



NEW TITLE IX REGULATIONS

SEXUAL HARASSMENT

Training Materials for Investigators AND Decision-makers

Presented 10/15/20

Why Are We Here?

The new Title IX regulations require that all Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution must receive training. See 106.45(b)(1)(iii).

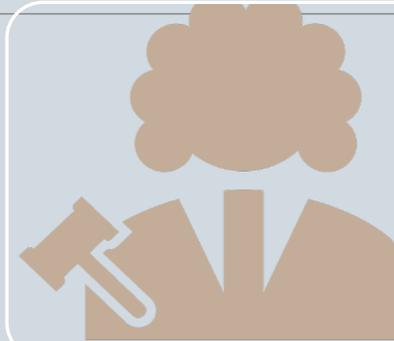
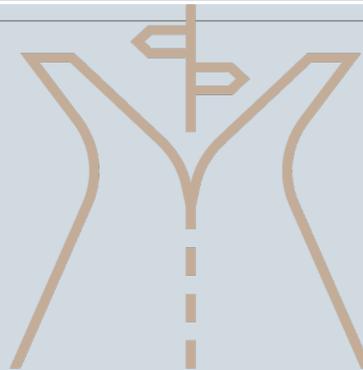
New Title IX Regulations Require Training on:

1. The definition of sexual harassment in § 106.30
2. The scope of the recipient's education program or activity
3. How to conduct an investigation and grievance process including hearings, appeals, and informal resolution processes, as applicable
4. How to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias
5. 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
6. Issues of relevance to create an investigative report that fairly summarizes relevant evidence, as set forth in paragraph (b)(5)(vii) of this section

Title IX Grievance Procedures

Notes before we start

- All timelines are instructional/school days
- * Asterisk denotes suggestions, not mandated
 - Example: Regulations say “prompt” response to actual knowledge of harassment. We suggest that means 2 school days.
- Suggested roles for school staff:
 - Investigator = Title IX Coordinator
 - Decisionmaker = Superintendent
 - Appeal = One school board member, attorney, neighboring superintendent (flexible)



INVESTIGATOR

Title IX Coordinator

1. Lead on investigation (use building-level admin as needed)
2. Responsible for communication with parties

DECISIONMAKER

Superintendent

1. Makes ultimate decision
2. Hands out discipline if necessary

APPEAL

One school board member

1. Can fluctuate depending on availability/training
2. Doesn't taint the entire board if there is a teacher cancellation hearing or student expulsion appeal

Title IX Grievance Procedures Flowchart

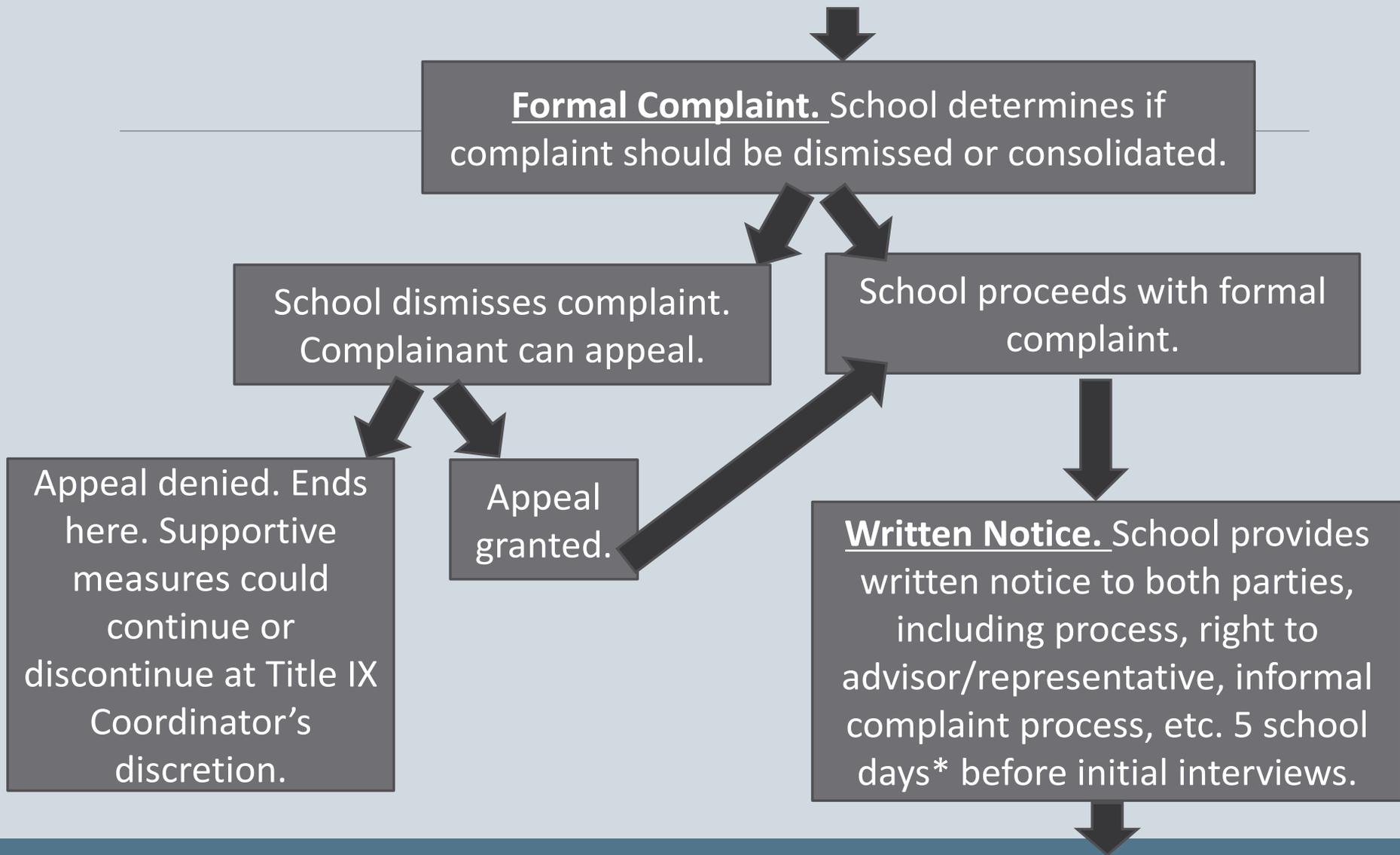
Report. School has actual knowledge of alleged Title IX violation.

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graph TD; A["Report. School has actual knowledge of alleged Title IX violation."] --> B["Initial Response. Title IX Coordinator contacts Complainant (alleged victim) within 2 school days* to discuss supportive measures, if Complainant wants to file formal complaint, etc. Determination if emergency removal is appropriate."]; B --> C["Complainant doesn't want formal complaint. Ends here unless Title IX Coordinator moves forward on own. Supportive measures could continue or discontinue at Title IX Coordinator's discretion."]; B --> D["Formal Complaint. Complainant files formal written complaint within 10 school days* of conversation with Title IX Coordinator. School determines if complaint should be dismissed or consolidated."]; D --> E[" "]
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Initial Response. Title IX Coordinator contacts Complainant (alleged victim) within 2 school days* to discuss supportive measures, if Complainant wants to file formal complaint, etc. Determination if emergency removal is appropriate.

Complainant doesn't want formal complaint. Ends here unless Title IX Coordinator moves forward on own. Supportive measures could continue or discontinue at Title IX Coordinator's discretion.

Formal Complaint. Complainant files formal written complaint within 10 school days* of conversation with Title IX Coordinator. School determines if complaint should be dismissed or consolidated.



Formal Complaint. School determines if complaint should be dismissed or consolidated.

School dismisses complaint. Complainant can appeal.

School proceeds with formal complaint.

Appeal denied. Ends here. Supportive measures could continue or discontinue at Title IX Coordinator's discretion.

Appeal granted.

Written Notice. School provides written notice to both parties, including process, right to advisor/representative, informal complaint process, etc. 5 school days* before initial interviews.

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graph TD; A[ ] --> B["Written Notice. School provides written notice 5 school days* before initial interviews."]; B --> C["Informal Resolution. Both parties agree to informal resolution (not available in all situations). No investigation."]; B --> D["Investigation of Allegations. School may interview/take statements from parties (may have representative present), witnesses, review educational and personnel records, legal or medical records if provided, etc. Both parties can present evidence. Will usually take 30 school days.*"]; style A fill:none,stroke:none;
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Written Notice. School provides written notice 5 school days* before initial interviews.

Informal Resolution. Both parties agree to informal resolution (not available in all situations). No investigation.

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Investigation of Allegations. Will usually take 30 school days.*



Review of Evidence. Both parties provided all evidence, given 10 school days to respond. Non-disclosure agreements require before evidence exchange.



Investigative Report. Investigator provides report to both parties summarizing relevant evidence.



**Suggested
Roles***

*Investigator =
Title IX
Coordinator*

*(with help from building-
level admins to conduct
investigation)*

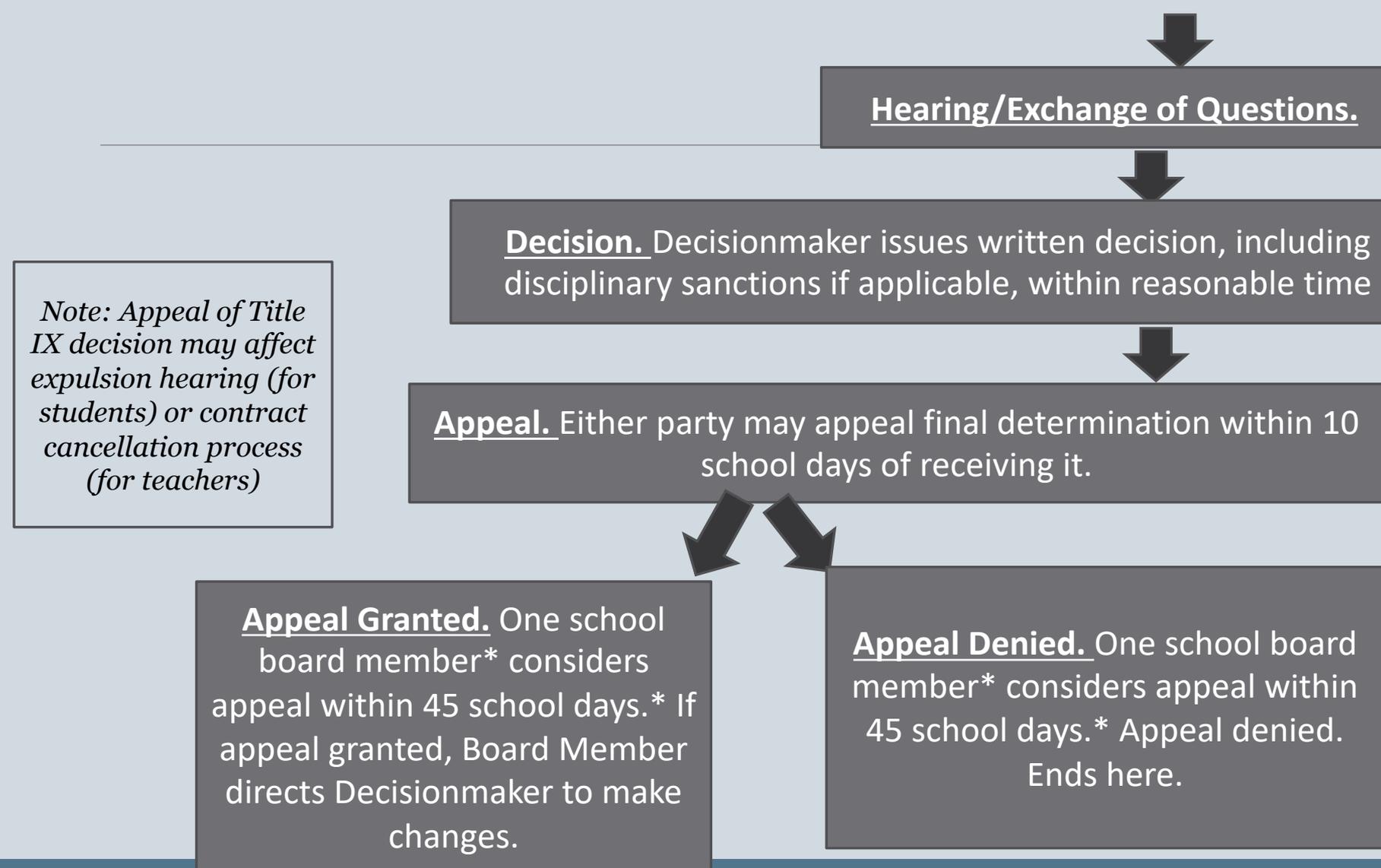
*Decisionmaker =
Superintendent*

*Appeal =
One school board
member*

Investigative Report

“Hearing”/Exchange of Questions. Live hearing required in postsecondary. Can hold live hearing in K-12 but not recommended.

Instead, each party can submit to the Decisionmaker written, relevant questions to be asked of the other party or witness. Each party can submit written response to investigative report. Both submissions are due 10 school days* after receipt of the report. Decisionmaker collects answers to questions, provides opportunity for follow-up questions. Usually takes 30 school days.*



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graph TD; A[ ] --> B[Hearing/Exchange of Questions.]; B --> C[Decision. Decisionmaker issues written decision, including disciplinary sanctions if applicable, within reasonable time]; C --> D[Appeal. Either party may appeal final determination within 10 school days of receiving it.]; D --> E[Appeal Granted. One school board member* considers appeal within 45 school days.* If appeal granted, Board Member directs Decisionmaker to make changes.]; D --> F[Appeal Denied. One school board member* considers appeal within 45 school days.* Appeal denied. Ends here.];
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Hearing/Exchange of Questions.

Decision. Decisionmaker issues written decision, including disciplinary sanctions if applicable, within reasonable time

Appeal. Either party may appeal final determination within 10 school days of receiving it.

Appeal Granted. One school board member* considers appeal within 45 school days.* If appeal granted, Board Member directs Decisionmaker to make changes.

Appeal Denied. One school board member* considers appeal within 45 school days.* Appeal denied. Ends here.

Note: Appeal of Title IX decision may affect expulsion hearing (for students) or contract cancellation process (for teachers)

Reports vs. Formal Complaints



REPORT

Verbal, written, newspaper article
(initial disclosure)

Can be made by third party or
anonymously

No requirement as to a detailed
statement of facts.

Confidentiality maintained

FORMAL COMPLAINT

Written and signed

Only made by named Complainant or
their parents

Needs detailed statement of facts

No more confidentiality during
investigation

Similarities

- Supportive measures put in place regardless of report or formal complaint
- Respondent may be removed from an education program or activity on an emergency basis (immediate threat to physical health or safety of any individuals arising from the allegations), whether or not a formal complaint is pending.

Response to Report

Response obligations must include:

1. Offering supportive measures to Complainant (alleged victim), and
2. Title IX Coordinator contact the Complainant to discuss the availability of supportive measures with or without the filing of a formal complaint, consider the Complainant's wishes regarding supportive measures, and explain the process for filing a formal complaint.

1. The Definition of Sexual Harassment

Sexual Harassment, Type 1

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

1. A school employee conditioning the provision of an aid, benefit, or service of the recipient on an individual's participation in unwelcome sexual conduct

This is the quid pro quo (something for something else) type.

Sexual Harassment, Type 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

- With the 3rd prong covering most everything physical, this prong is focused on verbal or written/electronic forms of harassment.
- Standard is subjective with respect to the unwelcome-ness of the conduct (i.e., whether the complainant viewed the conduct as unwelcome), but as to elements of severity, pervasiveness, objective offensiveness, and denial of equal access, determinations are made by a reasonable person in the shoes of the complainant.

Why severe “*and*” pervasive?

Rationale for preventing a hostile workplace environment free from any severe or pervasive sexual harassment that alters conditions of employment does not allow for the social and developmental growth of young students learning how to interact with peers in the elementary and secondary school context and fostering robust exchange of speech, ideas, and beliefs in a college setting. Thus, the Department does not believe that aligning the definitions of sexual harassment under Title VII and Title IX furthers the purpose of Title IX or benefits students and employees participating in education programs or activities.

In other words, U.S. Dept. of Education thinks the nature of education means a higher quantity of low grade offensive speech must be tolerated as part of free expression.

While non-severe instances of unwelcome harassment may negatively impact a person, and schools retain authority to address such instances, Title IX is focused on sex discrimination that jeopardizes educational access.

In other words, U.S. Dept. of Education thinks sex-based conduct toward students must be severe to rise to the level of sexual harassment.

Sexual Harassment, Type 3

"Sexual assault" (as defined by the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act at 20 USC 1092 (f)(6)(A)(v));

"dating violence" (as defined by the Violence Against Women Act at 34 USC 12291 (a)(10));

"domestic violence" (as defined by the Violence Against Women Act at 34 USC 12291 (a)(8)); or

"stalking" (as defined by the Violence Against Women Act at 34 USC 12291 (a)(30)).

More on SH Type 3

- “Fondling,” defined under the Clery Act (referring to the FBI’s Uniform Crime Reporting system), as “the touching private body parts of another person for the purpose of sexual gratification, without the consent of the victim,” is the only type of sexual harassment that depends on the intent or purpose of the perpetrator or victim.
- While the sexual harassment definition does not identify “grooming behaviors” as a distinct category of misconduct, some grooming behaviors may constitute sexual harassment, and behaviors that do not constitute sexual harassment may still be deemed inappropriate behavior addressed under other areas of policy, procedure, and/or handbook.

2. The Scope of the Recipient's Education Program or Activity

Educational Program or Activity

34 CFR 106.44(a)

Schools must respond when sexual harassment occurs in the school's education program or activity, against a person in the United States.

Education program or activity includes locations, events, or circumstances over which the school 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.

Triggering Title IX

- Off-campus incidents incur Title IX response:
 1. if the off-campus incident occurs as part of the recipient's "operations" pursuant to 20 U.S.C. 1687 and 34 CFR 106.2(h);
 2. if the recipient exercised substantial control over the respondent and the context of alleged sexual harassment that occurred off campus pursuant to § 106.44(a); or
 3. if a sexual harassment incident occurs at an off-campus building owned or controlled by a student organization officially recognized by a postsecondary institution pursuant to §106.44(a).
- If complainant is no longer enrolled when the complaint is filed, or if the perpetrator is no longer enrolled or employed, no reason for the school to do a investigation because the school can't do anything.

Example of Defining Scope

For the purposes of Title IX, the scope of the Corporation's educational program or activities includes locations, events, or circumstances over which the Corporation exercises substantial control over both the respondent and the context in which the sexual harassment occurs *[only for postsecondary: and also includes any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.]*

This includes all activities taking place within a school building or on Corporation property; any athletic, extracurricular, or co-curricular activity officially recognized by the Corporation and led by a Corporation employee; computer and internet networks, digital platforms, and computer hardware or software owned or operated by, or used in the operations of, the Corporation.

3. How to Conduct an Investigation and Grievance Process

Non-Disclosure Agreement

Interview Complainant

- Identify – who, what, when, where.
- Specific descriptions of incident(s)
- Similar experiences in the past
- Determine what offended Complainant
- Impact on Complainant
- Discuss complainant's response
- Identify Witnesses
- What relief is being requested

Other Interviews

Potential witnesses named by Complainant

- Purpose for interview – investigating allegations against {Individual}
- Complainant indicated you might have information
- Who/when/why/how of what you did or did not witness or hear
- Ask that they not discuss the interview (NDA)
- Explain no retaliation for telling the truth

In closing

- Any other information?
- Contact me if you remember anything, or if observe anything relevant.

Respondent Interview

- Define the allegation at issue
- Ask to identify situations where he/she harassed others or engaged in behavior in violation of rule
- Confront with general allegations
- Confront with more specifics
- **Note responses**
- Permit him/her to offer evidence/witnesses
- Ask that they not discuss the interview (NDA)
- Explain no retaliation against complainant

Other Interviews

- Potential witnesses named by Respondent
 - Same general questions as other witnesses
 - Ask that they not discuss the interview (NDA)
 - Explain no retaliation against complainant
- Complainant and/or Respondent (Follow Up)
 - If necessary
 - Clarify allegations and inconsistencies
 - Gather additional information

Review of Records and Evidence

Review Personnel/Student Files

Look for patterns

Prior relationships

Review other Contemporaneous Evidence

Video

Log Sheets

Phone and e-mail records

Records made at the time of allegations

Analyzing the Evidence

Credibility Decisions

Bias

History of Similar Conduct

Corroboration

Other Discipline

Eye contact, voice tone, demeanor during interviews.

Determine if Substantiated

Review notes, statements and other evidence

Inspection and Review of Evidence

Must provide all evidence, even that not relied upon to the parties for inspection, parties have 10 days to respond

Evidence must be “directly related to the allegations”

- 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.
- School has discretion on how to provide the evidence.
- May redact information not directly related to the allegations.
- “Confidential” information may not be redacted if directly related to the allegations.

106.45(b)(5)(vii)

Investigative Report

“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.**”

106.45(b)(5)(vii)

- The regulations do not proscribe how to incorporate the parties’ response into the final determination.

Submission of Written Questions

After the recipient has sent the investigative report to the parties pursuant to paragraph (b)(5)(vii) of this section and before reaching a determination regarding responsibility, **the decision-maker(s)** must afford **each party the opportunity to submit written, relevant questions** that a party wants asked **of any party or witness**, provide each party with the answers, and allow for additional, **limited follow-up** questions from each party.

106.45(b)(6)(ii)



Determination

Must include:

- Identification of the allegations potentially constituting sexual harassment;
- 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;
- Findings of fact supporting the determination;
- Conclusions regarding the application of the recipient's code of conduct to the facts;
- 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
- The recipient's procedures and permissible bases for the complainant and respondent to appeal.

Optional Hearing

- “For recipients that are elementary and secondary schools, and other recipients that are not postsecondary institutions, the recipient’s grievance process may, but need not, provide for a hearing.”
- 106.45(b)(6)(ii)
- May, but need not provide a hearing for K-12.
- Footnote in comments indicate decision to hold a hearing could be made on a case-by-case basis.

It's All About the Process

OCR and Courts will generally not second-guess the outcome of an investigation, as long as the investigation is done according to policy and appropriate standards

**READ, RE-READ, ASK QUESTIONS,
FOLLOW THE POLICY + PROCEDURES**

Follow Up!

- Retain documentation (7 years)
 - Complete notes and reports
 - Ensure everything signed and dated
- Check in with Complainant
- Check in with Respondent (if still employed)
- Review policies and procedures

4. How to Serve Impartially

Role of Title IX Coordinator

Impartial Investigator and Consultant

- Trained to understand Title IX, analyze whether something rises to level of substantiation
- Title IX Coordinator's delegates (building administrators, counselors, etc.) conduct "on the ground" investigation at her delegation
- Determines if harassment is substantiated based on preponderance of the evidence, writes formal report
- Coordinates with legal counsel as necessary

Single Investigatory Model Prohibited

“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.” 106.45(b)(7)(i).

Title IX Coordinator not required to investigate, but cannot be the decision maker.

Conflicts of Interest

- Two types: Legal conflicts (less common in this situation) and Perceived conflicts (more common)
- Person named as Harasser or Witness \neq Member of investigatory team
- If district-level administrator, board member, or Title IX Coordinator is named as Harasser or Witness, good idea to call in outside investigator

5. Issues of Relevance of Questions and Evidence

Evidence that Must Be Deemed Irrelevant, with Exceptions

Questions and evidence about a Complainant's sexual predisposition **must always** be deemed irrelevant, and therefore excluded.

Questions and evidence about a Complainant's prior sexual history **must** be deemed irrelevant, and therefore excluded- with two limited exceptions:

1. Where Respondent contends that someone other than the respondent committed the misconduct
2. Where the question(s) or evidence concern incidents between the Complainant and Respondent and are offered to prove consent.

**6. Issues of
Relevance to
Create an
Investigative
Report that Fairly
Summarizes
Recent Evidence**

Issues of Relevance to Create an Investigative Report

- Evidence is relevant if it has “any tendency” to make a fact that is “of consequence” to the determination of sexual harassment “more or less probably that it would be without the evidence.”
 - The evidence must be directed to a matter of consequence, essentially the definition of sexual harassment.
 - The evidence must be probative – it must make something more or less probative. It does not have to be in dispute. Whether something is more or less likely is guided by logic and human experience.

Issues of Relevance to Create an Investigative Report

Example: Defendant in bank robbery case was overheard saying he wanted to rob the bank, human experience tells us that when someone says they will do something, they are more likely to do it.