/pkg/FR-2016-05-19/pdf/2016-10512.pdf) at 30204 (emphasis added).

**Bias/Prejudice/Stereotypes/Prejudgment/Conflicts of Interest**

*[S]ome complainants, including or especially girls of color, face school-level responses to their reports of sexual harassment infected by bias, prejudice, or stereotypes.* Id. at 30084.

*§ 106.45(b)(1)(iii) [prohibits] Title IX Coordinators, investigators, and decision-makers, and persons who facilitate informal resolution processes from having conflicts of interest or bias against complainants or respondents generally, or against an individual complainant or respondent, [and requires] training that also includes "how to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias."* Id.

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**"Bias" in *Ikpeazu v. University of Nebraska***

*With respect to the claim of bias, we observe that the committee members are entitled to a presumption of honesty and integrity unless actual bias, such as **personal animosity, illegal prejudice, or a personal or financial stake in the outcome** can be proven. . . . The allegations Ikpeazu makes in support of his bias claim are generally insufficient to show the kind of actual bias from which we could conclude that the committee members acted unlawfully.*

Ikpeazu v. University of Nebraska, 775 F.2d 250, 254 (8th Cir. 1985) (internal citations omitted).

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**Does DOE require "Implicit Bias" training?**

*The Department declines to specify that training of Title IX personnel must include **implicit bias training**; the nature of the training required under § 106.45(b)(1)(iii) is left to the recipient's discretion so long as it achieves the provision's directive that such training provide instruction on how to serve impartially and avoid prejudgment of the facts at issue, conflicts of interest, and bias, and that materials used in such training avoid sex stereotypes.*

Id. at 30084.



## Conflict of Interest

*A conflict between the private interests and the official responsibilities of a person in a position of trust.*

merriam-webster.com



## Impartial

*Not partial or biased: treating or affecting all equally*

merriam-webster.com

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## Prejudgment

*A judgment reached before the evidence is available*

webster-dictionary.org



## Prejudice

*An opinion or judgment formed without due examination; prejudgment; a leaning toward one side of a question from other considerations than those belonging to it; and unreasonable predilection for, or objection against, anything; especially an opinion or leaning adverse to anything, without just grounds, or before sufficient knowledge.*

webster-dictionary.org

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## Stereotype

*something conforming to a fixed or general pattern; a standardized mental picture that is held in common by members of a group and that represents an oversimplified opinion, prejudiced attitude, or uncritical judgment.*

merriam-webster.com

## "Sex Stereotypes"

- What is a sex stereotype? What does DOE mean by this term?
- What are some examples of sex stereotypes?
- An example of a scholarly paper on stereotypes:
  - S. Kanahara, *A Review of the Definitions of Stereotype and a Proposal for a Progressive Model*, Individual Differences Research. Vol. 4 Issue 5 (Dec. 2006).
- Sex stereotypes are to be avoided in training and in actual practice.
- Be especially careful when doing case studies of any kind.
- Anyone can be a complainant or respondent, and all are individuals!



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All Title IX personnel should serve in their roles impartially.

All Title IX personnel should avoid

- *prejudgment of facts*
  - *prejudice*
- *conflicts of interest*
  - *bias*
- *sex stereotypes*



Whose side are you on?

**You have no “side” other than the integrity of the process.**

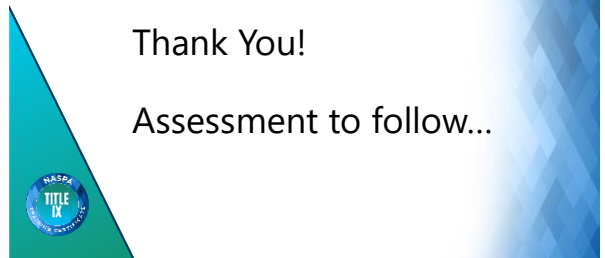
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**You now have the legal foundations to take the next step in the NASPA Title IX Training Certificate program!**



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## Title IX Evidence Issues

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## This Module is Designed for



TRACK 1 – Title IX Coordinators

TRACK 2 – Title IX Decision-Makers and Student Conduct Administrators

TRACK 3 – Title IX Investigators

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Overview

# "Evidence" in Regulations

- Credibility
- Relevance
- Evidentiary Standard
- Inculpatory & Exculpatory Evidence
- Expert Testimony
- Hearsay, Character Evidence, Prior Bad Acts, Use Detectors,
- Statements Not subject to Cross Examination

Evidence Resources

- Title IX Regulations & OCR Guidance
- Federal Rules of Evidence
- Everyday Evidence: A Practical Approach, Charles H. Rose III 2nd Edition 2016
- John Henry Wigmore, WIGMORE ON EVIDENCE (Chadbourn rev. eds. 1972, 1975)
- Dictionaries

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Let's examine some language from the final regulations...

176 § 106.45 (1)(iii) Grievance process for formal complaints of sexual harassment.

"A recipient must ensure that **decision-makers** receive training on . . . issues of relevance of questions and evidence, including when questions and evidence about the complainant's sexual predisposition or prior sexual behavior are not relevant . . ."

"A recipient also must ensure that **investigators** receive training on issues of relevance to create an investigative report that fairly summarizes relevant evidence . . ."

(emphasis added)

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§ 106.45 (1)(ii) Grievance process for formal complaints of sexual harassment.

"(1)Basic requirements for grievance process. A recipient's grievance process must—

...

**(ii) Require an objective evaluation of all relevant evidence – including both inculpatory and exculpatory evidence – and provide that credibility determinations may not be based on a person's status as a complainant, respondent, or witness . . ."**

(emphasis added)

§ 106.45 (1)(iv) Grievance process for formal complaints of sexual harassment.

"(1)Basic requirements for grievance process. A recipient's grievance process must—

...

**(iv) Include a presumption that the respondent is not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the grievance process . . ."**

(emphasis added)

§ 106.45 (1)(vii) Grievance process for formal complaints of sexual harassment.



*"(1)Basic requirements for grievance process. A recipient's grievance process must—*

...

*(vii) State whether the standard of evidence to be used to determine responsibility is the preponderance of the evidence standard or the clear and convincing evidence standard, apply the same standard of evidence for formal complaints against students as for formal complaints against employees, including faculty, and apply the same standard of evidence to all formal complaints of sexual harassment. . . ."*

(emphasis added)

§ 106.45 (1)(x) Grievance process for formal complaints of sexual harassment.



*"(1)Basic requirements for grievance process. A recipient's grievance process must—*

...

*(x) Not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege."*

(emphasis added)

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§ 106.45 (5)(i) Grievance process for formal complaints of sexual harassment.



*"(5) Investigation of a formal complaint. When investigating a formal complaint and throughout the grievance process, a recipient must—*

*(i) Ensure that the burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rest on the recipient and not on the parties provided that the recipient cannot access, consider, disclose, or otherwise use a party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the party, unless the recipient obtains that party's voluntary, written consent to do so for a grievance process under this section (if a party is not an "eligible student," as defined in 34 CFR 99.3, then the recipient must obtain the voluntary, written consent of a "parent," as defined in 34 CFR 99.3) . . ."*

(emphasis added)

§ 106.45 (5)(ii) Grievance process for formal complaints of sexual harassment.



*"(5) Investigation of a formal complaint. When investigating a formal complaint and throughout the grievance process, a recipient must—*

...

*(ii) Provide an equal opportunity for the parties to present witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence . . ."*

(emphasis added)

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§ 106.45 (5)(iii) Grievance process for formal complaints of sexual harassment.



*... § 106.45 does not set parameters around the "quality" of evidence that can be **relied on**, § 106.45 does prescribe that all relevant evidence, inculpatory and exculpatory, whether obtained by the recipient from a party or from another source, **must be objectively evaluated** by investigators and decision-makers free from conflicts of interest or bias and who have been trained in (among other matters) how to serve impartially.*

(emphasis added)

§ 106.45 (5)(iii) Grievance process for formal complaints of sexual harassment.



*"(5) Investigation of a formal complaint. When investigating a formal complaint and throughout the grievance process, a recipient must—*

...

*(iii) Not restrict the ability of either party to discuss the allegations under investigation or to gather and present relevant evidence . . ."*

(emphasis added)

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§ 106.45 (5)(vi) Grievance process for formal complaints of sexual harassment.



*"(5) Investigation of a formal complaint. When investigating a formal complaint and throughout the grievance process, a recipient must—*

...

*(vi) Provide both parties an equal opportunity to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in a formal 2024 complaint, including the evidence upon which the recipient does not intend to rely in reaching a determination regarding responsibility and inculpatory or exculpatory evidence whether obtained from a party or other source, so that each party can meaningfully respond to the evidence prior to conclusion of the investigation. Prior to completion of the investigative report, the recipient must send to each party and the party's advisor, if any, the evidence subject to inspection and review in an electronic format or a hard copy, and the parties must have at least 10 days to submit a written response, which the investigator will consider prior to completion of the investigative report. The recipient must make all such evidence subject to the parties' inspection and review available at any hearing to give each party equal opportunity to refer to such evidence during the hearing, including for purposes of cross-examination . . ."*

(emphasis added)

§ 106.45 (5)(vii) Grievance process for formal complaints of sexual harassment.



*"(5) Investigation of a formal complaint. When investigating a formal complaint and throughout the grievance process, a recipient must—*

...

*(vii) Create an investigative report that fairly summarizes relevant evidence and, at least 10 days prior to a hearing (if a hearing is required under this section or otherwise provided) or other time of determination regarding responsibility, send to each party and the party's advisor, if any, the investigative report in an electronic format or a hard copy, for their review and written response. "*

(emphasis added)

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§ 106.45 (6)(i) Grievance process for formal complaints of sexual harassment.



*"(6) Hearings.*

*(i) For postsecondary institutions, the recipient's grievance process must provide for a live hearing. At the live hearing, the decision-maker(s) must permit each party's advisor to ask the other party and any witnesses all relevant questions and follow-up questions, including those challenging credibility. . . . Only relevant cross-examination and other questions may be asked of a party or witness. Before a complainant, respondent, or witness answers a cross-examination or other question, the decision-maker(s) must first determine whether the question is relevant and explain any decision to exclude a question as not relevant."*

(emphasis added)

§ 106.45 (6)(i) Grievance process for formal complaints of sexual harassment. [Cont'd]



*"(6) Hearings.*

*Questions and evidence about the complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the complainant's prior sexual behavior are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or if the questions and evidence concern specific incidents of the complainant's prior sexual behavior with respect to the respondent and are offered to prove consent. . . ."*

(emphasis added)

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§ 106.45 (6)(i) Grievance process for formal complaints of sexual harassment. [Cont'd]



*"(6) Hearings.*

*If a party or witness does not submit to cross-examination at the live hearing, the decision-maker(s) must not rely on any statement of that party or witness in reaching a determination regarding responsibility; provided, however, that the decision-maker(s) cannot draw an inference about the determination regarding responsibility based solely on a party's or witness's absence from the live hearing or refusal to answer cross-examination or other questions. . . ."*

(emphasis added)

§ 106.45 (6)(ii) Grievance process for formal complaints of sexual harassment.



*"(6) Hearings.*

*(ii) . . . With or without a hearing, questions and evidence about the complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the complainant's prior sexual behavior are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or if the questions and evidence concern specific incidents of the complainant's prior sexual behavior with respect to the respondent and are offered to prove consent. The decision-maker(s) must explain to the party proposing the questions any decision to exclude a question as not relevant."*

(emphasis added)

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## Let's Look at Some of the Comments in the Regulations

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*In order to preserve the benefits of live, back-and-forth questioning and follow-up questioning unique to cross-examination, the Department declines to impose a requirement that questions be submitted for screening prior to the hearing (or during the hearing); the final regulations revise this provision to clarify that cross-examination must occur "directly, orally, and in real time" during the live hearing, balanced by the express provision that questions asked of parties and witnesses must be relevant, and before a party or witness answers a cross-examination question the decision-maker must determine relevance (and explain a determination of irrelevance). This provision does not require a decision-maker to give a lengthy or complicated explanation; it is sufficient, for example, for a decision-maker to explain that a question is irrelevant because the question calls for prior sexual behavior information without meeting one of the two exceptions, or because the question asks about a detail that is not probative of any material fact concerning the allegations.*

*id.* at 30343.

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*The Department desires to prescribe a grievance process adapted for an educational environment rather than a courtroom, and declines to impose a comprehensive, detailed set of evidentiary rules for resolution of contested allegations of sexual harassment under Title IX. . . . the Department has determined that recipients must consider relevant evidence with the following conditions: a complainant's prior sexual behavior is irrelevant (unless questions or evidence about prior sexual behavior meet one of two exceptions, as noted above); information protected by any legally recognized privilege cannot be used; no party's treatment records may be used without that party's voluntary, written consent; and statements not subject to cross-examination in postsecondary institutions cannot be relied on by the decision-maker. The Department notes that where evidence is duplicative of other evidence, a recipient may deem the evidence not relevant.*

Department of Education, *Non-Discretion on the Basis of Sex in Education Programs or Activities Requiring Federal Financial Assistance*, 83 Fed. Reg. 20204 (May 23, 2020) (*Final rule*) (<http://www.gpo.gov/fdsys/pkg/FR-2020-05-19/pdf/2020-10512.pdf>) at 30337.

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*[T]he Department declines to import a balancing test that would exclude sexual behavior questions and evidence (even meeting the two exceptions) unless probative value substantially outweighs potential harm or undue prejudice, because that open-ended, complicated standard of admissibility would render the adjudication more difficult for a layperson decision-maker competently to apply. Unlike the two exceptions in this provision, a balancing test of probative value, harm, and prejudice contains no concrete factors for a decision-maker to look to in making the relevance determination.*

*id.* at 30353.

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*The Department believes the protections of the rape shield language remain stronger if decision-makers are not given discretion to decide that sexual behavior is admissible where its probative value substantially outweighs the danger of harm to a victim and unfair prejudice to any party. If the Department permitted decision-makers to balance ambiguous factors like "unfair prejudice" to make admissibility decisions, the final regulations would convey an expectation that a non-lawyer decision-maker must possess the legal expertise of judges and lawyers. Instead, the Department expects decision-makers to apply a single admissibility rule (relevance), including this provision's specification that sexual behavior is irrelevant with two concrete exceptions. This approach leaves the decisionmaker discretion to assign weight and credibility to evidence, but not to deem evidence inadmissible or excluded, except on the ground of relevance (and in conformity with other requirements in § 106.45, including the provisions discussed above whereby the decisionmaker cannot rely on statements of a party or witness if the party or witness did not submit to cross-examination, a party's treatment records cannot be used without the party's voluntary consent, and information protected by a legally recognized privilege cannot be used).*

*id.* at 30351-52.

*In response to commenters' concerns that the proposed rules did not provide a recipient sufficient leeway to halt investigations that seemed futile, the final regulations revise § 106.45(b)(3)(ii) to provide that a recipient may (in the recipient's discretion) dismiss a formal complaint, or allegations therein, in certain circumstances including where a complainant requests the dismissal (in writing to the Title IX Coordinator), where the respondent is no longer enrolled or employed by the recipient, or where specific circumstances prevent the recipient from meeting the recipient's burden to collect sufficient evidence (for example, where a postsecondary institution complainant has ceased participating in the investigation and the only inculpatory evidence available is the complainant's statement in the formal complaint or as recorded in an interview by the investigator).*

*id.* at 30282 (emphasis added).

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*§ 106.45(b)(5)(vi) [emphasizes] that the evidence gathered and sent to the parties for inspection and review is evidence “directly related to the allegations” which must specifically include “inculpatory or exculpatory evidence whether obtained from a party or other source.” Such inculpatory or exculpatory evidence (related to the allegations) may, therefore, be gathered by the investigator from, for example, law enforcement where a criminal investigation is occurring concurrently with the recipient’s Title IX grievance process.*

*id.* at 30303.



*The Department therefore believes it is important that at the phase of the investigation where the parties have the opportunity to review and respond to evidence, the universe of that exchanged evidence should include all evidence (inculpatory and exculpatory) that relates to the allegations under investigation, without the investigator having screened out evidence related to the allegations that the investigator does not believe is relevant. The parties should have the opportunity to argue that evidence directly related to the allegations is in fact relevant (and not otherwise barred from use under § 106.45), and parties will not have a robust opportunity to do this if evidence related to the allegations is withheld from the parties by the investigator.*

*id.* at 30304.

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*The Department emphasizes that the decision-maker must not only be a separate person from any investigator, but the decision-maker is under an obligation to objectively evaluate all relevant evidence both inculpatory and exculpatory, and must therefore independently reach a determination regarding responsibility without giving deference to the investigative report.*

*id.* at 30314.



*Regardless of whether certain demographic groups are more or less financially disadvantaged and thus more or less likely to hire an attorney as an advisor of choice, decision-makers in each case must reach determinations based on the evidence and not solely based on the skill of a party’s advisor in conducting cross-examination. The Department also notes that the final regulations require a trained investigator to prepare an investigative report summarizing relevant evidence, and permit the decision-maker on the decision-maker’s own initiative to ask questions and elicit testimony from parties and witnesses, as part of the recipient’s burden to reach a determination regarding responsibility based on objective evaluation of all relevant evidence including inculpatory and exculpatory evidence. Thus, the skill of a party’s advisor is not the only factor in bringing evidence to light for a decision-maker’s consideration.*

*id.* at 30332.

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*Unlike court trials where often the trier of fact consists of a jury of laypersons untrained in evidentiary matters, the final regulations require decision-makers to be trained in how to conduct a grievance process and how to serve impartially, and specifically including training in how to determine what questions and evidence are relevant. The fact that decision-makers in a Title IX grievance process must be trained to perform that role means that the same well-trained decision-maker will determine the weight or credibility to be given to each piece of evidence, and the training required under § 106.45(b)(1)(iii) allows recipients flexibility to include substantive training about how to assign weight or credibility to certain types or categories of evidence, so long as any such training promotes impartiality and treats complainants and respondents equally. Thus, for example, where a cross-examination question or piece of evidence is relevant, but concerns a party’s character or prior bad acts, under the final regulations the decision-maker cannot exclude or refuse to consider the relevant evidence, but may proceed to objectively evaluate that relevant evidence by analyzing whether that evidence warrants a high or low level of weight or credibility, so long as the decisionmaker’s evaluation treats both parties equally by not, for instance, automatically assigning higher weight to exculpatory character evidence than to inculpatory character evidence.*

*id.* at 30337 (emphasis added).



*[A] recipient must objectively evaluate all relevant evidence (inculpatory and exculpatory) but retains discretion, to which the Department will defer, with respect to how persuasive a decision-maker finds particular evidence to be.*

*id.* at 30337.

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*While the proposed rules do not speak to admissibility of hearsay, prior bad acts, character evidence, polygraph (lie detector) results, standards for authentication of evidence, or similar issues concerning evidence, the final regulations require recipients to gather and evaluate relevant evidence, with the understanding that this includes both inculpatory and exculpatory evidence, and the final regulations deem questions and evidence about a complainant's prior sexual behavior to be irrelevant with two exceptions and preclude use of any information protected by a legally recognized privilege (e.g., attorney-client).*

*Id.* at 30247-48 (internal citations omitted).



*While not addressed to hearsay evidence as such, § 106.45(b)(6)(i), which requires postsecondary institutions to hold live hearings to adjudicate formal complaints of sexual harassment, states that the decision-maker must not rely on the statement of a party or witness who does not submit to cross-examination, resulting in exclusion of statements that remain untested by cross-examination.*

*Id.* at 30247 n. 1017.

*The final regulations do not define relevance, and the ordinary meaning of the word should be understood and applied.*

*Id.* at 30247 n. 1018.

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*The Department understands that courts of law operate under comprehensive, complex rules of evidence under the auspices of judges legally trained to apply those rules of evidence (which often intersect with other procedural and substantive legal rules, such as rules of procedure, and constitutional rights). Such comprehensive rules of evidence admit hearsay (generally, out-of-court statements offered to prove the truth of the matter asserted) under certain conditions, which differ in criminal and civil trials. Because Title IX grievance processes are not court proceedings, comprehensive rules of evidence do not, and need not, apply. Rather, the Department has prescribed procedures designed to achieve a fair, reliable outcome in the context of sexual harassment in an education program or activity where the conduct alleged constitutes sex discrimination under Title IX. While judges in courts of law are competent to apply comprehensive, complicated rules of evidence, the Department does not believe that expectation is fair to impose on recipients, whose primary function is to provide education, not to resolve disputes between students and employees.*

*Id.* at 30347.



*While commenters correctly observe that the Confrontation Clause is concerned with use of testimonial statements against criminal defendants, even if use of a non-testimonial statement poses no constitutional problem under the Sixth Amendment, the statement would still need to meet a hearsay exception under applicable rules of evidence in a criminal court. For reasons discussed above, the Department does not wish to impose a complex set of evidentiary rules on recipients, whether patterned after civil or criminal rules.*

*Id.* at 30347.

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*The Department understands commenters' concerns that a blanket rule against reliance on party and witness statements made by a person who does not submit to cross-examination is a broader exclusionary rule than found in the Federal Rules of Evidence, under which certain hearsay exceptions permit consideration of statements made by persons who do not testify in court and have not been cross-examined.*

*Id.* at 30348.



*[W]here a party or witness does not appear and is not cross-examined, the statements of that party or witness cannot be determined reliable, truthful, or credible in a non-courtroom setting like that of an educational institution's proceeding that lacks subpoena powers, comprehensive rules of evidence, and legal professionals. . . . [R]ecipients are educational institutions that should not be converted into de facto courtrooms. The final regulations thus prescribe a process that simplifies evidentiary complexities while ensuring that determinations regarding responsibility result from consideration of relevant, reliable evidence. The Department declines to adopt commenters' suggestion that instead the decision-maker should be permitted to rely on statements that are not subject to cross-examination, if they are reliable; making such a determination without the benefit of extensive rules of evidence would likely result in inconsistent and potentially inaccurate assessments of reliability. Commenters correctly note that courts have not imposed a blanket rule excluding hearsay evidence from use in administrative proceedings. However, cases cited by commenters do not stand for the proposition that every administrative proceeding must be permitted to rely on hearsay evidence, even where the agency lacks subpoena power to compel witnesses to appear.*

*Id.* at 30348.

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[R]elevance is the sole gatekeeper evidentiary rule in the final regulations, but decision-makers retain discretion regarding the weight or credibility to assign to particular evidence. Further, for the reasons discussed above, while the final regulations do not address "hearsay evidence" as such, § 106.45(b)(6)(i) does preclude a decision-maker from relying on statements of a party or witness who has not submitted to cross-examination at the live hearing.

*Id.* at 30354.

## Considerations for Applying Regulatory Requirements

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### Recipients may not...

... adopt evidentiary rules of admissibility that contravene those evidentiary requirements prescribed under § 106.45 . . .

... adopt a rule excluding relevant evidence whose probative value is substantially outweighed by the danger of unfair prejudice . . .

... adopt rules excluding certain types of relevant evidence (e.g., lie detector test results, or rape kits) where the type of evidence is not either deemed "not relevant" (as is, for instance, evidence concerning a complainant's prior sexual history) or otherwise barred from use under § 106.45 (as is, for instance, information protected by a legally recognized privilege) . . .

*Id.* at 30294 (internal citations omitted).

- 1) Credibility Determinations
- 2) Issues of Relevance
- 3) Setting the Evidentiary Standard
- 4) Inculpatory & Exculpatory Evidence
- 5) Expert Testimony
- 6) Hearsay & Character
- 7) Federal Court on Title IX Evidence

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### Credibility Determinations

- Often these cases are "word against word," so what exists to corroborate claims?
- Reports to law enforcement, medical assistance, contemporaneous reports or conversations, journal entries, witness accounts, etc. can be viewed as corroborating (if medical or mental health reports exist you can ask the complainant for access to those records).
- In cases where medical or mental health records exist and panel members gain access, it's a good idea to enlist the help of medical/mental health experts to interpret.
- Avoid expectations or assumptions about behaviors or responses by either complainant or respondent. Avoid stereotypes; prevent bias, implicit or otherwise.

### Credibility Determinations

- Assess demeanor: Does the person appear credible? Look at body language, eye contact, level of nervousness, defensiveness, evasiveness, etc.
- Is the person's account inherently believable? Plausible? What is his or her potential bias?
- Does the person have a motive to be untruthful?
- Are there past acts that could be relevant (although past acts are not determinative of the issue before you, they can be relevant for some purposes).
- Pay attention to inconsistencies, but remember that in cases of trauma, inconsistencies can occur. Inconsistencies alone may not determine credibility or lack thereof.
- Look out for attempts to derail the hearing, deflect away from questions, and/or bog down the hearing with irrelevant information.
- Check your own bias at the door. Do not pre-judge your findings until all relevant information is heard. Do not be lured towards confirmation bias.

## Relevance



The new Title IX regulations “specifically . . . require investigators and decision-makers to be trained on issues of relevance, including how to apply the rape shield provisions.”

The decision-maker is required to make relevance determinations regarding cross-examination in real time during the hearing.

## Title IX Regulations – Relevance



- Require an “objective evaluation of all relevant evidence” 106.45(b)(1)(ii)
- ***The Department declines to define certain terms in this provision such as “upon request,” “relevant,” or “evidence directly related to the allegations,” as these terms should be interpreted using their plain and ordinary meaning.***

<https://www.federalregister.gov/d/2020-10512/p-3515>

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## FRE 401 – Court Room Test for Relevant Evidence



Evidence in federal court is relevant if:

- a) It has any tendency to make a fact more or less probable than it would be without the evidence; and
  - b) The fact is of consequence in determining the action.
- **Irrelevant Evidence**– Evidence not tending to prove or disprove a matter in issue.  
Bryan A. Gardner, Black’s Law Dictionary 10, (2014), Pg. 676
  - Does the question call for an answer that makes an issue of material fact more or less likely?

## Merriam Webster Definition of Relevant



- Having significant and demonstrable bearing on the matter at hand.
- Tending logically to prove or disprove a fact of consequence or to make the fact more or less probable and thereby aiding the trier of fact in making a decision

“Relevant.” Merriam-Webster.com Dictionary, Merriam-Webster, <https://www.merriam-webster.com/dictionary/relevant>. Accessed 12 Jul. 2020.

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## What is Probative?



- Title IX Regulations do not define Probative
- Evidence that tends to prove or disprove a point in Issue.  
Bryan A. Gardner, Black’s Law Dictionary 10, (2014), Pg. 677
- “Each single piece of evidence must have a **plus value**.”  
1 JOHN H. WIGMORE, EVIDENCE 410 (1940).

## FRE 403 = Court Room Exclusions Not Applied to Title IX Hearings



- “The Court may exclude relevant evidence if its probative value is substantially outweighed by a danger of one or more of the following: Unfair Prejudice, Confusing the Issues, Misleading the jury, Undue delay, Wasting time, Needlessly presenting cumulative evidence.”
- Need to apply
- “A recipient may not adopt a rule excluding relevant evidence whose probative value is substantially outweighed by the danger of unfair prejudice.”

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## What Exclusions do Apply in Title IX Hearings



- 1) **Legally Recognized Privileged Information** -> (Attorney/Client & Dr./Client)
- 2) Complainant's Sexual Predisposition (always) & Prior Sexual History Unless... Two Exceptions
- 3) Treatment Records without the parties written voluntary consent
- 4) A recipient may adopt rules of order or decorum to forbid badgering a witness.
- 5) OCR Blog Post: *The decision-maker must not rely on the statement of a party or witness who does not submit to cross-examination, resulting in exclusion of statements that remain untested by cross-examination.*
- 6) A Recipient may fairly deem repetition of the same question to be irrelevant.

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## Rape Shield Language



[T]he rape shield language in § 106.45(b)(6)(i)-(ii) bars questions or evidence about a complainant's sexual predisposition (with no exceptions) and about a complainant's prior sexual behavior subject to two exceptions:

- 1) if offered to **prove that someone other than the respondent committed the alleged sexual harassment, or**
- 2) if the question or evidence concerns sexual behavior between the complainant and the respondent and is offered to prove **consent**.

*Id.* at 30336 n. 1308 (emphasis added).

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## Relevance Litany...Making the Determination



- 1) What is at Issue?
- 2) Admissibility Versus Probative
- 3) What does the offered evidence go to prove? Not does it prove this at point of admissibility
- 4) Apply the Regulatory standards as applicable...Title IX hearings not governed by FRE *per se*

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## Relevant but Hostile



*Where the substance of a question is relevant, but the manner in which an advisor attempts to ask the question is harassing, intimidating, or abusive (for example, the advisor yells, screams, or physically "leans in" to the witness's personal space), the recipient may appropriately, evenhandedly enforce rules of decorum that require relevant questions to be asked in a respectful, non-abusive manner.*

<https://www.federalregister.gov/d/2020-10512/p-3779>

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## Title IX Hearing – FRE 412 Rape Shield Protections



- (a) **Prohibited Uses.** The following evidence is not admissible in a civil or criminal proceeding involving alleged sexual misconduct:
  - (1) evidence offered to prove that a victim engaged in other sexual behavior; or
  - (2) evidence offered to prove a victim's sexual predisposition.
- (b) **Exceptions.**
  - (1) **Criminal Cases.** The court may admit the following evidence in a criminal case:
    - (A) evidence of specific instances of a victim's sexual behavior, if offered to prove that someone other than the defendant was the source of semen, injury, or other physical evidence;
    - (B) evidence of specific instances of a victim's sexual behavior with respect to the person accused of the sexual misconduct, if offered by the defendant to prove consent or if offered by the prosecutor; and
    - (C) evidence whose exclusion would violate the defendant's constitutional rights.
  - (2) **Civil Cases.** In a civil case, the court may admit evidence offered to prove a victim's sexual behavior or sexual predisposition if its probative value substantially outweighs the danger of harm to any victim and of unfair prejudice to any party. The court may admit evidence of a victim's reputation only if the victim has placed it in controversy.
- (c) **Procedure to Determine Admissibility.**

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## Cross Examination & Relevance Determination



- **The decision-maker(s) must first determine whether the question is relevant and explain any decision to exclude a question as not relevant.**
- "[T]his provision does not require a decision-maker to give a lengthy or complicated explanation; it is sufficient, for a decision-maker to explain that a question is irrelevant because... the question asks about a detail that is not probative of any material fact concerning the allegations."  
<https://www.federalregister.gov/d/2020-10512/p-3896>
- "[D]irectly, orally, and in real time" precluding a requirement that cross examination questions be submitted or screened prior to the live hearing."  
<https://www.federalregister.gov/d/2020-10512/p-3897>
- "The recipient may adopt a rule that prevents parties and advisors from challenging the relevance determination (after receiving the decision-maker's explanation) during the hearing."  
<https://www.federalregister.gov/d/2020-10512/p-3892>

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## Evidentiary Standards



"State whether the standard of evidence to be used to determine responsibility is the preponderance of the evidence standard or the clear and convincing evidence standard, apply the same standard of evidence for formal complaints against students as for formal complaints against employees, including faculty, and apply the same standard of evidence to all formal complaints of sexual harassment;" <https://www.federalregister.gov/d/2020-10512/p-6468>

- 1) Clear & Convincing
- 2) Preponderance of the Evidence

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## Standard of Proof – Clear and Convincing



- Evidence indicating that the thing to be proved is highly probable or reasonably certain. Bryan A. Gardner, Black's Law Dictionary 10, (2014), 674
- Certain facts must be proved by clear and convincing evidence, which is a higher burden of proof. This means the party must persuade you that it is highly probable that the fact is true.

CAI No. 201. More Likely True—Clear and Convincing Proof <https://www.justia.com/documents/trials/litigation-cai.pdf>

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## Exculpatory Evidence



*Evidence tending to establish a defendant's Innocence.*

Bryan A. Gardner, Black's Law Dictionary 10, (2014), Pg. 675

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## Standard of Proof - Preponderance of the Evidence



Using a **preponderance of the evidence standard**, and considering relevant definitions in the Policy, the hearing panel weighs the evidence to determine whether the Respondent violated the Policy.

50.01% likelihood or 50% and a feather  
Which side do you fall on?

"The Greater weight of the evidence, not necessarily established by the greater number of witnesses testifying to a fact but by evidence that has the most convincing force, superior evidentiary weight that, though not sufficient to free the mind wholly from all reasonable doubt, is still sufficient to incline a mind to one side of the issue rather than the other."

Bryan A. Gardner, Black's Law Dictionary 10, (2014), 1373

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## Inculpatory Evidence



*Evidence showing or tending to show one's involvement in a crime or wrong.*

Bryan A. Gardner, Black's Law Dictionary 10, (2014), Pg. 676

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## Court Room Expert Testimony Requirements– FRE 702



A witness who is qualified as an expert by knowledge, skill, experience, training, or education may testify in the form of an opinion or otherwise if:

- A) The expert's scientific, technical, or other specialized knowledge will help the trier of fact to understand the evidence or to determine a fact in issue;
- B) The Testimony is based on sufficient facts or data
- C) The Testimony is the product of reliable principles and methods
- D) The expert has reliably applied the principles and methods to the facts of the case.

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## Title IX Regulations – Expert Witnesses



- Must provide the parties equal opportunity to present fact and expert witnesses.
- Expert witness evidence must be relevant.

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## FRE 801 – Hearsay



- (a) **Statement.** “Statement” means a person’s oral assertion, written assertion, or nonverbal conduct, if the person intended it as an assertion.
- (b) **Declarant.** “Declarant” means the person who made the statement.
- (c) **Hearsay.** “Hearsay” means a statement that:
  - (1) the declarant does not make while testifying at the current trial or hearing; and
  - (2) a party offers in evidence to prove the truth of the matter asserted in the statement

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## FRE 803 – Exceptions to the Rule Against Hearsay



- (1) **Present Sense Impression.** A statement describing or explaining an event or condition, made while or immediately after the declarant perceived it.
- (2) **Excited Utterance.** A statement relating to a startling event or condition, made while the declarant was under the stress of excitement that it caused.
- (3) **Then-Existing Mental, Emotional, or Physical Condition.** A statement of the declarant’s then-existing state of mind (such as motive, intent, or plan) or emotional, sensory, or physical condition (such as mental feeling, pain, or bodily health), but not including a statement of memory or belief to prove the fact remembered or believed unless it relates to the validity or terms of the declarant’s will.
- (4) **Statement Made for Medical Diagnosis or Treatment.** A statement that:
  - (A) is made for — and is reasonably pertinent to — medical diagnosis or treatment; and
  - (B) describes medical history, past or present symptoms or sensations; their inception; or their general cause.

(Not Entire Rule)

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## Hearsay, Character, etc..



- *While the proposed rules do not speak to admissibility of hearsay, prior bad acts, character evidence, polygraph (lie detector) results, standards for authentication of evidence, or similar issues concerning evidence, the final regulations require recipients to gather and evaluate relevant evidence*  
<https://www.federalregister.gov/d/2020-10512/p-2947> (internal citations omitted)
- *Within these evidentiary parameters recipients retain the flexibility to adopt rules that govern how the recipient’s investigator and decision-maker evaluate evidence and conduct the grievance process (so long as such rules apply equally to both parties)*

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## FRE 801 – Exclusions From Hearsay



- (d) **Statements That Are Not Hearsay.** A statement that meets the following conditions is not hearsay:
  - (1) **A Declarant-Witness’s Prior Statement.** The declarant testifies and is subject to cross-examination about a prior statement, and the statement:
    - (A) is inconsistent with the declarant’s testimony and was given under penalty of perjury at a trial, hearing, or other proceeding or in a deposition;
    - (B) is consistent with the declarant’s testimony and is offered:
      - (i) to rebut an express or implied charge that the declarant recently fabricated it or acted from a recent improper influence or motive in so testifying; or
      - (ii) to rehabilitate the declarant’s credibility as a witness when attacked on another ground; or
    - (C) identifies a person as someone the declarant perceived earlier.
  - (2) **An Opposing Party’s Statement.** The statement is offered against an opposing party and:
    - (A) was made by the party in an individual or representative capacity;
    - (B) is one the party manifested that it adopted or believed to be true;
    - (C) was made by a person whom the party authorized to make a statement on the subject;
    - (D) was made by the party’s agent or employee on a matter within the scope of that relationship and while it existed; or
    - (E) was made by the party’s coconspirator during and in furtherance of the conspiracy.

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## Statements Not Subject to Cross Exam



OCR Blog Post -> <https://www2.ed.gov/about/offices/list/ocr/blog/20200522.html>

*If a party or witness does not submit to cross-examination at the live hearing, the decision-maker(s) must not rely on any statement of that party or witness in reaching a determination regarding responsibility, provided, however, that the decision-maker(s) cannot draw an inference about the determination regarding responsibility based solely on a party’s or witness’s absence from the live hearing or refusal to answer cross-examination or other questions.*  
Section 106.45(b)(6)(i)

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## Potential Federal Court Rulings on Evidence

Haidak v. University of Massachusetts-Amherst, 933 F.3d 56 (1st Cir. App. 8/6/2019)

"The rules that govern a common law trial need not govern a university disciplinary proceeding. But the rules of trial may serve as a useful benchmark to guide our analysis." *Id.* at 67.

For example, even in a full-blown federal trial, "extrinsic evidence is not admissible to prove specific instances of a witness's conduct in order to attack or support the witness's character for truthfulness." *Fed. R. Evid. 608(b)*. And extrinsic evidence aside, the court has ample discretion to exclude evidence "if its probative value is substantially outweighed by a danger of ... undue delay, wasting time, or needlessly presenting cumulative evidence." *Fed. R. Evid. 403*. Because a federal district court would have been well within its discretion in excluding the transcript, it follows a fortiori that an identical decision by the Hearing Board did not violate Haidak's right to due process. *Id.*

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### Interview Techniques for Title IX Investigators Under the New Regulations

Dr. Jennifer R. Hammat  
Dean of Students  
University of Southern Indiana



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## Reference

Unless otherwise noted, source: Department of Education, *Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance*, 85 Fed. Reg. 30026 (May 19, 2020)(final rule) (online at <https://www.govinfo.gov/content/pkg/FR-2020-05-19/pdf/2020-10512.pdf>).

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Thank You!

Assessment to follow...

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This Module is Designed for

- TRACK 1 – Title IX Coordinators
- TRACK 3 – Title IX Investigators

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## Decisions and Flexibility

The Department has given you some flexibility here. As you draft your policies and procedures, you have a decision to make about how you conduct your investigations. This is largely based on your staffing level and if you intend to have your investigator make any determinations of credibility of evidence and/or parties (Obama era investigations). It is one of the decisions you will need to make as a campus. If you stay the course, and continue to have investigators determine credibility and relevance, very little changes. If you decide they will not do this, investigations change significantly.

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## Outsourcing Is an Option



*The Department notes that nothing in the final regulations precludes a recipient from carrying out its responsibilities under § 106.45 by outsourcing such responsibilities to professionally trained investigators and adjudicators outside the recipient's own operations. The Department declines to impose a requirement that Title IX Coordinators, investigators, or decision-makers be licensed attorneys (or otherwise to specify the qualifications or experience needed for a recipient to fill such positions), because leaving recipients as much flexibility as possible to fulfill the obligations that must be performed by such individuals will make it more likely that all recipients reasonably can meet their Title IX responsibilities.*

Id. at 30105.

## A note about §106.45(b)(7)



*Section 106.45(b)(7) specifies that the decision-maker must be a different person from the Title IX Coordinator or investigator, but the final regulations do not preclude a Title IX Coordinator from also serving as the investigator.*

Id. at 30135 n.596.

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## § 106.45(b)(5)(i)-(vii)



*Requires recipients to investigate formal complaints in a manner that:*

- *Keeps the burden of proof and burden of gathering evidence on the recipient while protecting every party's right to consent to the use of the party's own medical, psychological, and similar treatment records;*
- *Provides the parties equal opportunity to present fact and expert witnesses and other inculpatory and exculpatory evidence;*
- *Does not restrict the parties from discussing the allegations or gathering evidence;*

Id. at 30053.

## 106.45(b)(5)(i)-(vii) continued



- *Gives the parties equal opportunity to select an advisor of the party's choice (who may be, but does not need to be, an attorney);*
- *Requires written notice when a party's participation is invited or expected for an interview, meeting, or hearing;*
- *Provide both parties equal opportunity to review and respond to the evidence gathered during the investigation; and*
- *Sends both parties the recipient's investigative report summarizing the relevant evidence, prior to reaching a determination regarding responsibility;*

Id. at 30053.

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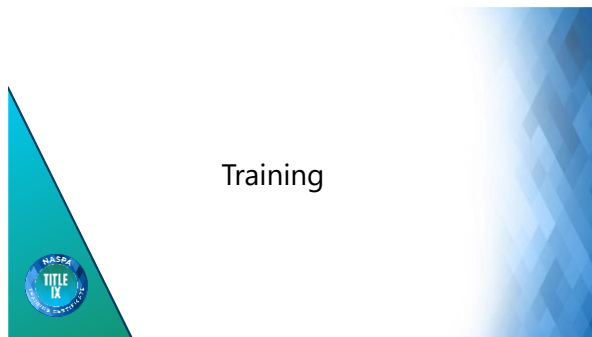
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## § 106.45(b)(1)(i)-(x)



- *Treats complainants and respondents equitably by recognizing the need for complaints to receive remedies where a respondent is determined responsible and for respondents to face disciplinary sanctions only after a fair process determines responsibility;*
- *Objectively evaluates all relevant evidence both inculpatory and exculpatory, and ensures that rules voluntarily adopted by a recipient treat the parties equally;*

Id. at 30053.



Training

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## § 106.45(b)(1)(i)-(x) continued



- **Requires Title IX Coordinators, investigators, decision-makers, and persons who facilitate informal resolutions to be free from conflicts of interest and bias and trained to serve impartially without prejudging the facts at issue;**
- Presumes the non-responsibility of respondents until conclusions of the grievance process;
- Includes reasonably prompt time frames for the grievance process;

Id. at 30053 (emphasis added).

## § 106.45(b)(1)(i)-(x) continued



- Informs all parties of critical information about recipient's procedures including the range of remedies and disciplinary sanctions a recipient may impose, the standard of evidence applied by the recipient to all formal complaints of sexual harassment under Title IX (which must be either the preponderance of the evidence standard, or the clear and convincing evidence standard), the recipient's appeal procedures, and the range of supportive measures available to both parties; and
- Protects any legally recognized privilege from being pierced during a grievance process.

Id. at 30053.

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## Training



- "Best practices"/"Experts"/Certification
- Impartiality of Title IX operatives
- No bias
- No conflicts of interest
- No sexual stereotypes in training materials
- Training on the institution's specific policies, procedures and processes
- Training on "relevance" of evidence for investigations and hearings
- Training on technology used in hearings
- *We assume that all recipients will need to train their Title IX Coordinators, an investigator, any person designated by a recipient to facilitate an informal resolution process (e.g., a mediator), and two decision-makers (assuming an additional decision-maker for appeals). We assume this training will take approximately eight hours for all staff at the . . . IHE level.*

Id. at 30567.

## Investigations

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## What has happened?



- A formal complaint has been received (and signed).
- An initial meeting with the Title IX Coordinator has happened to provide support measures.
- A notice of investigation has gone out to both parties.
- The case has been assigned to you (the investigator) or as the Title IX Coordinator, you are the investigator, or you have outsourced the investigation.
- The investigator has read the formal complaint.
- Which route for investigations has your school opted for?
  - Investigations with or without credibility assessments?

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## Preparing your questions pre-interview



- Read the Formal Complaint
  - Write out the questions you have about the report on first read.
- Read the Formal Complaint again.
  - What additional questions do you have about the incident narrative.
  - Who is identified in the Formal Complaint you feel you need to interview.
  - What questions do you have for those individuals?
- Have all of these typed out ahead of the first interview.
- Revise and update with additional questions and witnesses as you go.

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## § 106.45(b)(5)(iv)



*(iv) Provide the parties with the same opportunities to have others present during any grievance proceeding, including the opportunity to be accompanied to any related meeting or proceeding by the advisor of their choice, who may be, but is not required to be, an attorney, and not limit the choice or presence of advisor for either the complainant or respondent in any meeting or grievance proceeding; however, the recipient may establish restrictions regarding the extent to which the advisor may participate in the proceedings, as long as the restrictions apply equally to both parties;*

## Crossover interview techniques



- Title IX investigation framework is good practice for other kinds of investigations:
- Code of Conduct violations
- Threat assessment or BIT concerns investigations
- Educational conversations with student
- Academic Integrity case investigations
- Hazing investigations

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## Fact Finding and Data Collection (with credibility assessment)



## How to start an interview



- Introduce yourself
- Is small talk appropriate? Build rapport. Establish baseline responses\*
- Explain your role
- Explain you will be note/taking/recording the interview for notes
- Ask interviewee to share their recollections of the incident.
  - Do not interrupt the narrative
  - Let them talk until they are done
  - Follow up questions later

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## Remember your role



You are NOT a party's lawyer, advisor, counselor, parent, or friend  
You ARE an investigator and a facilitator  
You ARE free from bias  
You ARE free from prejudgment  
You ARE interested in finding out fact about the incident  
You ARE interested in the truth

Being Impartial ≠ Being a Robot  
You can be a neutral fact-finder and still show empathy and kindness.  
Investigation spaces should be judgement free zones

## Follow-up questions



- When seeking clarification after the party's initial recollection of the event, try to ask questions that build confidence and put them at ease.
- "You said you left the party around 1am, is that correct?"
- "You said you recalled having three cups of 'red solo cup' punch, is that right?"
- If they are describing a location, it might be helpful to ask them to sketch out the room for you (if it is a residence hall, you should have those schematics on your computer to pull up/print out).

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## Clarifications



- When asking harder questions about the order of events, or specifics about the conversation or activities, you may run into a series of "I don't know" or "I can't remember" statements. That's ok.
- Reassure the party its ok that they cannot remember or don't know.
- You can move to another question or kind of questioning.
- If you hit a memory gap, ask them some sensory questions to see if it triggers any memories. Often there are memories they cannot access unless you ask the question from a different lens.

## Sense and Feel questions



- "Can you draw what you experienced?"
- "What were you feeling when XYZ occurred?"
- "What did you smell?"
- "Can you show me?"
- "What were you feeling when you were kissing?"
- "Tell me more about that."
- "What did you hear?"
- "Tell me about his/her eyes."
- "What can you not forget?"

Source: Russell Strand, Frontline Training Conference, 2018

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## A word about trauma



- Anyone you speak with about alleged sexual harassment (complainant, respondent, or witnesses) could have experienced or still be experiencing trauma as a result of the alleged situation.
- Be cognizant that talking to you may be very difficult for the parties.
- Remember to document their experience with as little interruption as possible. Follow-up questions should be limited.
- Ideally, you want the party being interviewed to do most of the speaking.

Modified from: Russell Strand, Frontline Training Conference, 2018

## Meet the student where they are:



- Baseline knowledge =
  - How to evaluate risk
  - Factors to consider in decision-making
  - Medically accurate knowledge of sex, reproduction, sexual health
  - Ability to navigate interpersonal relationships
  - Communication skills
  - Conflict resolution skills
  - Emotional intelligence
- Not all students know the same thing about the same things

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## Gathering and Evaluating Evidence (with Credibility Assessment)



## Types of Evidence



- |                                                                                                                                                                                            |                                                                                                                                                                                                                        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>VERBAL</b>                                                                                                                                                                              | <b>PHYSICAL</b>                                                                                                                                                                                                        |
| <ul style="list-style-type: none"><li>• Interviews with:<ul style="list-style-type: none"><li>• Parties</li><li>• Witnesses</li><li>• Others with relevant information</li></ul></li></ul> | <ul style="list-style-type: none"><li>• Images (photos and videos)</li><li>• Text messages</li><li>• Screen shots</li><li>• Documents</li><li>• E-mails</li><li>• Security footage</li><li>• Medical records</li></ul> |

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## Ask them for evidence they want reviewed



- Inculpatory evidence
- Exculpatory evidence
- Relevant to the allegations
- Rape shield law protections
- Witnesses to interview
- If they know of others with similar experiences
- Character testimony is permitted

## Credibility of the Parties and Evidence



- **Credibility** = “**the accuracy and reliability of evidence.**”
- A credibility assessment is necessary for each piece of evidence considered in the investigation.

Source: Nedda Black, J.D., et al., *The ATIXA Playbook: Best Practices for the Post-Regulatory Era* at 101 (ATIXA, 2017).

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## Credibility: EEOC Guidance



- If there are conflicting versions of relevant events, the employer will have to weigh each party's credibility. Credibility assessments can be critical in determining whether the alleged harassment in fact occurred. Factors to consider include:
  - **Inherent plausibility:** Is the testimony believable on its face? Does it make sense?
  - **Demeanor:** Did the person seem to be telling the truth or lying?
  - **Motive to falsify:** Did the person have a reason to lie?
  - **Corroboration:** Is there **witness testimony** (such as testimony by eye-witnesses, people who saw the person soon after the alleged incidents, or people who discussed the incidents with him or her at around the time that they occurred) or **physical evidence** (such as written documentation) that corroborates the party's testimony?
  - **Past record:** Did the alleged harasser have a history of similar behavior in the past?
- None of the above factors are determinative as to credibility. For example, the fact that there are no eye-witnesses to the alleged harassment by no means necessarily defeats the complainant's credibility, since harassment often occurs behind closed doors. Furthermore, the fact that the alleged harasser engaged in similar behavior in the past does not necessarily mean that he or she did so again.

## Investigative relevance



- “*The investigator is obligated to gather evidence directly related to the allegations whether or not the recipient intends to rely on such evidence (for instance, where evidence is directly related to the allegations but the investigator does not believe the evidence to be credible and thus does not intend to rely on it).*”
- *The parties may then inspect and review the evidence directly related to the allegations. The investigator must take into consideration the parties' responses and then determine what evidence is relevant and summarize the evidence in the investigative report.”*

Id. at 30248.

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## Investigative relevance continued



*“The parties then have equal opportunity to review the investigative report; if a party disagrees with an investigator's determination about relevance, the party can make that argument in the party's written response to the investigative report under § 106.45(b)(5)(vii) and to the decision-maker at any hearing held; either way the decision-maker is obligated to objectively evaluate all relevant evidence and the parties have the opportunity to argue about what is relevant (and about the persuasiveness of relevant evidence).”*

Id. at 30249.

## § 106.45(b)(7)



Section 106.45(b)(7) also helps prevent injection of bias into Title IX sexual harassment grievance processes, **by requiring transparent descriptions of the steps taken in an investigation and explanation of the reasons why objective evaluation of the evidence supports findings of facts and conclusions based on those facts.**

Id. at 30389 (emphasis added).

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## An Investigative Note about Rape Shield Laws



*The final regulations permit exchange of all evidence “directly related to the allegations in a formal complaint” during the investigation, but require the investigator to only summarize “relevant” evidence in the investigative report (which would exclude sexual history information deemed by these final regulations to be “not relevant”), and require the decision-maker to objectively evaluate only “relevant” evidence during the hearing and when reaching the determination regarding responsibility.*

Id. at 30352.

## Rape Shield Continued



*To further reinforce the importance of correct application of the rape shield protections, we have revised § 106.45(b)(6)(i) to explicitly stat that only relevant questions may be asked, and the decision-maker must determine the relevance of each cross-examination questions before a party or witness must answer.*

Id. at 30352.

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## Obligations



*“The investigator is obligated to gather evidence directly related to the allegations whether or not the recipient intends to rely on such evidence (for instance, where evidence is directly related to the allegations but the recipient’s investigator does not believe the evidence to be credible and thus does not intend to rely on it). The parties may then inspect and review the evidence directly related to the allegations. The investigator must take into consideration the parties’ responses and then determine what evidence is relevant and summarize the relevant evidence in the investigative report.”*

Id. at 30352 (internal citations omitted).

## Obligations Continued



*“The parties then have equal opportunity to review the investigative report; if a party disagrees with an investigator’s determination about relevance, the party can make that argument in the party’s written response to the investigative report under § 106.45(b)(5)(vii) and to the decision-maker at any hearing held; either way the decision-maker is obligated to objectively evaluate all relevant evidence and the parties have the opportunity to argue about what is relevant (and about the persuasiveness of relevant evidence).”*

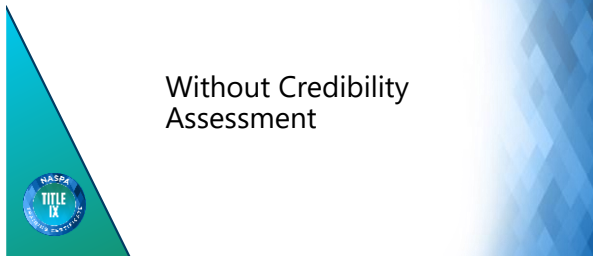
Id. at 30248-49.

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## Without Credibility Assessment



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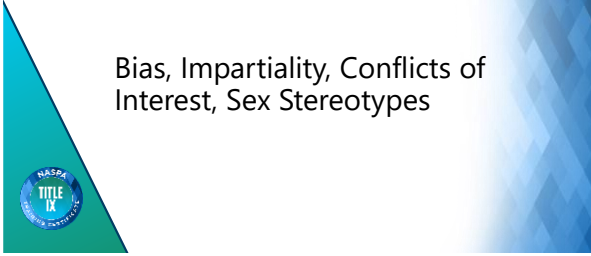
## Why would you consider this?



- **Cross purpose.** The purpose of the hearing is to determine credibility of all the parties and all the evidence. If the investigator does this, one could later assert bias against the investigator for making their assessment of the parties and/or the evidence.
- **Time.** Investigations that accept information, gather documents, and statements, and provide a relevance review of said documents would make for an effective summary of the investigative materials presented for the hearing to sort through.
- **Repetition.** Anything anyone says to you, they will have to say again at the hearing and be subject to cross-examination, or it won't be considered.

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## Bias, Impartiality, Conflicts of Interest, Sex Stereotypes

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### "Bias" in *Ikpeazu v. University of Nebraska*

*With respect to the claim of bias, we observe that the committee members are entitled to a presumption of honesty and integrity unless actual bias, such as **personal animosity, illegal prejudice, or a personal or financial stake in the outcome** can be proven. . . . The allegations Ikpeazu makes in support of his bias claim are generally insufficient to show the kind of actual bias from which we could conclude that the committee members acted unlawfully.*

*Ikpeazu v. University of Nebraska*, 775 F.2d 250, 254 (8th Cir. 1985) (internal citations omitted, emphasis added).

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### Does DOE require "Implicit Bias" training?

*The Department declines to specify that training of Title IX personnel must include **implicit bias training**; the nature of the training required under § 106.45(b)(1)(iii) is left to the recipient's discretion so long as it achieves the provision's directive that such training provide instruction on how to serve impartially and avoid prejudgment of the facts at issue, conflicts of interest, and bias, and that materials used in such training avoid sex stereotypes.*

Id. at 30084 (emphasis added).

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### Bias/Conflict of Interest

*Section 106.45(b)(1)(iii) requires Title IX Coordinators, investigators, decision-makers, and individuals who facilitate any informal resolution process to **be free of bias or conflicts of interest for or against complainants or respondents** and to be **trained on how to serve impartially**.*

Id. at 30103 (emphasis added).

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### Bias

- Personal animosity
- Illegal prejudice
- Personal or financial stake in the outcome
- Bias can relate to:
  - Sex, race, ethnicity, sexual orientation, gender identity, disability or immigration status, financial ability or other characteristic

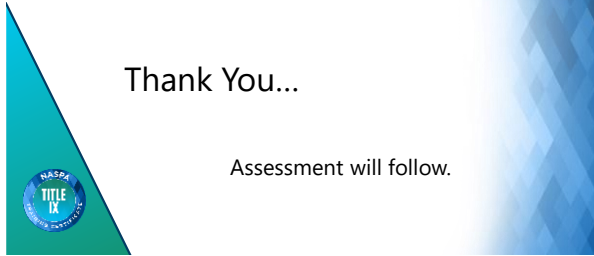
Id. at 30084 (emphasis added).

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### Final Thought

Remember, other modules in the NASPA Title IX Training Certificate curriculum address student conduct, Title IX hearings, Title IX investigations, report writing, informal resolution, FERPA/records management, evidence, etc.

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Thank You...

Assessment will follow.



## Constructing a Report

Dr. Jennifer R. Hammat  
Dean of Students  
University of Southern Indiana



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### This Module is Designed for

- TRACK 1 – Title IX Coordinators
- TRACK 3 – Title IX Investigators

### Reference

Unless otherwise noted, source: Department of Education, *Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance*, 85 Fed. Reg. 30026 (May 19, 2020)(final rule) (online at <https://www.govinfo.gov/content/pkg/FR-2020-05-19/pdf/2020-10512.pdf>).

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### Outsourcing Is an Option

*The Department notes that nothing in the final regulations precludes a recipient from carrying out its responsibilities under § 106.45 by outsourcing such responsibilities to professionally trained investigators and adjudicators outside the recipient's own operations. The Department declines to impose a requirement that Title IX Coordinators, investigators, or decision-makers be licensed attorneys (or otherwise to specify the qualifications or experience needed for a recipient to fill such positions), because leaving recipients as much flexibility as possible to fulfill the obligations that must be performed by such individuals will make it more likely that all recipients reasonably can meet their Title IX responsibilities.*

Id. at 30105.

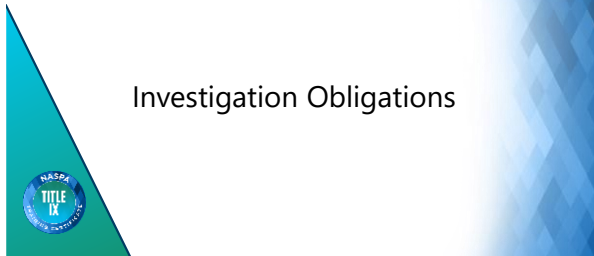
### Bias/Conflict of Interest

*Section 106.45(b)(1)(iii) requires Title IX Coordinators, investigators, decision-makers, and individuals who facilitate any informal resolution process to **be free of bias or conflicts of interest for or against complainants or respondents** and to **be trained on how to serve impartially.***

Id. at 30103 (emphasis added).

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## Investigation Obligations

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### § 106.45(b)(5)(i)-(vii) continued

- Requires written notices when a party's participation is invited or expected for an interview, meeting, or hearing;
- Provides both parties equal opportunity to review and respond to the evidence gathered during the investigation;
- Sends both parties the recipient's investigative report summarizing the relevant evidence, prior to reaching a determination regarding responsibility.

Id. at 30053.

### § 106.45(b)(5)(i)-(vii)

Requires recipients to investigate formal complaints in a manner that:

- Keeps the burden of proof and burden of gathering evidence on the recipient while protecting every party's right to consent to the use of the party's own medical, psychological, and similar treatment records;
- Provides the parties equal opportunity to present fact and expert witnesses and other inculpatory and exculpatory evidence;
- Gives the parties equal opportunity to select an advisor of the party's choice (who may be an attorney, but does not need to be, an attorney);

Id. at 30053.

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### Report Purpose

We agree that the final regulations seek to provide strong, clear procedural protections to complainants and respondents, including apprising both parties of the evidence the investigator has determined to be relevant, in order to adequately prepare for a hearing (if one is required or otherwise provided) and to submit responses about the investigative report for the decision-maker to consider even when a hearing is not required or otherwise provided.

Id. at 30309.

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### Report purpose and combining continued

- A valuable part of this process is giving parties (and advisors who are providing assistance to the parties) adequate time to review, assess, and respond to the investigative report in order to fairly prepare for the live hearing or submit arguments to a decision-maker where a hearing is not required or otherwise provided.
- In the context of a grievance process that involves multiple complainants, multiple respondents, or both, a recipient may issue a single investigative report.

Id. at 30309.

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### Findings or Conclusions in Report?

The Department does not wish to prohibit the investigator from including recommended findings or conclusions in the investigative report. However, the decision-maker is under an independent obligation to objectively evaluate relevant evidence, and thus cannot simply defer to recommendations made by the investigator in the investigative report.

Id. at 30308.

## Elements of the Investigative Report

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### Why review the report?

- *Allowing the parties to review and respond to the investigative report is important to providing the parties with notice of the evidence the recipient intends to rely on in deciding whether the evidence supports the allegations under investigation.*
- *These final regulations do not prescribe a process for the inclusion of additional support information or for amending or supplementing the investigative report in light of the parties' responses after reviewing the report.*

Id. at 30310.

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### Discretion continued

*A recipient also may provide both parties with an opportunity to respond to any additional evidence the other party proposes after reviewing the investigative report. If a recipient allows parties to provide additional evidence in response to the investigative report, any such additional evidence will not qualify as new evidence that was reasonably available at the time the determination regarding responsibility was made for purposes of appeal under § 106.45(b)(8)(i)(B).*

Id. at 30311.

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### No Position

*The Department takes no position here on such elements beyond what is required in these final regulations; namely, that the investigative report must fairly summarize relevant evidence. We note that the decision-maker must prepare a written determination regarding responsibility that must contain certain specific elements (for instance, a description of procedural steps taken during an investigation) and so a recipient may wish to instruct the investigator to include such matters in the investigative report, but these final regulations do not prescribe the contents of the investigative report other than specifying its core purpose of summarizing relevant evidence.*

Id. at 30310.

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### Discretion

- *Recipients enjoy discretion with respect to whether and how to amend and supplement the investigative report as long as any such rules and practices apply equally to both parties, under the revised introductory sentences of § 106.45(b).*
- *A recipient may require all parties to submit any evidence that they would like the investigator to consider prior to the finalization of the investigative report thereby allowing each party to respond to the evidence in the investigative report sent to the parties under § 106.45(b)(5)(vii).*

Id. at 30310-11.

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### Reminders

- *"The investigator is obligated to gather evidence directly related to the allegations whether or not the recipient intends to rely on such evidence (for instance, where evidence is directly related to the allegations but the investigator does not believe the evidence to be credible and thus does not intend to rely on it).*
- *The parties may then inspect and review the evidence directly related to the allegations. The investigator must take into consideration the parties' responses and then determine what evidence is relevant and summarize the evidence in the investigative report."*

Id. at 30248.

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## Reminders continued



*"The parties then have equal opportunity to review the investigative report; if a party disagrees with an investigator's determination about relevance, the party can make that argument in the party's written response to the investigative report under § 106.45(b)(5)(vii) and to the decision-maker at any hearing held; either way the decision-maker is obligated to objectively evaluate all relevant evidence and the parties have the opportunity to argue about what is relevant (and about the persuasiveness of relevant evidence)."*

Id. at 30248-49.

## § 106.45(b)(7)



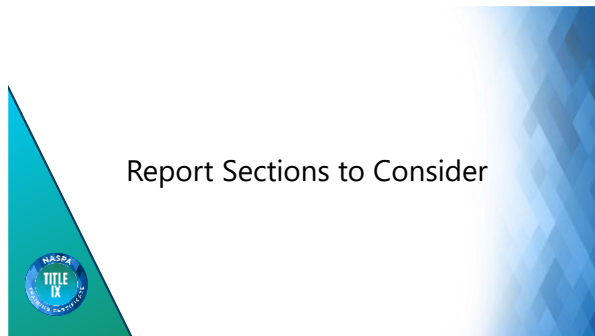
*Section 106.45(b)(7) also helps prevent injection of bias into Title IX sexual harassment grievance processes, **by requiring transparent descriptions of the steps taken in an investigation and explanation of the reasons why objective evaluation of the evidence supports findings of facts and conclusions based on those facts.***

Id. at 30389 (emphasis added).

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## Report Sections to Consider

## Background



### I. BACKGROUND AND REPORTED CONDUCT

- Summary of allegation goes here. Identify the names of the CP and RP here and the Investigator. [One paragraph summary].

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## Jurisdiction



### II. JURISDICTION

- This office houses the Title IX Office which has campus-wide responsibility for investigating alleged violations of the Sexual Harassment Policy. This office responds to claims of harassment (including sexual assault), stalking, dating violence, domestic violence, and retaliation brought forward by students, employees or third parties.

## Scope



### III. SCOPE OF THE INVESTIGATION

- [This is the timeline and details pertinent to the case. It is the record of when it was reported. If a No Contact Order was issued. When parties were notified, interviewed, submitted evidence, asked for additional parties to be interviewed, and if they rescheduled or didn't respond.
- This is the accounting for the time it took for the investigation. It will match what is in the file, (in emails and in phone logs). (1-2 paragraphs)]

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## Scope continued



- Parties interviewed:
- Complainant Name, in-person interviews on February 7, 2019
- Respondent Name, in-person interview on February 8, 2019
- Witness 1 Name, in-person interview on February 9, 2019
- Witness 2 Name, in-person interview on February 10, 2019
- Witness 3 Name, in-person interview on February 11, 2019
- Witness 4 Name, in-person interview on February 12, 2019

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## Relevant policies\*\*



### **IV. RELEVANT POLICY AND LAW PROHIBITING SEXUAL HARASSMENT (INCLUDING SEXUAL ASSAULT) AND RETALIATION**

- This is straight from your policy. What are the relevant policy prohibitions you have published with regard to sexual harassment (the definitions and why it is being investigated).
- In this new format, this section could be optional, we included it to make the investigative report complete.

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## Analysis (this could be relevance or credibility)\*\*



### **VI. ANALYSIS**

#### **A. Standard of Evidence: Preponderance of the Evidence**

Findings in this investigative report are based on a "preponderance of the evidence" standard. In other words, after reviewing all of the evidence, including the relative credibility of the parties and their statements during interviews, whether it is more likely than not that the conduct occurred as alleged. If the conduct did occur as alleged, then an analysis is completed to determine whether the conduct violated University policy. (Please note: the report's findings do not reach conclusions whether the alleged conduct violated state or federal laws, but instead address whether the University's policies were violated).

#### **B. Fact Finding**

- a) A list of the facts discovered during the investigation
- b) A summary of the facts/details agreed and disagreed upon by the CP and RP
- c) This is the nuts and bolts of what happened

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## Scope continued



- Documentary evidence acquired:
- Written statement of Complainant Name, dated February 5, 2019
- Text message correspondence between CP Name and Witness 1 Name (received February 21, 2019)
- Text message correspondence between CP Name and Witness 2 Name (received February 21, 2019)
- Text message correspondence between Witness 2 Name and Witness 3 Name (received February 18, 2019)
- Video shared by Witness 4, February 20, 2019
- Photographs shared by Witness 3 and Witness 4, February 21, 2019

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## Investigation SUMMARY



### **V. INVESTIGATION SUMMARY**

#### **A. Statement Summary of the Parties**

Complainant:

Respondent:

#### **B. Documentary Evidence:**

Below is the list of the documentary evidence reviewed for this report:

- Documentation and investigative files obtained by the Title IX Investigator;
- The written statement provided by the COMPLAINANT and evidence;
- The written statement provided by the RESPONDENT and evidence; and
- University policies.

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## Summary of the Analysis\*\*



### **C. Summary of the Analysis**

- In the instant case... (This is the narrative of the information learned, from all parties, in a summary presentation of what was learned, and the analysis applied to that factual information)

[If Affirmative Consent is in Question:] if something like this is in your policy...

- In evaluating Affirmative Consent in cases of alleged incapacitation, the University asks two questions:
  - 1) Did the person initiating sexual activity know that the other party was incapacitated? If not,
  - 2) Should a sober, reasonable person in the same situation have known that the other party was incapacitated?
- If the answer to the first question is "YES," Affirmative Consent was absent, and the conduct is likely a violation of this policy.

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## Credibility Assessment\*\*



- **D. Credibility Assessment**
- According to the Equal Employment Opportunity Commission's *Enforcement Guidance on Vicarious Employer Liability for Unlawful Harassment by Supervisors* dated June 18, 1999:
- If there are conflicting versions of relevant events, the employer will have to weigh each party's credibility. Credibility assessments can be critical in determining whether the alleged harassment in fact occurred. Factors to consider include:
- **Inherent plausibility:** Is the testimony believable on its face? Does it make sense?
- **Demeanor:** Did the person seem to be telling the truth or lying?
- **Motive to falsify:** Did the person have a reason to lie?
- **Corroboration:** Is there witness testimony (such as testimony by eye-witnesses, people who saw the person soon after the alleged incidents, or people who discussed the incidents with him or her at around the time that they occurred) or physical evidence (such as written documentation) that corroborates the party's testimony?
- **Past record:** Did the alleged harasser have a history of similar behavior in the past?
- None of the above factors are determinative as to credibility. For example, the fact that there are no eye-witnesses to the alleged harassment by no means necessarily defeats the complainant's credibility, since harassment often occurs behind closed doors. Furthermore, the fact that the alleged harasser engaged in similar behavior in the past does not necessarily mean that he or she did so again.

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## Relevant Evidence



- List of the evidence provided
- Summary of whether determined to be relevant or not
- Can break this out by inculpatory and exculpatory
- One party may provide more than the other
- Make sure you assign who provided the evidence in the summary of evidence (and the dates received in the timeline of events – evidence is often sent after interviews with the investigator).

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## Involve your colleagues



- Draft up a template that works for your school
- Draft it together
- Have counsel review it
- Have students review it
- Have academics review it
- You want this template to be the blueprint all investigator use
- Modify as you need. Keep it simple.

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## Credibility Assessment\*\*



- These factors will now be assessed for the purposes of this investigation.
- The Complainant...
- The Respondent...
- The Witnesses...

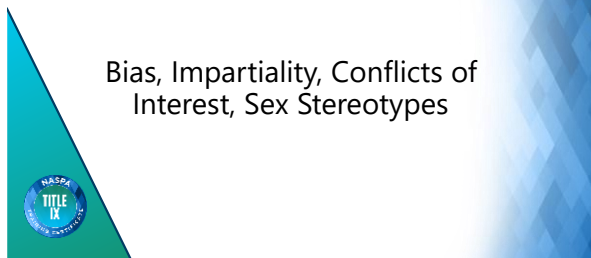
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## Conclusions and/or Recommendations\*\*



- **VII. CONCLUSION**
- The investigator finds that the credible evidence **supports** a possible violation(s) of the University's *Sexual Harassment policy*. This report will be forwarded to the decision-maker. **OR**
- The investigator finds the credible evidence **does not support** a possible violation(s) of the University's *Sexual Harassment policy*. This report will be forwarded to the decision-maker.
- **VII. RECOMMENDATIONS**
- As a Title IX matter, the University has the authority to evaluate the allegations and make findings as applied to students and employees for disciplinary purposes. The investigator **recommends** that the Respondent should go through the live hearing process for possible violations of the University Sexual Harassment Policy. In similarly situated cases of this nature, a common outcome has been Suspension from the University. **OR**
- As a Title IX matter, the University has the authority to evaluate the allegations and make findings as applied to students and employees for disciplinary purposes. The investigator **does not recommend** the Respondent should go through the live hearing process for possible violations of the University Sexual Harassment Policy.

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## Bias/Conflict of Interest



Section 106.45(b)(1)(iii) requires Title IX Coordinators, investigators, decision-makers, and individuals who facilitate any informal resolution process to **be free of bias or conflicts of interest for or against complainants or respondents and to be trained on how to serve impartially.**

*Id.* at 30103 (emphasis added).

## "Bias" in *Ikpeazu v. University of Nebraska*



• With respect to the claim of bias, we observe that the committee members are entitled to a presumption of honesty and integrity unless actual bias, such as **personal animosity, illegal prejudice, or a personal or financial stake in the outcome** can be proven. . . . The allegations Ikpeazu makes in support of his bias claim are generally insufficient to show the kind of actual bias from which we could conclude that the committee members acted unlawfully.

*Ikpeazu v. University of Nebraska*, 775 F.2d 250, 254 (8th Cir. 1985) (internal citations omitted, emphasis added).

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## Bias



- Personal animosity
- Illegal prejudice
- Personal or financial stake in the outcome
- Bias can relate to:
  - Sex, race, ethnicity, sexual orientation, gender identity, disability or immigration status, financial ability or other characteristic

*Id.* at 30084 (emphasis added).

## Does DOE require "Implicit Bias" training?



**The Department declines to specify that training of Title IX personnel must include implicit bias training;** the nature of the training required under § 106.45(b)(1)(iii) is left to the recipient's discretion so long as it achieves the provision's directive that such training provide instruction on how to serve impartially and avoid prejudgment of the facts at issue, conflicts of interest, and bias, and that materials used in such training avoid sex stereotypes.

*Id.* at 30084 (emphasis added).

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## Final Thought



Remember, other modules in the NASPA Title IX Training Certificate curriculum address student conduct, Title IX hearings, Title IX investigations, report writing, informal resolution, FERPA/records management, evidence, etc.

Thank You...

Assessment will follow.



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## LIVE SESSION on Title IX Investigations

July 31, 2020 and August 1, 2020

**Peter Lake**, Professor of Law, Charles A. Dana Chair, and Director of the Center for Excellence in Higher Education Law and Policy, Stetson University College of Law

**Dr. Jennifer R. Hammat**, Dean of Students, University of Southern Indiana



This Live Session is Designed for...



TRACK 1 – Title IX Coordinators

TRACK 3 – Title IX Investigators

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### What we hope to accomplish...



- Highlight of Select Issues (~60 minutes)
- Tabletop Exercises in Breakout Groups (60 minutes)
- Discuss Tabletop Exercises in the Larger Group (~60 minutes)
- Open time for Questions (~30 minutes)
  - Please send questions in a message directly to Jennifer Hammat.
  - We will not read your name.
  - We will stay slightly past the end time if needed to answer questions but if you need to leave at the exact ending time, that's ok.
- This session is being recorded.
  - However, discussion in your breakout session will not be recorded.

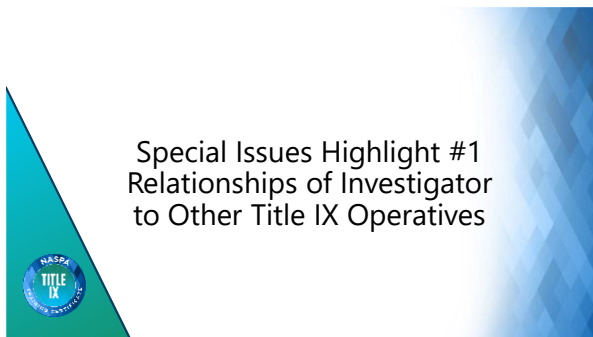
### Definitive Answers vs. Choice Points



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### Title IX Investigator ↔ Title IX Coordinator



*The final regulations do not preclude a Title IX Coordinator from also serving as the investigator.*

Department of Education, Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance, 81 Fed. Reg. 30253 (May 25, 2016) (Final Rule) Section at www.gpo.gov/content/pkg/FR/2016-05-18/pdf/2016-10122a.pdf#h=9533a-c106.

- Does the Title IX coordinator “supervise” investigators?
- Make hiring/firing decisions regarding investigators?
- Should the Title IX coordinator offer input on the investigation in any way if not serving as the investigator?
  - Input on gathering evidence?
  - Input on the final report?
- What conflicts of interest could arise?

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## Title IX Investigator ↔ Title IX Decision-Maker



*The Department emphasizes that the decision-maker must not only be a separate person from any investigator, but the decision-maker is under an obligation to objectively evaluate all relevant evidence both inculpatory and exculpatory, and must therefore **independently reach a determination regarding responsibility without giving deference to the investigative report.***

Id. at 30314 (emphasis added).

Should the investigator be called as a first witness routinely in a hearing?

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## Written Notification to Parties **BEFORE** Any Initial Interview with the Respondent



- Notice of the school's grievance process
- The opportunity, if any, to engage in an informal resolution process
- Key details of the alleged sexual harassment
  - Who was involved in the incident
  - Date and time of the incident, if known
  - Location, if known
  - The alleged misconduct that constitutes sexual harassment
- A statement that the respondent is presumed not responsible at the outset of the process and can only be found responsible after the grievance concludes
- A statement that the parties are entitled to an advisor of their choice
- A statement that the parties can request to inspect and review certain evidence
- Any conduct rules, if they exist, that prohibit providing knowingly false information or statements during the grievance process

**Notice should be provided to allow the respondent enough time to prepare before the initial interview.**

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## Special Issues Highlight #3 Concurrent Law Enforcement Investigation/Police Reports



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## Special Issues Highlight #2 Written Notification Prior to an Investigation



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## Remember the Presumption of Non-Responsibility



*A recipient's grievance process must—*

***Include a presumption that the respondent is not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the grievance process.***

§ 106.45(b)(1)(iv)(emphasis added).

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## Concurrent Law Enforcement Activity



*Further, subject to the requirements in § 106.45 such as that evidence sent to the parties for inspection and review must be directly related to the allegations under investigation, and that a grievance process must provide for objective evaluation of all relevant evidence, inculpatory and exculpatory, nothing in the final regulations precludes a recipient from using evidence obtained from law enforcement in a § 106.45 grievance process. § 106.45(b)(5)(vi) (specifying that the evidence directly related to the allegations may have been gathered by the recipient "from a party or other source" which could include evidence obtained by the recipient from law enforcement) (emphasis added); § 106.45(b)(1)(ii).*

Id. at 30099 n.466.

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## Police Investigations



The 2001 Guidance takes a similar position: “In some instances, a complainant may allege harassing conduct that constitutes both sex discrimination and possible criminal conduct. **Police investigations or reports may be useful in terms of fact gathering.** However, because 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.”

*Id.* at 30099 n. 467 (emphasis added).

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## Special Issues Highlight #4 Definition of “Sexual Harassment”

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## Special Issues Highlight #5 Definition of “Consent”

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Is it possible to be told to “stand down” in regards to conducting your Title IX investigation by police or other legal authority? What about pending litigation? What should you do?

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## “Sexual Harassment” [Three-Prong Test]



Sexual harassment means conduct on the basis of sex that satisfies one or more of the following:

- (1) 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;
- (2) 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
- (3) “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), or “stalking” as defined in 34 U.S.C. 12291(a)(30).

(emphasis added)

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## Consent



[T]he Assistant Secretary will not require recipients to adopt a particular definition of consent with respect to sexual assault. *Id.* at 30125.

**You should be well-versed on the definition of consent contained within your specific campus policies. Address specific issues of consent related to the new definition of sexual harassment.**

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## Consent



The Department believes that the definition of what constitutes consent for purposes of sexual assault within a recipient's educational community is a matter best left to the discretion of recipients, many of whom are under State law requirements to apply particular definitions of consent for purposes of campus sexual misconduct policies.

Id. at 30124.

## Consent



The third prong of the § 106.30 definition of sexual harassment includes "sexual assault" as used in the Clery Act, 20 U.S.C. 1092(f)(6)(A)(v), which, in turn, refers to the FBI's Uniform Crime Reporting Program (FBI UCR) and includes forcible and nonforcible sex offenses such as rape, fondling, and statutory rape which contain elements of "without the consent of the victim."

Id. at 30124.

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## Elements to Consider



- Elements
  - consent is a voluntary agreement to engage in sexual activity;
  - someone who is incapacitated cannot consent;
    - (such as due to the use of drugs or alcohol, when a person is asleep or unconscious, or because of an intellectual or other disability that prevents the student from having the capacity to give consent)
  - past consent does not imply future consent;
  - silence or an absence of resistance does not imply consent;
  - consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another;
  - consent can be withdrawn at any time; and
  - coercion, force, or threat of either invalidates consent.

**Role, if any, of affirmative consent? REMEMBER: State laws.**

## Special Issues Highlight #6 Scope



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## §106.44(a) General response to sexual harassment.



*A recipient with actual knowledge of sexual harassment in an education program or activity of the recipient against a person in the United States, must respond promptly in a manner that is not deliberately indifferent. . . . "education program or activity" includes locations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.*

**What does your campus policy state specifically regarding the scope of "education programs or activities?"**

(emphasis added)

## Example of "Scope" in a Policy



This policy applies to ABC University students, employees, and third-parties located within the United States both on and off campus, as well as in the digital realm. Off-campus coverage of this policy is limited to incidents that occur on employee-led trips, at internship or service learning sites, and college-owned properties (including buildings operated by Registered Student Organizations), or in any context where the University exercised substantial control over both alleged harassers and the context in which the alleged harassment occurred.

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## Special Issues Highlight #7 Dismissals

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### § 106.45(b)(3)(ii)



(ii) **The recipient may dismiss the formal complaint or any allegations therein, if at any time during the investigation or hearing:** A complainant notifies the Title IX Coordinator in writing that the complainant would like to withdraw the formal complaint or any allegations therein; the respondent is no longer enrolled or employed by the recipient; or specific circumstances prevent the recipient from gathering evidence sufficient to reach a determination as to the formal complaint or allegations therein.

(emphasis added)

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Whether sexual harassment occurs in a recipient's education program or activity is a **fact-specific inquiry**. The key questions are whether the recipient exercised substantial control over the respondent and the context in which the incident occurred.

id. at 30204 (emphasis added).

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### § 106.45(b)(3)(i)



(3) Dismissal of a formal complaint—

(i) **The recipient must investigate the allegations in a formal complaint. If the conduct alleged in the formal complaint would not constitute sexual harassment as defined in § 106.30 even if proved, did not occur in the recipient's education program or activity, or did not occur against a person in the United States, then the recipient must dismiss the formal complaint with regard to that conduct for purposes of sexual harassment under Title IX or this part; such a dismissal does not preclude action under another provision of the recipient's code of conduct.**

(emphasis added)

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### § 106.45(b)(3)(iii)



(iii) Upon a dismissal required or permitted pursuant to paragraph (b)(3)(i) or (b)(3)(ii) of this section, the recipient must promptly send written notice of the dismissal and reason(s) therefor simultaneously to the parties.

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### More on Dismissals



Example: the Title IX Coordinator receives a formal complaint for alleged sexual misconduct that occurred between two students in an off-campus apartment complex where the university had no substantial control over the context or the alleged harasser.

Is this within the scope of the policy example described above? If not, who dismisses? Regulations say the "recipient." Who specifically?

- Remember, **a formal complaint must be investigated.**
- Will there be a "pre-investigation" inquiry/"fact-specific" inquiry by an investigator to determine?
- What "level" of investigation is required here?
- Will a decision-maker have to make a determination?

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## Special Issues Highlight #8 Investigating New Issues That Arise In an Investigation



### § 106.45(b)(2)(ii)



*(ii) If, in the course of an investigation, the recipient decides to investigate allegations about the complainant or respondent that are not included in the notice provided pursuant to paragraph (b)(2)(i)(B) of this section, the recipient must provide notice of the additional allegations to the parties whose identities are known.*

(emphasis added)

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## Special Issues Highlight #9 Preparing for an Interview



### What has happened?



- A formal complaint has been received (and signed).
- An initial meeting with the Title IX Coordinator has happened to provide support measures.
- A notice of investigation has gone out to both parties.
- The case has been assigned to you (the investigator) or as the Title IX Coordinator, you are the investigator, or you have outsourced the investigation.
- The investigator has read the formal complaint.
- Which route for investigations has your school opted for?
  - **Investigations with or without credibility assessments?**

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### Preparing your questions pre-interview



- Read the Formal Complaint
  - Write out the questions you have about the report on first read.
- Read the Formal Complaint again.
  - What additional questions do you have about the incident narrative.
  - Who is identified in the Formal Complaint you feel you need to interview.
  - What questions do you have for those individuals?
- Have all of these typed out ahead of the first interview.
- Revise and update with additional questions and witnesses as you go.

### Crossover interview techniques



- Title IX investigation framework is good practice for other kinds of investigations:
- Code of Conduct violations
- Threat assessment or BIT concerns investigations
- Educational conversations with student
- Academic Integrity case investigations
- Hazing investigations

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## Special Issues Highlight #10 Fact Finding and Data Collection



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### Remember your role



You are NOT a party's lawyer, advisor, counselor, parent, or friend  
You ARE an investigator and a facilitator  
You ARE free from bias  
You ARE free from prejudgment  
You ARE interested in finding out fact about the incident  
You ARE interested in the truth

Being Impartial ≠ Being a Robot  
You can be a neutral fact-finder and still show empathy and kindness.  
Investigation spaces should be judgement free zones

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### Clarifications



- When asking harder questions about the order of events, or specifics about the conversation or activities, you may run into a series of "I don't know" or "I can't remember" statements. That's ok.
- Reassure the party its ok that they cannot remember or don't know.
- You can move to another question or kind of questioning.
- If you hit a memory gap, ask them some sensory questions to see if it triggers any memories. Often there are memories they cannot access unless you ask the question from a different lens.

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### How to start an interview



- Introduce yourself
- Is small talk appropriate? Build rapport. Establish baseline responses\*
- Explain your role
- Explain you will be note/taking/recording the interview for notes
- Ask interviewee to share their recollections of the incident.
  - Do not interrupt the narrative
  - Let them talk until they are done
  - Follow up questions later

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### Follow-up questions



- When seeking clarification after the party's initial recollection of the event, try to ask questions that build confidence and put them at ease.
- "You said you left the party around 1am, is that correct?"
- "You said you recalled having three cups of 'red solo cup' punch, is that right?"
- If they are describing a location, it might be helpful to ask them to sketch out the room for you (if it is a residence hall, you should have those schematics on your computer to pull up/print out).

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### Sense and Feel questions



- "Can you draw what you experienced?"
- "What were you feeling when XYZ occurred?"
- "What did you smell?"
- "Can you show me?"
- "What were you feeling when you were kissing?"
- "Tell me more about that."
- "What did you hear?"
- "Tell me about his/her eyes."
- "What can you not forget?"

Source: Russell Strand, Frontline Training Conference, 2018

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## A word about trauma



- Anyone you speak with about alleged sexual harassment (complainant, respondent, or witnesses) could have experienced or still be experiencing trauma as a result of the alleged situation.
- Be cognizant that talking to you may be very difficult for the parties.
- Remember to document their experience with as little interruption as possible. Follow-up questions should be limited.
- Ideally, you want the party being interviewed to do most of the speaking.

Modified from: Russell Strand, Frontline Training Conference, 2018

## Meet the student where they are:



- Baseline knowledge =
  - How to evaluate risk
  - Factors to consider in decision-making
  - Medically accurate knowledge of sex, reproduction, sexual health
  - Ability to navigate interpersonal relationships
  - Communication skills
  - Conflict resolution skills
  - Emotional intelligence
- Not all students know the same thing about the same things

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## Ask them for evidence they want reviewed



- Inculpatory evidence
- Exculpatory evidence
- Relevant to the allegations
- Rape shield law protections
- Witnesses to interview
- If they know of others with similar experiences
- Character testimony is permitted

## Why would you consider conducting an investigation without assessing credibility?



- **Cross purpose.** The purpose of the hearing is to determine credibility of all the parties and all the evidence. If the investigator does this, one could later assert bias against the investigator for making their assessment of the parties and/or the evidence.
- **Time.** Investigations that accept information, gather documents, and statements, and provide a relevance review of said documents would make for an effective summary of the investigative materials presented for the hearing to sort through.
- **Repetition.** Anything anyone says to you, they will have to say again at the hearing and be subject to cross-examination, or it won't be considered.

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## Tabletop Exercises and Breakout Groups



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## Breakout Groups



- You will be placed into a random breakout group with about 4-6 other people.
  - Please send a chat message to Jill Dunlap if you need to be placed in the group with closed-captioning.
- Discuss the scenarios that were previously emailed.
  - You can start with either scenario.
- Please spend about 60 minutes discussing the scenarios as a group.
- Please share how you plan to address these issues on your campus. This is a time to learn from each other!
- We will come back together as a group and Peter & Jennifer will go over the scenarios.
- Breakout rooms are not recorded.
- Please make sure you are unmuted and video is on.

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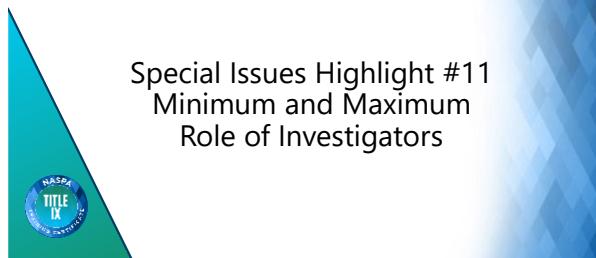
## Scenario #1



In response to the new Title IX regulations, ABC University is moving from a single-investigator model to a hearing panel model. The Title IX coordinator has called a zoom meeting with all Title IX personnel to discuss making changes to the institution's policies and procedures. The Title IX coordinator begins to discuss the role of the investigators under the new grievance procedures and suggests that the investigator's role will be changing in some significant ways and some decisions must be made as to the role of the investigators.

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## Special Issues Highlight #11 Minimum and Maximum Role of Investigators

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### The *Minimum and Maximum* Role of the Investigator Cont'd



- Gather all *relevant* information regarding an allegation of sexual harassment.
- Interview all *relevant* parties
- Collect and organize *relevant* evidence
- Credibility Assessments?
- Weighing Evidence?
- Write a detailed investigative report
- Make recommendations for interim measures or accommodations?
- Findings of Responsibility?

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## Scenario #1—Questions



- What significant changes to the investigative function, if any, should be considered?
- Should the investigator address credibility of parties and witnesses in the final investigative report? Why or why not?
- Should the investigator make recommendations on findings of responsibility in the final investigative report? Why or why not?
- Should the investigator make recommendations as to the sanctions/remedies that should be imposed? Why or why not?
- Should the Title IX coordinator have any input in the investigation process and/or report writing? Why or why not?
- Should the investigator be called as a routine, or first, witness in Title IX hearings? Why or why not?

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### The *Minimum and Maximum* Role of the Title IX Investigator



- Campuses are no longer permitted to have a "single" or "pure" investigator model under Title IX.
- A separate decision-maker (or panel of decision-makers) must make a final determination of responsibility.
  - This will be a shift in the function of the investigator on some campuses.
- What, then, is the scope of the investigative report?
  - Purpose? Tone? Format?
- Will the investigator become a witness in the hearing or play other roles?

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### Remember § 106.45(b)(1)(x)



*A recipient's grievance process must—*

***Not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.***

(emphasis added)

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## Scenario #2



You are an investigator for ABC University investigating an allegation of non-consensual sexual contact between Complainant and Respondent, two Freshmen students at ABC. Complainant alleges Complainant was intoxicated and unable to give consent at the time the sexual contact occurred. Complainant submits as evidence a letter from a high school that Respondent and Complainant both attended. The letter from the high school shows a finding of responsibility against Respondent for sending nude photos of Complainant while Complainant was passed out at a party via text message to a friend. Complainant also submits a letter from a juvenile court showing a judgement against Respondent for the "sexting" act and penalties imposed on Respondent including a fine, mandatory counseling and community service.

## Scenario #2—Questions



- Should this evidence be included in the "universe of evidence" given to both parties and their advisors for their response prior to the finalization of the final investigative report?
- Is this relevant evidence that should be included in the final report? Why or why not? How would you determine this?

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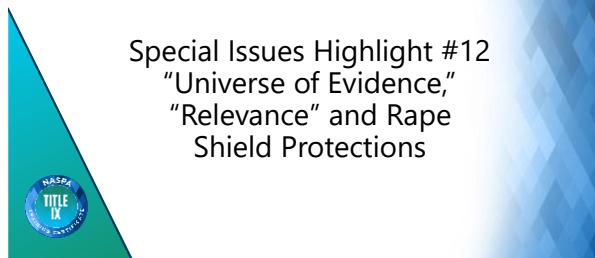
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### § 106.45(b)(5)(vi)



*(vi) Provide both parties an equal opportunity to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in a formal complaint, including the evidence upon which the recipient does not intend to rely in reaching a determination regarding responsibility and inculpatory or exculpatory evidence whether obtained from a party or other source, so that each party can meaningfully respond to the evidence prior to conclusion of the investigation.*

(emphasis added)



Special Issues Highlight #12  
"Universe of Evidence,"  
"Relevance" and Rape  
Shield Protections

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### § 106.45(b)(5)(vi) Cont'd



*Prior to completion of the investigative report, the recipient must send to each party and the party's advisor, if any, the evidence subject to inspection and review in an electronic format or a hard copy, and the parties must have at least 10 days to submit a written response, which the investigator will consider prior to completion of the investigative report. The recipient must make all such evidence subject to the parties' inspection and review available at any hearing to give each party equal opportunity to refer to such evidence during the hearing, including for purposes of cross-examination; and*

(emphasis added)

### § 106.45(b)(5)(vii)



*(vii) Create an investigative report that fairly summarizes relevant evidence and, at least 10 days prior to a hearing (if a hearing is required under this section or otherwise provided) or other time of determination regarding responsibility, send to each party and the party's advisor, if any, the investigative report in an electronic format or a hard copy, for their review and written response.*

(emphasis added)

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## "Universe of Evidence"



[T]he **universe of evidence** given to the parties for inspection and review under § 106.45(b)(5)(vi) must consist of all evidence directly related to the allegations; determinations as to whether evidence is "relevant" are made when finalizing the investigative report, pursuant to § 106.45(b)(5)(vii) (requiring creation of an investigative report that "fairly summarizes all relevant evidence").

Id. at 30248 n.1021 (emphasis added).

Is this essentially a "mini notice-and-comment" process?

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## Submission of Evidence and Sharing of Responses



A recipient may require all parties to submit any evidence that they would like the investigator to consider **prior to when the parties' time to inspect and review evidence begins**. Alternatively, a recipient may choose to allow both parties to provide additional evidence in response to their inspection and review of the evidence under § 106.45(b)(5)(vi) and also an opportunity to respond to the other party's additional evidence. Similarly, a recipient has discretion to choose whether to provide a copy of each party's written response to the other party to ensure a fair and transparent process and to allow the parties to adequately prepare for any hearing that is required or provided under the grievance process.

Id. at 30307 (emphasis added).

## Not Allowing Parties to Respond to Additional Evidence



If a recipient **chooses not to allow the parties to respond to additional evidence provided by a party in these circumstances**, the parties will still receive the investigative report that fairly summarizes relevant evidence under § 106.45(b)(5)(vii) and will receive an opportunity to inspect and review all relevant evidence at any hearing and to refer to such evidence during the hearing, including for purposes of cross-examination at live hearings under § 106.45(b)(5)(vi).

Id. at 30307 (emphasis added).

If a recipient allows parties to provide additional evidence after reviewing the evidence under § 106.45(b)(5)(vi), **any such additional evidence that is summarized in the investigative report will not qualify as new evidence that was reasonably available at the time the determination regarding responsibility was made for purposes of an appeal under § 106.45(b)(8)**.

Id. at 30307 (emphasis added).

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## Paring Down the "Universe" to "Relevant"



Should investigators incorporate any party's responses to the "universe of evidence" (in whole or in part) into the final report?

"[D]irectly related" may sometimes encompass a broader universe of evidence than evidence that is "relevant."

Id. at 30304.

Non-treatment records and information, such as a party's financial or sexual history, must be directly related to the allegations at issue in order to be reviewed by the other party under § 106.45(b)(5)(vi), and all evidence summarized in the investigative report under § 106.45(b)(5)(vii) must be "relevant" such that evidence about a complainant's sexual predisposition would never be included in the investigative report and evidence about a complainant's prior sexual behavior would only be included if it meets one of the two narrow exceptions stated in § 106.45(b)(6)(i)-(ii) . . .

Id. at 30304.

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## Relevance



*[R]elevance is the sole gatekeeper evidentiary rule in the final regulations, but decision-makers retain discretion regarding the weight or credibility to assign to particular evidence. Further, for the reasons discussed above, while the final regulations do not address “hearsay evidence” as such, § 106.45(b)(6)(i) does preclude a decision-maker from relying on statements of a party or witness who has not submitted to cross-examination at the live hearing.*

*Id.* at 30354.

## Relevance



*The final regulations do not define relevance, and the ordinary meaning of the word should be understood and applied.*

*Id.* at 30247 n. 1018.

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## Relevance Cont'd



The new Title IX regulations specifically . . .

*. . . require **investigators** and decision-makers **to be trained on issues of relevance**, including **how to apply the rape shield provisions** (which deem questions and evidence about a complainant’s prior sexual history to be irrelevant with two limited exceptions).*

*Id.* at 30125 (emphasis added).

## Rape Shield Protections and the Investigative Report



*[T]he investigative report must summarize “relevant” evidence, and thus at that point the rape shield protections would apply to preclude inclusion in the investigative report of irrelevant evidence.*

*Id.* at 30353-54 (emphasis added).

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## Prior Sexual History/Sexual Predisposition



*Section 106.45(b)(6)(i)-(ii) **protects complainants (but not respondents) from questions or evidence about the complainant’s prior sexual behavior or sexual predisposition**, mirroring rape shield protections applied in Federal courts.*

*Id.* at 30103 (emphasis added).

## Rape Shield Language



*[T]he rape shield language in § 106.45(b)(6)(i)-(ii) bars questions or evidence about a complainant’s sexual predisposition (with no exceptions) and about a complainant’s prior sexual behavior subject to two exceptions:*

- 1) if offered to **prove that someone other than the respondent committed the alleged sexual harassment**, or*
- 2) if the question or evidence concerns sexual behavior between the complainant and the respondent and is offered to **prove consent**.*

*Id.* at 30336 n.1308 (emphasis added).

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## Possible Format for the Final Investigative Report



- I. BACKGROUND AND REPORTED CONDUCT
- II. JURISDICTION
- III. SCOPE OF THE INVESTIGATION
- IV. RELEVANT POLICY AND LAW PROHIBITING SEXUAL HARASSMENT (INCLUDING SEXUAL ASSAULT AND RETALIATION):
- V. INVESTIGATION AND SUMMARY OF RELEVANT EVIDENCE
  - A. Statements of Parties and Witnesses
  - B. Documentary Evidence
- VI. ANALYSIS?
- VII. CONCLUSION

Covered in-depth in the module on report-writing.

## Scenario #3



You, a Title IX investigator, are conducting an interview with a party in a Title IX grievance process. This party is a faculty member who is accompanied to the interview by a union representative and a personal attorney. You find it very difficult to interview the party because of the back and forth talk between the party and the party's advisors, who at times audibly offer conflicting advice to the party. The campus allows both parties to have two advisors present at the interviews and subsequent hearing (the other party in this matter will have a disability advocate and a personal attorney). Eventually the interview process becomes untenable because of interchanges among the advisors and party; you stop the interview mid-way through.

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## Scenario #3—Questions



- What should be done at this point in the investigation?
- Who can you reach out to for assistance?
- What rules for advisors can be put in place with regards to interviews? What will you do if advisors refuse to cooperate with such rules?

## Special Issues Highlight #13 Advisors



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## § 106.45(b)(5)(iv)



*(iv) Provide the parties with the same opportunities to have others present during any grievance proceeding, including the opportunity to be accompanied to any related meeting or proceeding by the advisor of their choice, who may be, but is not required to be, an attorney, and not limit the choice or presence of advisor for either the complainant or respondent in any meeting or grievance proceeding; however, the recipient may establish restrictions regarding the extent to which the advisor may participate in the proceedings, as long as the restrictions apply equally to both parties;*

(emphasis added)

*The Department believes that requiring recipients to allow both parties to have an advisor of their own choosing accompany them throughout the Title IX grievance process, and also to participate within limits set by recipients, is important to ensure fairness for all parties.*

(id. at 30298 (emphasis added)).

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## Advisors



- Advisor of party's choice
  - Could be a parent, friend, an attorney, an employee of the college
  - Could even be a witness in the investigation
- Schools cannot require a particular type of advisor, nor can they require an advisor to have a specific type of training
- Schools may provide resources to advisors to better understand the process
- Schools may implement limits for participation by advisors in meetings and rules of decorum for hearings as long as they are applied equally

## Scenario #4



Complainant has filed and signed a formal complaint alleging sexual misconduct by Respondent. In an interview with you, the Title IX Investigator, the Respondent claims that someone other than Respondent committed the alleged sexual assault against Complainant on the night in question, and that Complainant has deliberately filed a complaint against Respondent to "get even with Respondent." The alleged assault occurred at an off-campus building owned by a recognized student organization during a party where everyone was engaged in heavy alcohol use. Respondent, who is unable to afford an attorney, asks you, the Investigator, to help Respondent determine what evidence would help demonstrate that Respondent is not the actual perpetrator.

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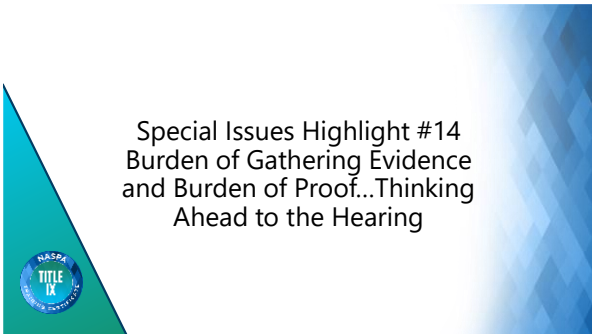
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## Scenario #4—Questions



- Who bears the burden of evidence in this situation?
- What type of exculpatory evidence could support Respondent's claims? What type of inculpatory evidence might undermine Respondent's claims?
- In light of "rape shield" protections, how might Complainant be questioned regarding this information in a follow-up interview?
- May you "help" the Respondent? How will you respond to Respondent's request?
- Might you now have actual notice that the Respondent is a Complainant?



Special Issues Highlight #14  
Burden of Gathering Evidence  
and Burden of Proof...Thinking  
Ahead to the Hearing

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## § 106.45(b)(7)



**Requires a decision-maker who is not the same person as the Title IX Coordinator or the investigator to reach a determination regarding responsibility by applying the standard of evidence the recipient has designated in the recipient's grievance procedures for use in all formal complaints of sexual harassment (which must be either the preponderance of the evidence standard or the clear and convincing evidence standard) . . .**

Id. at 30054 (emphasis added).

## § 106.45(b)(1)(ii)



*(ii) Require an objective evaluation of all relevant evidence—including both inculpatory and exculpatory evidence—and provide that **credibility determinations may not be based on a person's status as a complainant, respondent, or witness;***

(emphasis added)

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## Recipient Bears the Burden of Gathering Evidence



*[I]t is the recipient's burden to impartially gather evidence and present it **so that the decision-maker can determine whether the recipient (not either party) has shown that the weight of the evidence reaches or falls short of the standard of evidence** selected by the recipient for making determinations.*

Id. at 30292 (emphasis added).

## Burden to Gather Inculpatory and Exculpatory Evidence



*The Department agrees with commenters that even so-called "he said/she said" cases often involve evidence in addition to the parties' respective narratives, and the § 106.45 grievance process **obligates recipients to bear the burden of gathering evidence and to objectively evaluate all relevant evidence, both inculpatory and exculpatory, including the parties' own statements as well as other evidence.***

Id. at 30319 (emphasis added).

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## Objective Evaluation of Evidence



*§ 106.45 does not set parameters around the "quality" of evidence that can be relied on, § 106.45 does prescribe that **all relevant evidence, inculpatory and exculpatory, whether obtained by the recipient from a party or from another source, must be objectively evaluated by investigators** . . .*

Id. at 30105 (emphasis added).

## Data Gaps



*[E]vidence subject to inspection and review must include inculpatory and exculpatory evidence whether obtained from a party or from another source. **The Department does not believe it is necessary to require investigators to identify data gaps in the investigative report, because the parties' right to inspect and review evidence, and review and respond to the investigative report, adequately provide opportunity to identify any perceived data gaps and challenge such deficiencies.***

Id. at 30248 (emphasis added).

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## Burden of Proof



***Whether the evidence gathered and presented by the recipient (i.e., gathered by the investigator and with respect to relevant evidence, summarized in an investigative report) does or does not meet the burden of proof, the recipient's obligation is the same: To respond to the determination regarding responsibility by complying with § 106.45 (including effectively implementing remedies for the complainant if the respondent is determined to be responsible).***

Id. at 30291 (emphasis added).

## Standard of Evidence - Preponderance of the Evidence



Using a **preponderance of the evidence standard**, and considering relevant definitions in the policy, the hearing panel weighs the evidence to determine whether the respondent violated the policy.

50.01% likelihood or 50% and a feather  
Which side do you fall on?

*The greater weight of the evidence, not necessarily established by the greater number of witnesses testifying to a fact but by evidence that has the most convincing force, superior evidentiary weight that, though not sufficient to free the mind wholly from all reasonable doubt, is still sufficient to incline a mind to one side of the issue rather than the other.*

Bryan A. Gardner, Black's Law Dictionary 10, (2014), 1373

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## Standard of Evidence – Clear and Convincing



- Evidence indicating that the thing to be proved is highly probable or reasonably certain. Bryan A. Gardner, Black's Law Dictionary 10, (2014), 674
- Certain facts must be proved by clear and convincing evidence, which is a higher burden of proof. This means the party must persuade you that it is highly probable that the fact is true.

CACI No. 201. More Likely True—Clear and Convincing Proof <https://www.juila.com/documents/titleix-igition-caci.pdf>

## Special Issues Highlight #15 Counterclaims



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## Counterclaims



The Department cautions recipients that some situations will involve counterclaims made between two parties, such that a respondent is also a complainant, **and in such situations the recipient must take care to apply the rape shield protections to any party where the party is designated as a "complainant" even if the same party is also a "respondent" in a consolidated grievance process.**

*Id.* at 30352 (internal citation omitted, emphasis added).

## Closing



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## Closing Thought



**"You have no "side" other than the integrity of the process."**

## Watch YouTube for Videos from OCR



*The First Amendment and Title IX: An OCR Short Webinar* (July 29, 2020)  
*OCR Short Webinar on How to Report Sexual Harassment under Title IX* (July 27, 2020)  
*Conducting and Adjudicating Title IX Hearings: An OCR Training Webinar* (July 23, 2020)  
*OCR Webinar on Due Process Protections under the New Title IX Regulations* (July 21, 2020)  
*OCR Webinar on New Title IX Protections Against Sexual Assault* (July 7, 2020)  
*OCR Webinar: Title IX Regulations Addressing Sexual Harassment* (May 8, 2020)

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## A Reminder...



*All Title IX personnel should serve in their roles impartially.*

*All Title IX personnel should avoid*

- *prejudgment of facts*
  - *prejudice*
- *conflicts of interest*
  - *bias*
- *sex stereotypes*

Thank You...

Questions?



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