FROM ONE TITLE IX COORDINATOR TO ANOTHER:

A Practical Approach to Navigating Beyond Compliance in a Post Regulatory World

Day 1

Emma Hempel
February 2024
MEET YOUR FACILITATOR

Emma Hempel is a Senior Solutions Specialist at Grand River Solutions. Emma serves as a Title IX Coordinator for campuses across the country. With over ten years of experience in the field of higher education, she previously served as the Title IX Coordinator at the State University of New York at New Paltz. In her previous role, she conducted all Title IX intakes for students and employees reporting sexual and interpersonal violence. She developed and implemented a variety of trainings and workshops on topics including sexual violence prevention, sexual harassment, bystander intervention, and diversity and inclusion.

Senior Solutions Specialist
She/Her/Hers
ABOUT US

Vision
We exist to create safe and equitable work and educational environments.

Mission
To bring systemic change to how school districts and institutions of higher education address their Clery Act & Title IX obligations.

Core Values
• Responsive Partnership
• Innovation
• Accountability
• Transformation
• Integrity
Let’s Take a Moment.
Title IX Coordinator to Title IX Coordinator.
THE EVER-EVOLVING JURISPRUDENCE OF TITLE IX
Title IX of the Education Amendments Act of 1972

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

TITLE IX APPLIES TO ALL FORMS OF SEX DISCRIMINATION

- Sexual Harassment
- Achievement Awards
- Athletics
- Benefits
- Financial Aid
- Leaves of absence and re-entry policies
- Opportunities to join groups
- Pay rates
- Recruitment

- Retention Rates
- Safety
- Screening Exams
- Sign-on Bonuses
- Student and Employee Benefits
- Thesis Approvals
- Vocational or College Counseling
- Research opportunities
THE HISTORY OF TITLE IX
A TIMELINE

1972: Title IX is passed

1979: Cannon v University of Chicago

1992: Franklin v Gwinnett

1998: Davis v Monroe

2001: Revised Sexual Harassment Guidance

2011: Dear Colleague Letter ("DCL")

2016: DCL on Transgender Students

2018: DCL and Q&A

2021/2022: Q&A

2022: ProposedRegs

2020: Regulations Withdrawal of 2001 Guidance
THE TITLE IX REGULATIONS
SEXUAL HARASSMENT ONLY

1. Narrows the definition of sexual harassment;
2. Narrows the scope of the institution's educational program or activity;
3. Narrows eligibility to file a complaint;
4. Develops procedural requirements for the investigation and adjudication of sexual harassment complaints, only.

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

• (1) 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, OR objectively offensive that it effectively denies a person equal access to the recipient’s education program or activity; or

• (3) Sexual assault is a form of sexual harassment

*Dating Violence, Domestic Violence, Stalking not included pre 2020 regulations.
SEXUAL HARASSMENT: SECTION 106.30

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

**COVERED GEOGRAPHY**

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.

- On campus or in a building owned or controlled
- Off-campus incident that occurs as part of the institution's operations
- Institution exercised substantial control over the respondent and the context of alleged sexual harassment that occurred off campus pursuant to § 106.44(a); or
- the incident of sexual harassment occurs at an off-campus building owned or controlled by a student organization officially recognized by a postsecondary institution
NOT COVERED GEOGRAPHY

- Off campus conduct, even if it has an impact on the educational program or activity;
- Conduct that occurs outside of the United States.
COVERED INDIVIDUALS

ELIGIBILITY FOR TITLE IX'S PROTECTIONS:

“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.” 34 C.F.R. § 106.30

• Applicant
• Enrolled or Employed
• Accepted or Hired
TITLE IX APPLICATION REGULATIONS (POST-MAY 2020)

**Type of Conduct**
- Hostile Environment
- Sexual Harassment
- Quid Pro Quo
- Sexual Assault
- Dating/Domestic Violence
- Stalking

**Ed Program or Activity**
- On campus
- Campus Program, Activity, or Building
- In the United States

**Required Identity**
- Complainant is participating or attempting to participate in the Ed Program or activity
- Institution has control over Respondent

**Apply 106.45 Procedures**
- Required Response:
  - Section 106.45 Procedures
CONDUCT FALLING OUTSIDE THE SCOPE OF TITLE IX

- Apply other institutional policies and procedures
- Ensure that those policies and procedures comply with VAWA/Clery, other intersecting federal and state laws

- Off-Campus Sexual Assault
- Sexual Harassment Abroad
- Severe or Pervasive, only
- Quid Pro Quo Between Students
Institution **must** respond when it has:

"Actual Knowledge..."

When “an official of the recipient who has authority to institute corrective measures” has notice, e.g., Title IX Coordinator

...of “sexual harassment that occurred within the school’s “education program or activity...”

- “includes locations, events, or circumstances over which the recipient exercised substantial control” over the respondent and the context in which the sexual harassment occurred
- Fact specific inquiry focused on control, sponsorship, applicable rules, etc.

...against a “person in the United States”
So, not in the study abroad context
INITIAL RESPONSE

REQUIREMENTS

1. Receipt of Report

2. Outreach/Response from Title IX Coordinator

3. Support Measures, whether or not Formal Complaint is filed

4. How to File

5. Options for Resolution
PROCEDURAL REQUIREMENTS FOR INVESTIGATIONS

- Notice to BOTH parties
  - Written notification of meetings, etc., and sufficient time to prepare

- Equal Opportunity to Present Evidence
  - Opportunity to review all directly related evidence, and 10 days to submit a written response to the evidence prior to completion of the report

- An advisor of choice
  - Report summarizing relevant evidence and 10-day review of report prior to hearing
**PROCEDURAL REQUIREMENTS FOR HEARINGS**

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Details</th>
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<tbody>
<tr>
<td>Must be live, but can be conducted remotely</td>
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<tr>
<td>Cannot compel participation of parties or witnesses</td>
<td>Standard of proof used may be preponderance of the evidence or clear and convincing; standard must be the same for student and employee matters</td>
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<tr>
<td>Cross examination must be permitted and must be conducted by advisor of choice or provided by the institution</td>
<td>Decision maker determines relevancy of questions and evidence offered</td>
</tr>
<tr>
<td>Written decision must be issued that includes finding and sanction</td>
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</table>
K-12: HEARINGS OPTIONAL

• Schools have the flexibility to allow for no hearings or for hearings in limited circumstances that they may define by policy.

• Whatever policy requires, rules adopted must apply equally to all parties.

• If hearings are permitted, the procedures set forth in the Regulations are not required; use a hearing process that is age/school appropriate.
K-12: THREE REQUIREMENTS

1. Before any determination of responsibility is made, 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.”

2. Questions about the Complainant’s prior sexual history predisposition or behavior except under certain circumstances.

3. The decision-maker(s) must explain to the party proposing the questions any decision to exclude a question as not relevant.
FINAL RULE § 106.45(B)(8)

“Institutions 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.”
APPEALS: MANDATORY GROUNDS

(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/or

(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.
OTHER REQUIREMENTS OF THE REGULATIONS

- Designation of a Title IX Coordinator
- Dissemination of policy
- Separation of Responsibilities
- Training and posting of training
- Impartiality
- Record Keeping
BUILDING A FOUNDATION OF SUCCESS
"Each recipient must designate and authorize at least one employee to coordinate its efforts to comply with its responsibilities under this part, which employee must be referred to as the Title IX Coordinator."

Additionally:

- The recipient must notify [everyone] of the name or title, office address, email address, and telephone number of the coordinator(s).
- Any person may report in person, by mail/email, telephone using the contact information.
- Reports can be made at anytime.
The institution must notify applicants and all members of the community of the Title IX Coordinator’s:

1. Name or Title
2. Office address
3. Email address
4. Phone number

Any person may report, at any time, sex discrimination, including sexual harassment in person, by mail, by telephone, by email, or any other means using the contact information listed.
“RESPONSIBILITIES REQUIRED UNDER TITLE IX AND THE REGULATIONS”

• Serve as the primary pathway for receipt of reports of sex discrimination and sexual harassment;

• Upon receipt of a report, promptly contact the complainant to discuss the availability of supportive measures and to explain the process of filing a formal complaint;

• Coordinate the effective implementation of supportive measures;

• Where a report is made, but a formal complaint is not filed by the complainant, determine whether a formal complaint should be filed and sign that formal complaint;

• Effective implementation of any remedies imposed by a decision maker at the conclusion of a grievance process.
RESPONSIBILITIES OFTEN DELEGATED TO THE TITLE IX COORDINATOR

• Ensuring that the institutional policies and procedures are compliant with Title IX
• Ensuring dissemination of the policy
• Overseeing the grievance process to ensure it is compliant
• Coordinating a compliant grievance process
• Staffing various roles
• Ensuring training requirements are met
• Record keeping
• Compliance with intersecting federal and state laws
• Education and prevention efforts
THE THREE ESSENTIAL FUNCTIONS OF TITLE IX COMPLIANCE

01
Response

02
Education & Prevention

03
Compliance
ANOTHER MOMENT, PLEASE...
A SUCCESSFUL TITLE IX COORDINATOR...

C A R E S

Understands the Importance of **Consistency**

Adheres to policies and procedures

Records or documents everything

Engages meaningfully with the community

Strategically plans for success
STRATEGIZE

• Conduct your own review: Evaluate the institution’s state of compliance, strengths, and opportunities in all areas
• Develop plans for success in every area
• Prioritize the implementation and execution of those plans
ENGAGE

• Understand the needs of the community you serve
• Build awareness
• Build trust
• When you engage, others engage
• Can assist with workload
ADHERE

• Adhere to policies and procedures
• Implement training plans
• Stick to compliance plans
• Use the forms that are developed
CONSISTENCY

• Creation of Forms and Templates
• Development of Annual Plans for Training
• Development of Annual Plans for Compliance
• Comprehensive Policies & Procedures
1. **Compliance**
   1. Maintain old policies
   2. Keep records of all responses to reporting requirement

2. **Training**
   1. Dates, times, locations
   2. Attendees
   3. Training materials
   4. Reason for the training

3. **Response**
   1. EVERYTHING
SUCCESSFUL COORDINATORS APPROACH ALL ASPECTS OF THE WORK...

- Impartially
- Utilizing Best Practices
- With Empathy
IMPARTIALITY

Avoiding Prejudgment and Bias

“The Department’s interest in ensuring impartial Title IX proceedings that avoid prejudgment of the facts at issue necessitates a broad prohibition on sex stereotypes so that decisions are made on the basis of individualized facts and not on stereotypical notions of what ‘‘men’’ or ‘‘women’’ do or do not do.” 85 Fed. Reg. 30254 (May 19, 2020).
# IMPARTIALITY: AVOIDING PREJUDGMENT AND BIAS

<table>
<thead>
<tr>
<th>Do not rely on cultural “rape myths”</th>
<th>Do not rely on cultural stereotypes about how men or women purportedly behave</th>
<th>Do not rely on gender-specific research data or theories to decide or make inferences of relevance or credibility in particular cases</th>
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</thead>
<tbody>
<tr>
<td>Recognize that anyone, regardless of sex, gender, gender identity or sexual orientation, can be a victim or perpetrator of sexual assault or other violence</td>
<td>Avoid any perception of bias in favor of or against complainants or respondents generally</td>
<td>Employ interview and investigation approaches that demonstrate a commitment to impartiality</td>
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</table>
IMPARTIALITY

Avoiding Bias

• Department also rejected commenters’ arguments that individuals should be disqualified from serving as investigators because of past personal or professional experience

• “Department encourages [schools] to apply an objective (whether a reasonable person would believe bias exists), common sense approach to evaluating whether a particular person serving in a Title IX role is biased” WHILE

• “exercising caution not to apply generalizations that might unreasonably conclude that bias exists (for example, assuming that all self-professed feminists, or self-described survivors, are biased against men, or that a male is incapable of being sensitive to women, or that prior work as a victim advocate, or as a defense attorney, renders the person biased for or against complainants or respondents”
Commenters argued that investigators and hearing officers employed by schools have an “inherent conflict of interest” because of their affiliation with the school, so the Department should require investigations and hearings to be conducted by external contractors.

Department noted that some of those commenters argued that this resulted in bias against complainants, and some argued that this resulted in bias against respondents.

Department’s response: Department’s authority is over schools, not individual investigators and other personnel, so the Department will focus on holding school’s responsible for impartial end result of process, without labeling certain administrative relationships as per se involving conflicts of interest.
IMPARTIALITY
Avoiding Prejudgment, Bias, and Conflicts of Interest

Bottom Line

• Follow facts of every individual case
• Investigate in manner that will not allow even a perception of prejudgment or bias for or against any party
03

COMPLIANCE
Sources of Compliance Obligation

- Title IX Final Regulations
- Violence Against Women Act
- Other, Intersecting Federal Laws
- State Law
- Legal Precedent
- Institutional Policies
- Resolution Agreements
TITLE IX COMPLIANCE OBLIGATIONS

- Designate a Title IX Coordinator

- Disseminate Policy
  Notification, Publication

- Promptly respond to instances of sexual harassment occurring within the educational program or activity of which the institution has actual knowledge in a manner that is not deliberately indifferent;

- Provide supportive measures in accordance with the requirements of section 160.30

For reports of sexual harassment utilize grievance procedures that comply with section 160.45

Require that individuals participating in the grievance process do so impartially and that they are trained in accordance with the 160.45(b)(1)(iii).

Maintain records response to sexual harassment in accordance with 160.45 (10)

Comply with 160.71 prohibition against retaliation
Categories of Compliance Requirements

- Staffing
- Notice
- Training
- Procedural
- Reporting
DEVELOPING A STRATEGY FOR COMPLIANCE

1. Identify Compliance Obligations

2. How you will prove that you are compliant

3. Record Keeping
IMPLEMENTING THE STRATEGY FOR COMPLIANCE

Partnerships

Record Keeping Databases

Calendar
TRAINING & EDUCATION

Educating ourselves and our communities in a post-regulatory world
SOURCES OF TRAINING REQUIREMENTS

Title IX Final Regulations

Violence Against Women Act

State Law

Resolution Agreements
TRAINING AND EDUCATION: TWO AREAS OF FOCUS

01 Institutional Response to Sex Discrimination

02 Prevention Education
INSTITUTIONAL RESPONSE TRAINING

1. Institutional Policies and Procedures
2. Prohibited Conduct
3. Options for Confidential Support
4. The Identify, Role, and Requirements of the Responsible Employee
5. Options and methods for Reporting
6. The Grievance Process
7. The Role of the Title IX Coordinator
A REALLY IMPORTANT MOMENT. LISTEN UP. IT’S OKAY...

To not know the answer to every question thrown your way

To say, “I don’t know,” “I’d like to think about that,” “I’ll get back to you,” “Thank you for sharing your perspective.”

To decline to answer a question

To recognize and assert your expertise
### WHO MUST RECEIVE TRAINING?

<table>
<thead>
<tr>
<th>Title IX Staff*</th>
<th>Faculty</th>
<th>Students</th>
<th>Staff</th>
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<tbody>
<tr>
<td>• Coordinators</td>
<td>• New faculty</td>
<td>• New Students</td>
<td>• Senior leadership</td>
</tr>
<tr>
<td>• Investigators</td>
<td>• Existing faculty</td>
<td>• Existing Students</td>
<td>• Public Safety/campus law enforcement</td>
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<tr>
<td>• Decision Makers (hearings and appeals)</td>
<td>• Adjunct Faculty</td>
<td>• Specialized populations</td>
<td>• Health care workers</td>
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<tr>
<td>• Facilitators of Informal Resolution</td>
<td>• Supervising faculty</td>
<td>• Student staff</td>
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* "Those who are charged with ensuring a prompt, fair, and impartial investigation and result.” (VAWA)
COMMUNITY PARTNERS?

Boards of Trustees

Law Enforcement

Advocacy Groups

Health Care Providers

Attorneys

Media
TRAINING FOR TITLE IX STAFF

- The scope of the institution’s education program or activity (i.e., its Title IX “jurisdiction”)
- How to conduct the grievance process
- How to serve impartially
- The technology to be used at a live hearing
- Issues of relevance of questions and evidence
- Rape shield protections; and,
- Issues of relevance in creating an investigative report.
RESPONSIBLE EMPLOYEES
<table>
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<tr>
<th>Topic</th>
<th>Description</th>
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<tbody>
<tr>
<td>Explaining the narrowed scope of Title IX</td>
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<tr>
<td>Explaining the institutional decision for two processes/procedures</td>
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<tr>
<td>Responsible Employee challenges</td>
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<tr>
<td>Burden of proof challenges</td>
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<tr>
<td>Length of Training</td>
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<tr>
<td>Time for questions/community processing</td>
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"The Department understands commenters’ beliefs that the Department should create rules that monitor drinking, teach about interpersonal boundaries, sexuality, bystander intervention, and sexual consent communication,. . . . And while the Department does not mandate educational curricula, nothing in the final regulations impedes recipients’ discretion to provide students (or employees) with educational information."

PREVENTION EDUCATION: VIOLENCE AGAINST WOMEN ACT (VAWA)

A primary prevention and awareness program [which includes bystander intervention] aims to prevent dating violence, domestic violence, sexual assault, and stalking.

Ongoing prevention and awareness campaigns.
ELEMENTS OF ANNUAL TRAINING STRATEGY

- Identify population to be trained
- Determine topic
- Schedule the training
- How will you deliver the training
- Partnerships
- Communications
- Community input/feedback
- Engagement as passive education
ONGOING ASSESSMENT OF TRAININGS

- Pre and Post Surveys
- Observation
- Opportunities for Feedback and Suggestions
- Engage and Listen
COMMUNICATE TRAINING SUCCESSES

- Annual Report On Your Website
- When training
- In conversations
FROM ONE TITLE IX COORDINATOR TO ANOTHER:

A Practical Approach to Navigating Beyond Compliance in a Post Regulatory World

Day 2

Emma Hempel
February 2024
DAY 2 AGENDA

01 Receipt of Reports
   Actual Knowledge, Report Response, Initial Assessments, & Supportive Measures

02 Complainant Intake & Supportive Measures

03 Report Resolution
   Remedies Based, Informal, or Formal
01

RECEIPT OF REPORTS

Actual Knowledge, Report Response, Initial Assessments, and Supportive Measures
INFRASTRUCTURE FOR REPORTING

- Develop methods/avenues for reporting
- Communicate reporting methods and what folks should expect after submitting a report
- Develop a plan for receiving and reviewing the reports
- Develop a protocol that ensures a prompt response to reports
- Develop and adhere to practices for documenting reports and responses
Notice to College/University

Outreach/Response from Title IX Coordinator

Support Measures, whether or not Formal Complaint is filed

How to File

Options
RECEIVING REPORTS AND INITIATING THE RESPONSE

1. Review the report

2. Determine the appropriate initial response

3. Promptly initiate that response

4. Document/record the receipt of the report and the response thereto
INITIAL OUTREACH

• First: Safety
• Email: Create Forms
• Phone
• In person: Use RA, Campus Safety
• Follow Up Emails
SCENARIO: EMERGENCY REMOVAL OF STUDENT

- High threshold
- Not a determination of responsibility
- Whether or not grievance is underway
- Individualized
- Immediate threat (physical)
- Opportunity to challenge
THE TITLE IX OFFICE RECEIVES THE FOLLOWING ANONYMOUS REPORT VIA YOUR INSTITUTION’S ONLINE REPORTING FORM:

“Riley Smith is in trouble. I live on their floor in River Hall and I constantly hear fighting and crying coming from their room at night. Every time I see Riley with their partner, they seem really submissive and nervous and I have noticed bruises on Riley the mornings after the biggest fights. The RA and Riley’s partner are friend and so the RA doesn’t do anything about it. It’s getting so bad that some of the other people on the floor are talking about intervening, but we are afraid of Riley’s partner too.”
I really don't want to bother you but I'm in a really hard situation.

I and my boyfriend had a row for these days. And he beat me yesterday and this morning that I attached some pictures before XXXX final starts this afternoon because I found out I couldn't hold pencil because of trembling and I couldn't even think in the first thirty minutes. These pictures shows my arms after he twisting them, which doesn't look violent but feel hurt. One hour before lab final started, I told him I'm going to call police after he beat me, then he dragged me from bed to the floor and threatened to kill me if I call police. It was horrible and hard to reminisce. I knew he tends to use violence before and I forgave him some times when he just pinched my chin and dragged my arm. But this time it is too bad. So he took my phone away and restrain me in my room, not letting me go because I told him I would tell my TA about this whole thing after the final. So he just let me go to final after I promised I won't tell school and police.

When I go to two finals today (XXXX and XXXX, especially the latter), I really couldn't think and even hold pen (and I grabbed my bag but almost nothing in it) for the first thirty minutes. Now everything is done, he promised not to show up in my life nor my room, which is good because I don't want to take penalty on anyone. But I couldn't predict what my final shows out. It won't match my work for the whole semester. I don't expect any makeup chance. I just want to let you know since I barely know any American women here, am I doing wrong? Is there anything I can do to fix anything from academics or life? Sorry for bothering.”
"My name is Professor Jones. One of my students shared that they were raped last weekend at a party by another student. They don’t want the school starting an investigation, and so I am not going to share their name or the details with you. They are thinking about talking to the police but are not sure who to contact. Can you please provide me with information that I can share with the student?"
COMPLAINANT INTAKE & SUPPORTIVE MEASURES
INITIAL MEETING WITH THE COMPLAINANT

• Prepare for the meeting
• Select appropriate space
• Build trust and rapport; empower
• Explain your role
• Discuss available support
• Options for reporting
• Answer questions
• Evidence collection/preservation
• Conclude with a discussion of next steps
SUPPORTIVE MEASURES

- **Non-Disciplinary**: May not unreasonably burden the other party.
- **Non-punitive**: As appropriate and reasonably available.
- **Confidential**: Designed to restore or preserve equal access.
EXAMPLES OF SUPPORTIVE MEASURES

• Assistance obtaining access to counseling, advocacy, or medical services;
• Assistance obtaining access to academic support and requesting academic accommodations;
• Changes in class schedules;
• Assistance requesting changes in work schedules, job assignments, or other work accommodations;
• Changes in campus housing;
• Safety escorts;
• Leaves of absence;
• Mutual restrictions on contact between the Parties (“No-contact” orders).
“MUTUAL RESTRICTIONS ON CONTACT BETWEEN THE PARTIES”
POST MEETING TASKS

Document the meeting

Send a summary email with resources, options, next steps

Follow up

Make connections

Provide the supportive measures

Document supportive measures requested, provided, and not provided. Where not provided, indicate why.
REPORT RESOLUTION

Remedies Based, Informal, or Formal
HOW TO PROCEED?

**Remedies-Based**
No formal process

**Alternative/Informal**
Signed agreement;
Voluntary;
What records?

**Formal/Investigation/Hearing**
All requirements of 106.45
REMEDIES-BASED RESOLUTION

3(a)
REMEDIES BASED RESOLUTIONS

- Supportive Measures
- Educational Conversations
- Targeted Education
FORMAL COMPLAINT & NOTICE REQUIREMENTS

03(b)
FORMAL COMPLAINT FILED

By Complainant

By the Title IX Coordinator
FACTORS TO CONSIDER WHEN DETERMINING WHETHER TO FILE A FORMAL COMPLAINT

<table>
<thead>
<tr>
<th>Factor</th>
<th>Description</th>
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<tbody>
<tr>
<td>Use of Weapons</td>
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<tr>
<td>Allegations of Violence</td>
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<tr>
<td>Serial predation</td>
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<tr>
<td>Threats</td>
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</table>
A FORMAL COMPLAINT MUST INCLUDE

The Complainant’s digital or physical signature, or an indication that the Complainant is the person filing the Formal Complaint;

An allegation of Prohibited Conduct as defined under this Policy. This may include: Where the incident(s) occurred; what incident(s) occurred; when the incident(s) occurred;

Identity of Respondent, if known;

A request for a resolution.
DISMISSING COMPLAINTS

**Mandatory**
- Not sexual harassment
- Did not occur in program or activity
- Not against person in the U.S.

**Discretionary**
- Complainant withdraws complaint
- Respondent no longer enrolled/employed
- School unable to collect sufficient info
CAN PROCEED UNDER OTHER POLICY
Notice of the allegations, 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.
NOTICE OF ALLEGATION REQUIREMENTS (2)

• 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.
NOTIFYING THE RESPONDENT

FIRST - SAFETY

Make sure Support Available

Written Notification Meetings and Sufficient Time to Prepare

Don’t Send on a Friday

Don’t send at 5pm

How will you notify?

Consider impact of notification on Respondent
ADVISOR OF CHOICE

- The advisor can be anyone, including an attorney.
- Institutions cannot place restrictions on who can serve.
- No training required.
- Institution must provide advisor for the purposes of cross examination, only.
INITIAL MEETING WITH RESPONDENT

- Prepare for the meeting
- Select appropriate space
- Build trust and rapport; empower
- Explain your role
- Discuss available supportive measures
- Supportive measures that were provided to complainant that impact them
- Answer questions
- Evidence collection/preservation
- Conclude with a discussion of next steps
POST MEETING TASKS

Document the meeting

Send a summary email with resources, options, next steps

Follow up

Make connections

Provide the supportive measures

Document supportive measures requested, provided, and not provided. Where not provided, indicate why.
FORMAL COMPLAINT RESOLUTION

Informal Resolution
• Formal Complaint Required
• Parties must agree
• Can withdraw form process
• Alternate Resolution/Mediation
• No appeal

Formal Resolution
• Investigation and Adjudication process in compliance with Section 106.45
INFORMAL RESOLUTION

03(c)
INFORMAL RESOLUTION REQUIREMENTS

• Formal Complaint must be filed
• Participation in an informal resolution must be voluntary
• Must occur prior to resolution via a formal process
• Parties must be permitted to withdraw and seek formal resolution
• Voluntary, written consent to the informal resolution must be obtained
• Facilitators of informal resolution must be trained
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;
FACILITATORS OF INFORMAL RESOLUTION AS WITNESSES
INFORMAL RESOLUTION IS PROHIBITED TO RESOLVE ALLEGATIONS THAT AN EMPLOYEE SEXUALLY HARASSED A STUDENT.
FORMAL RESOLUTION

03(d)
PROCEDURAL REQUIREMENTS FOR INVESTIGATIONS

- Notice to BOTH parties
- Equal Opportunity to Present Evidence
- An advisor of choice
- Written notification of meetings, etc., and sufficient time to prepare
- Opportunity to review all directly related evidence, and 10 days to submit a written response to the evidence prior to completion of the report
- Report summarizing relevant evidence and 10-day review of report prior to hearing
TITLE IX COORDINATOR’S ROLE

In the Investigation

- Title IX Coordinator is permitted to conduct the investigation, though this is not favored.
- If conducting the investigation, do so in accordance with the applicable institutional policy.
- If not conducting the investigation, may serve as a support to the investigators.
- May serve as a resource to the parties.

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PROCEDURAL REQUIREMENTS FOR HEARINGS

- Must be live, but can be conducted remotely
- No Compelling participation
- Standard of proof used may be preponderance of the evidence or clear and convincing; standard must be the same for student and employee matters
- Cross examination must be permitted and must be conducted by advisor of choice or provided by the institution
- Decision maker determines relevancy of questions and evidence offered
- Written decision must be issued that includes finding and sanction
TITLE IX COORDINATOR’S ROLE

In the Adjudication

- Title IX Coordinator may not serve as the decision maker
- May serve to support the decision maker(s)
- May participate in the hearing to provide logistical support to decision makers
- Responsible for effective implementation of remedies imposed
“Institutions 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.”
TITLE IX COORDINATOR’S ROLE

In the Appeal

• Title IX Coordinator may not serve as an appellate reviewer
• May serve to support the appellate reviewer/panel
• May provide logistical support
• May coordinate implementation of appellate findings, where appropriate.
• Responsible for effective implementation of remedies imposed
Putting it all together
COMPLIMENTARY SUBSCRIPTION

A place to communicate, share, educate, learn

for HIGHER EDUCATION PROFESSIONALS working in
Title IX, Equity & Clery

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