



EMORY
UNIVERSITY

Title IX Training

August 13, 2020

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Agenda

- Title IX Foundation
- Reports Received & Supportive Measures
- Formal Complaints → Investigations
- The Hearing: Decision-Makers, Advisors, Cross-Examination
- Appeals & Documentation

The statute, the final rule, what it all means

WHERE ARE WE TODAY?

The Statute

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.

20 U.S.C. § 1681

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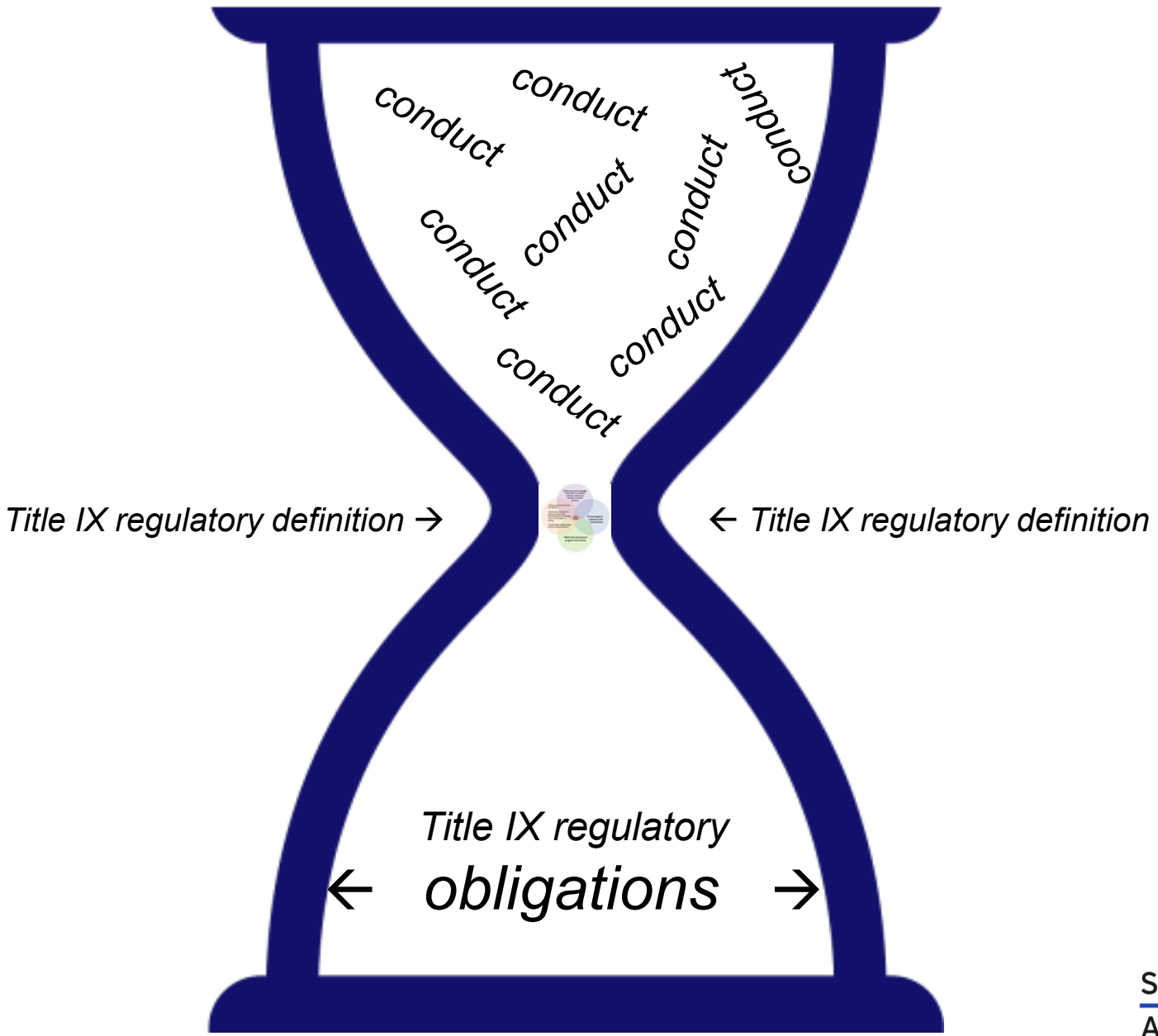
The Final Regulations

- Final rule released by ED informally on its website on May 6, 2020
 - (2000+ double-spaced pages)
- Published in the Federal Register on May 19, 2020 (34 CFR Part 106)
 - (550+ tight single-spaced pages)
- Effective date: **August 14, 2020**

At Emory

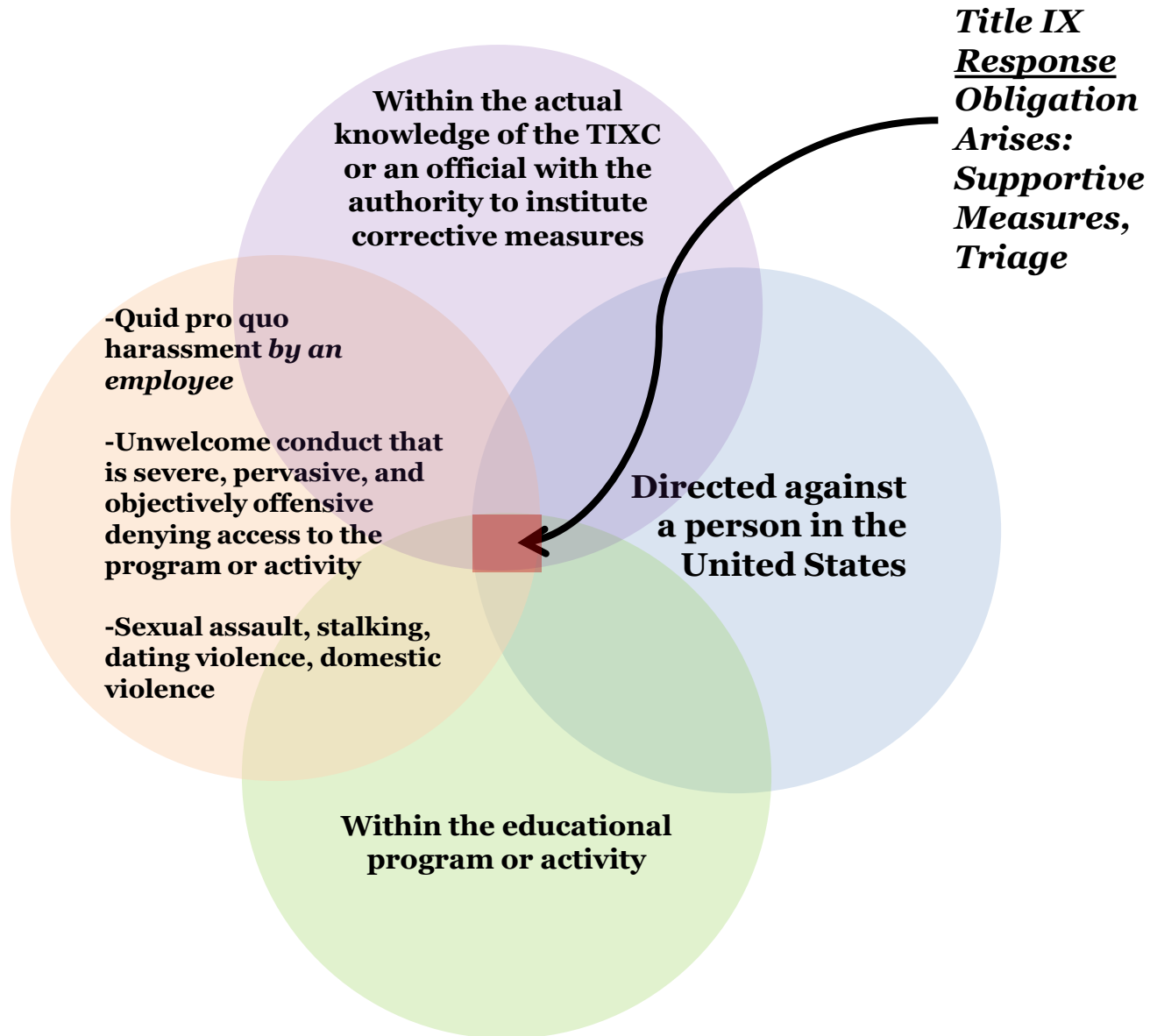
Sex and Gender-Based Harassment and Discrimination Policy

- Grievance Procedure for Title IX Misconduct
- Non-Title IX Prohibited Conduct Procedure for Students
- Equal Opportunity and Harassment Policy 1.3



The Foundation

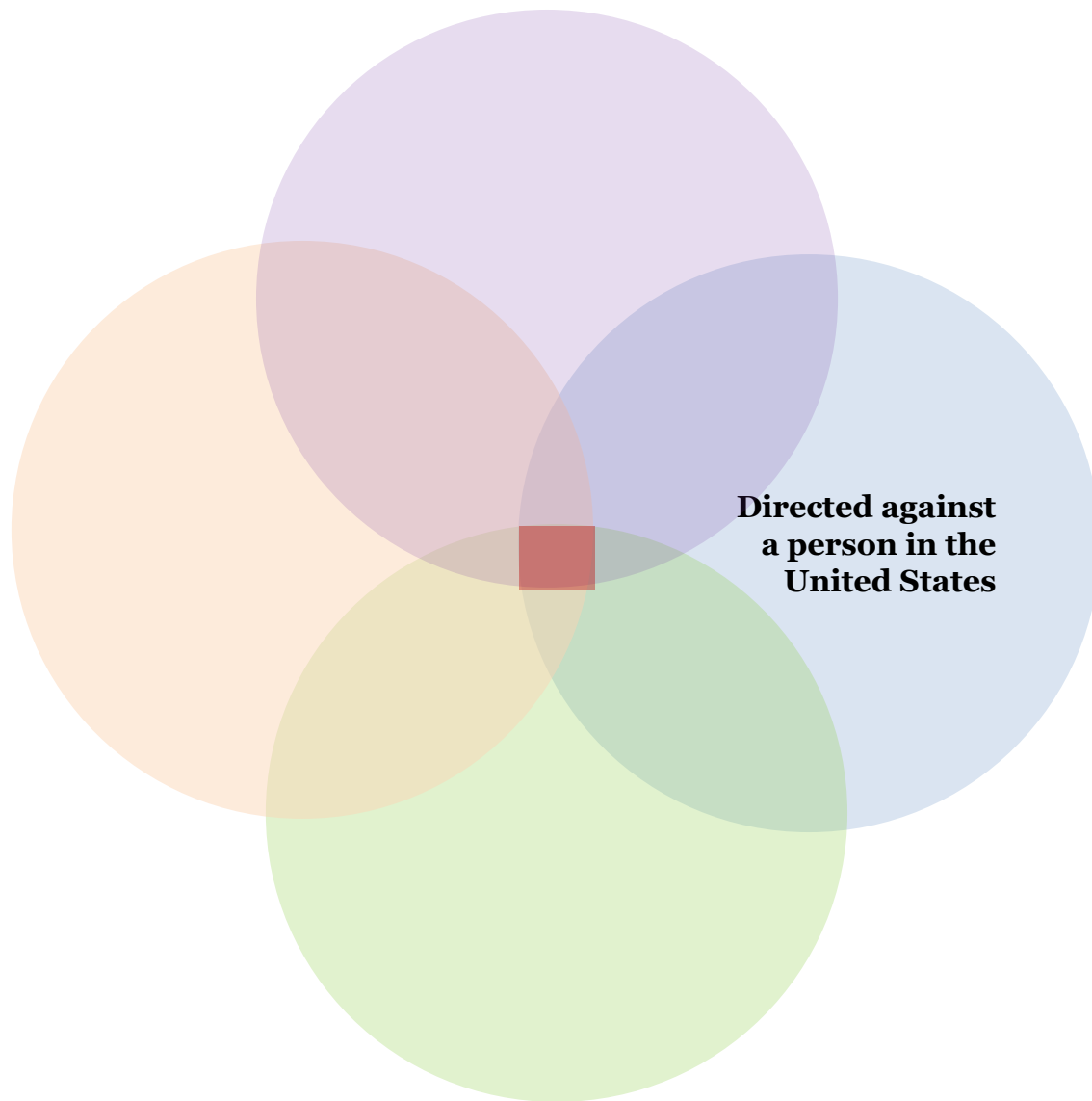
If you have actual knowledge of sexual harassment that occurred in your education program or activity against a person in the United States, then you must respond promptly in a manner that is not deliberately indifferent.

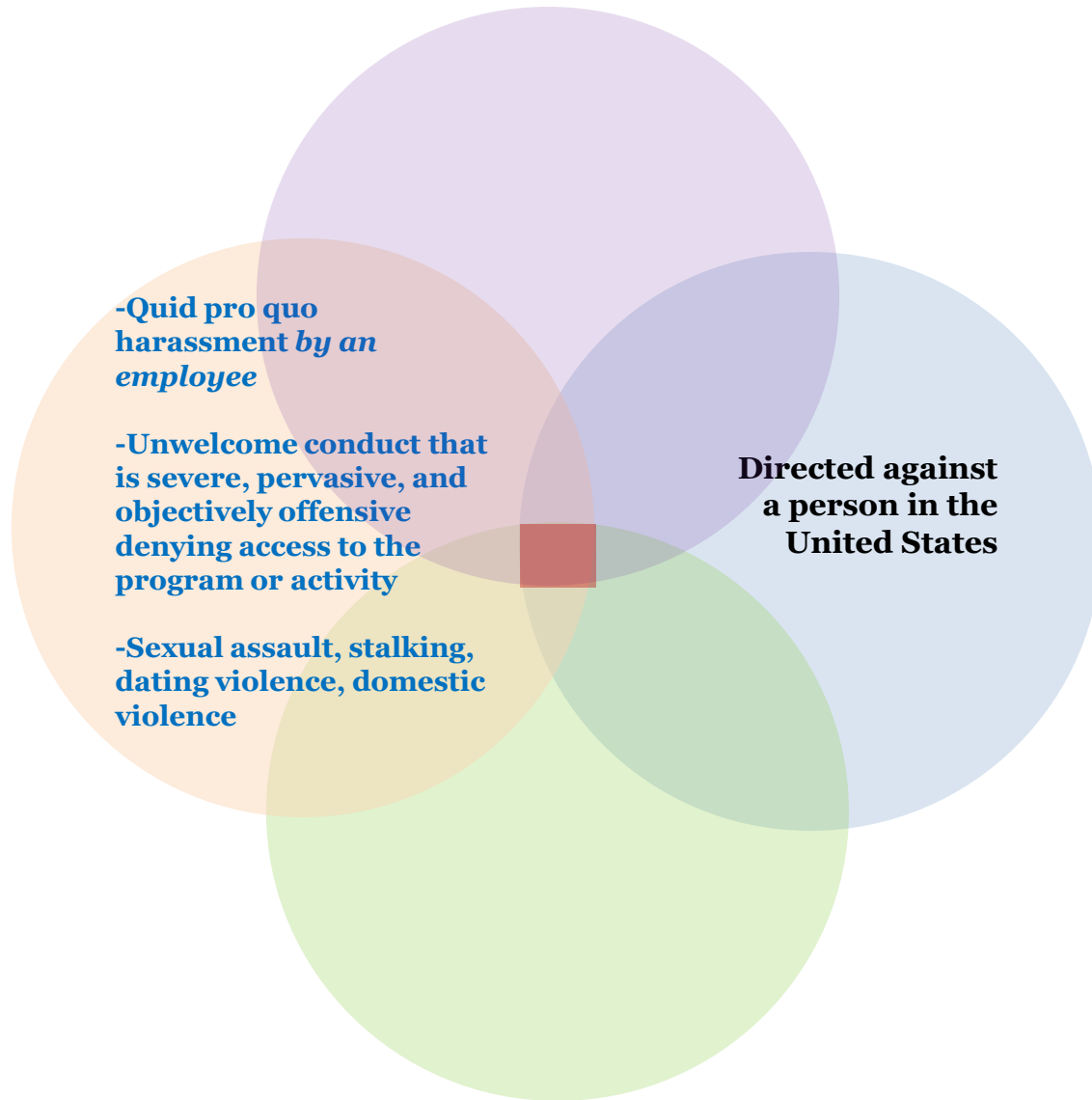


Scope and Jurisdiction

TITLE IX COVERED CONDUCT

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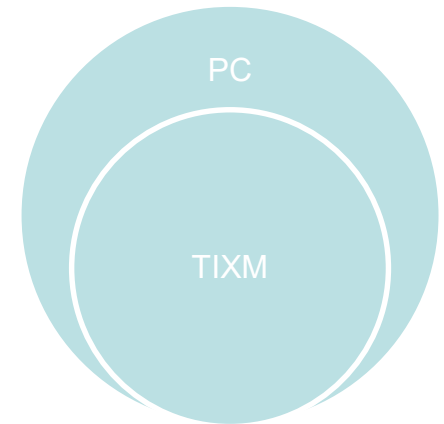
Scope: Sexual Harassment

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

- (i) 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;
- (ii) 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
- (iii) “**sexual assault**” as defined 20 U.S.C. 1092(f)(6)(A)(v), “**dating violence**” as defined in 34 U.S.C. 1229(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)

§ 106.30

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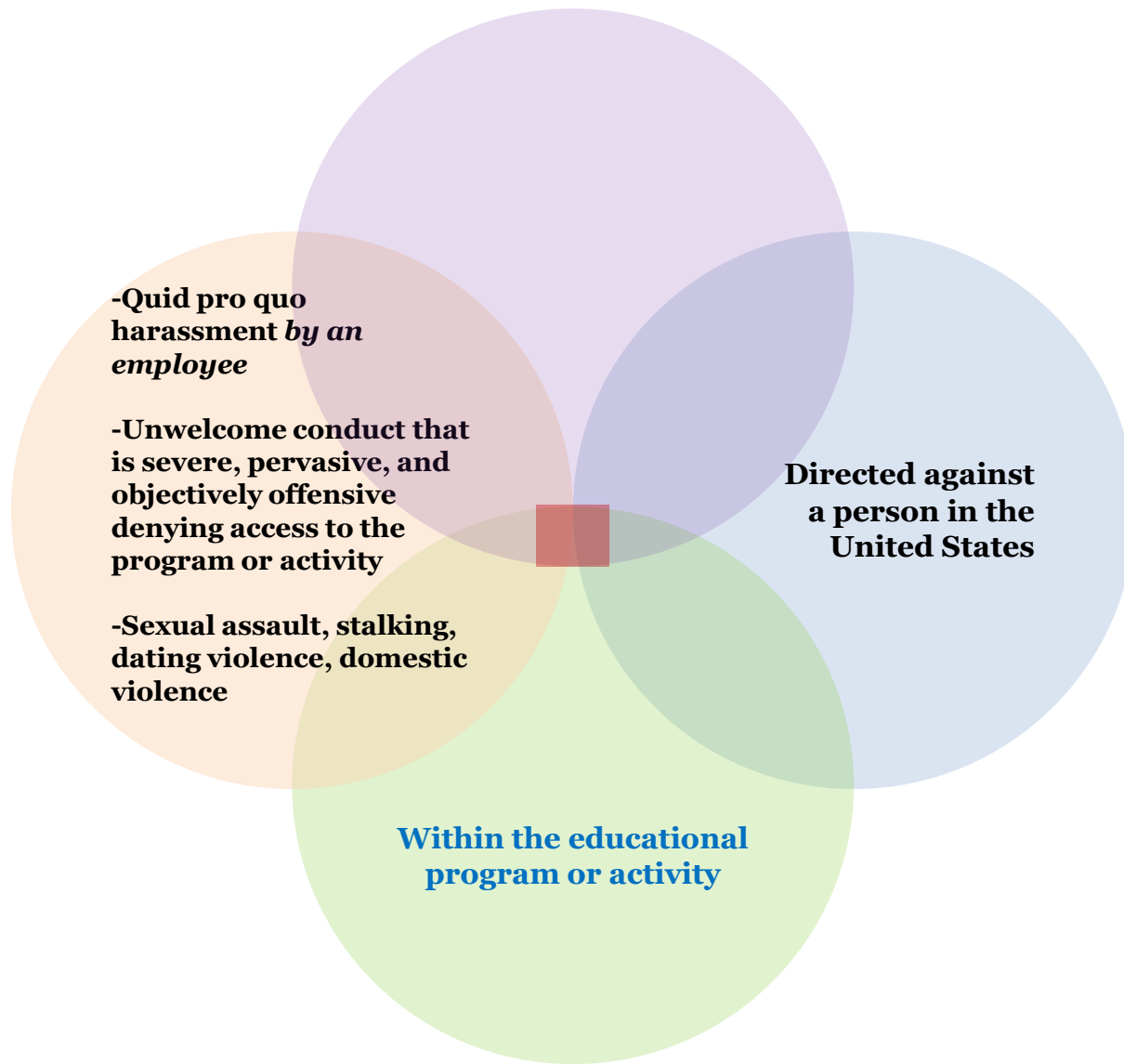


- **Prohibited Conduct**

- Non-Consensual Sexual Intercourse, Non-Consensual Sexual Contact; Sexual Exploitation; Sexual Harassment; Gender-Based Harassment; Retaliation; Aiding, Facilitating, Encouraging, Concealing, or Otherwise Assisting in Prohibited Conduct, Violating a Protective Measure and **Title IX Misconduct**

- **Title IX Misconduct**

- *“Title IX Misconduct is a subset of Prohibited Conduct that rises to a level of severity and pervasiveness such that it is prohibited expressly by Title IX.”*



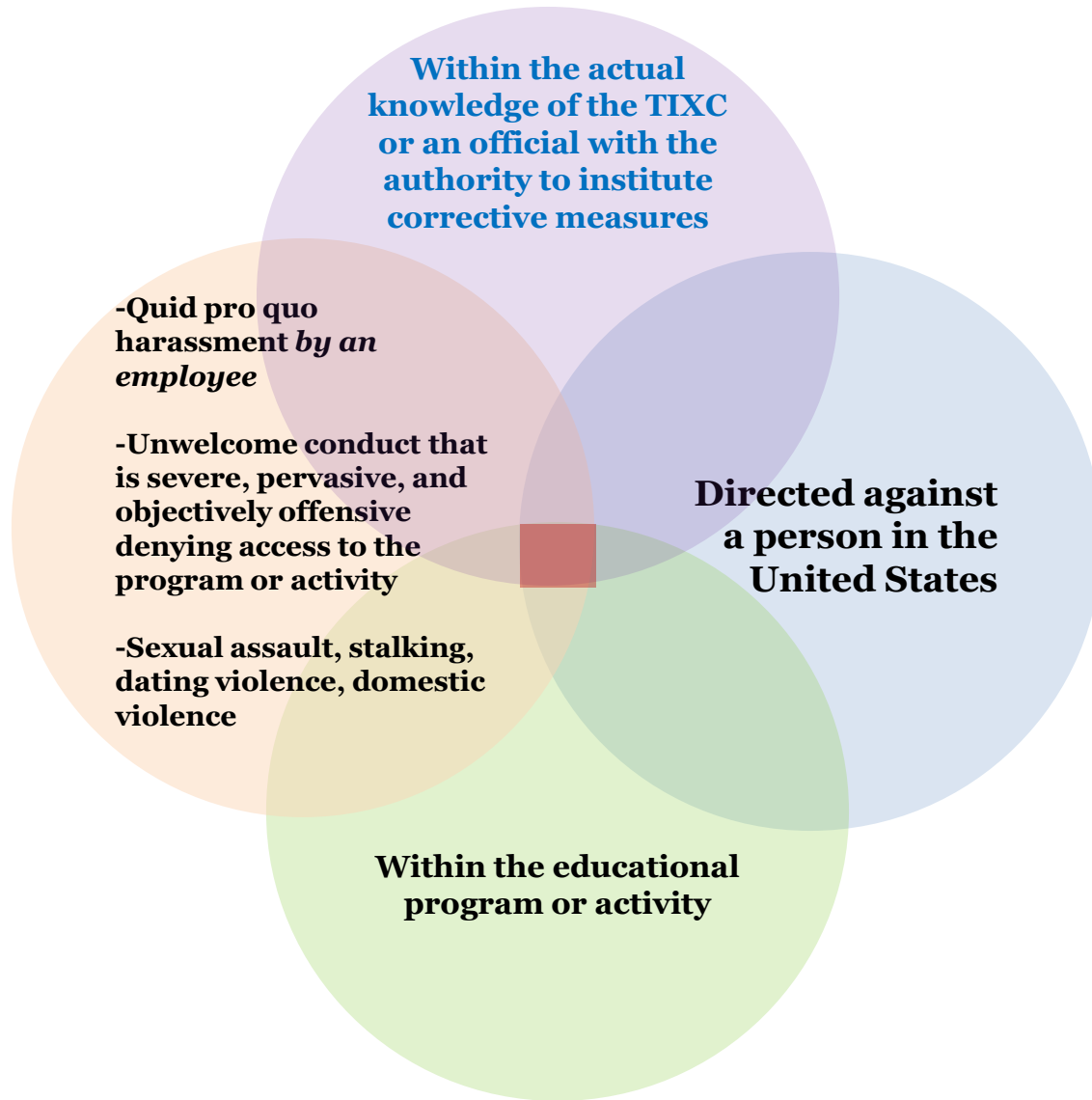
Jurisdiction

“Education program or activity” is:

All operations of the institution, including . . .

- “[L]ocations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and . . . any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.”
- **Applies to employees**, *including employee on employee conduct*

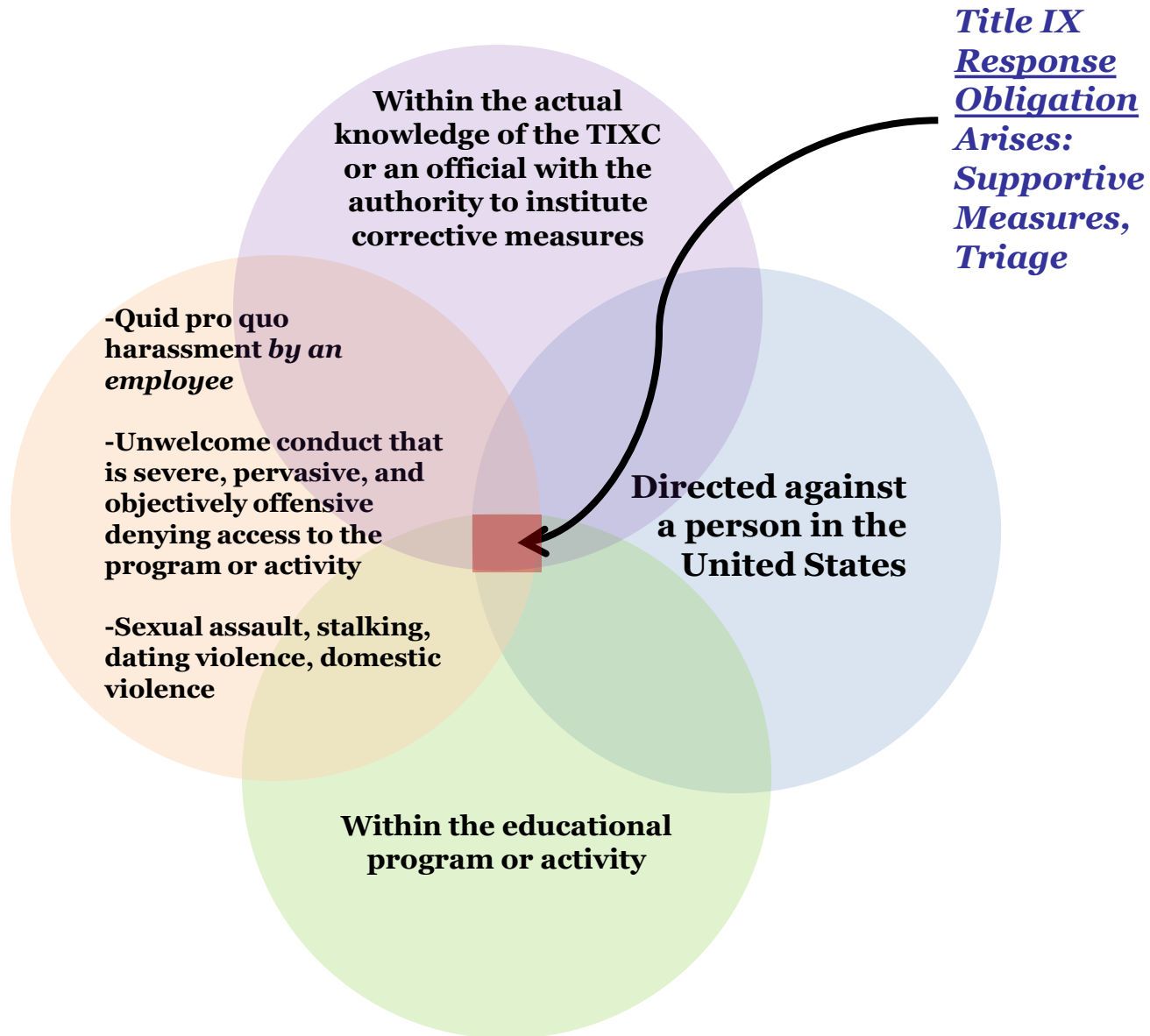
§ 106.44(a)



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 the authority to institute corrective measures on behalf of the recipient...”

§ 106.30



Response Obligations

Actual Knowledge -- What now?

To a report:

- *Offer of supportive measures*
- *Explain formal complaint process*

To a formal complaint:

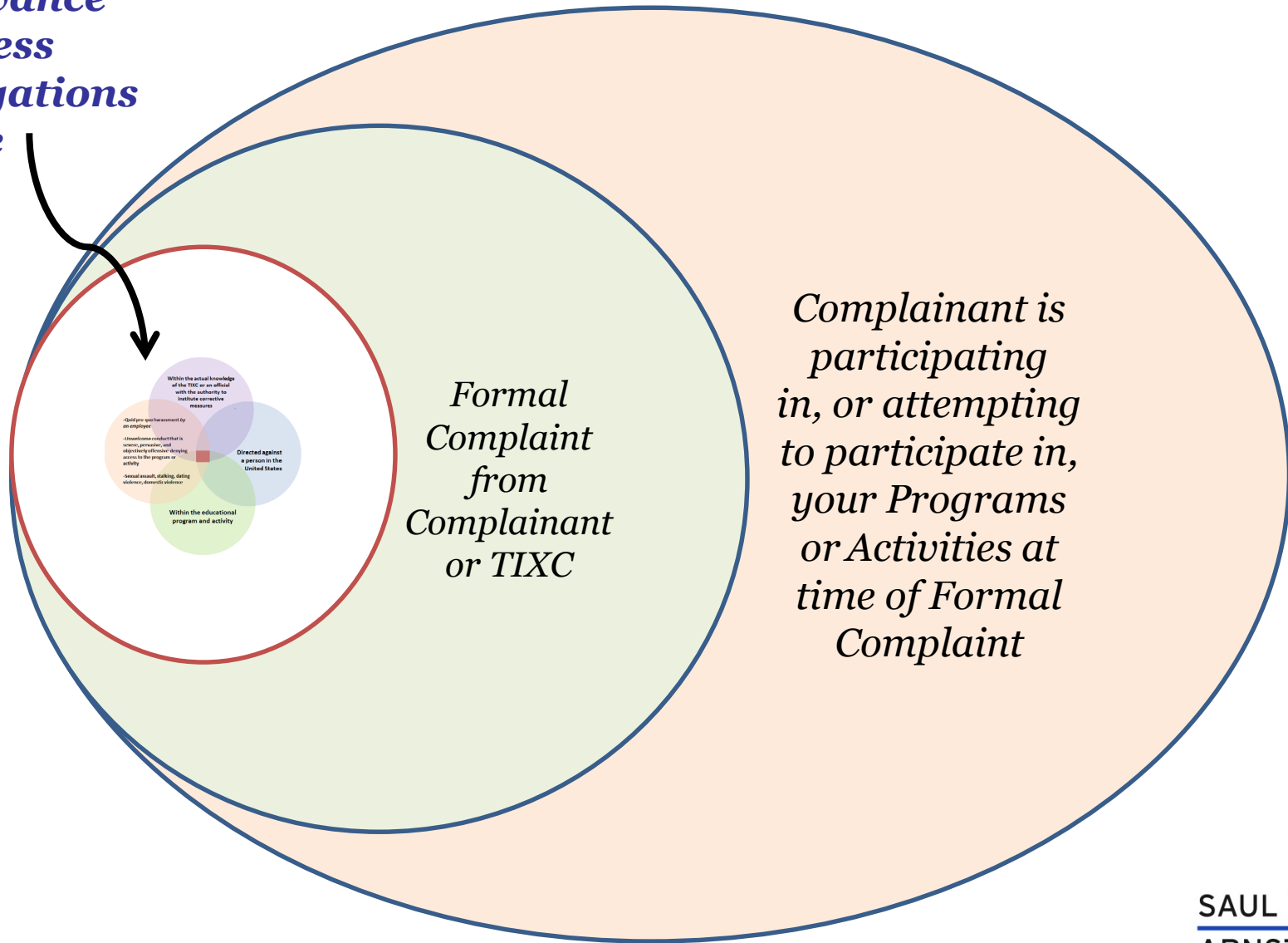
- *Investigation followed by*
- *Live hearing/compliant grievance process*

Unless facts require or permit dismissal

The Foundation

If you receive a formal complaint of sexual harassment signed by a complainant who is participating in or attempting to participate in your education program or activity, then you must follow a grievance process that complies with Section 106.45.

**§106.45
Grievance
Process
Obligations
Arise**



Training, serving without bias or conflicts of interest

EXPECTATIONS

Expectations: Training

- ***Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process receive training on:***
 - 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.

Expectations: Training

In addition,

- **Investigators** must receive training on issues of relevance to create an investigative report.
- **Decision-makers** must receive training on (1) any technology to be used at a live hearing and (1) 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; and

Expectations: Bias & Conflicts

Any individual designated as a Title IX Coordinator, investigator, decision-maker, or to facilitate an informal resolution process, must “*not have a conflict of interest or bias for or against complainants or respondents generally or an individual complainant or respondent.*”

§106.45(b)(1)(iii)

But not advisors. . .

The final regulations impose no prohibition of conflict of interest or bias for advisors

85 FR 30254 n.1041

Bias: what does it mean?

“Whether bias exists requires examination of the *particular facts* of a situation . . .

. . . and the Department encourages recipients 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[.]”

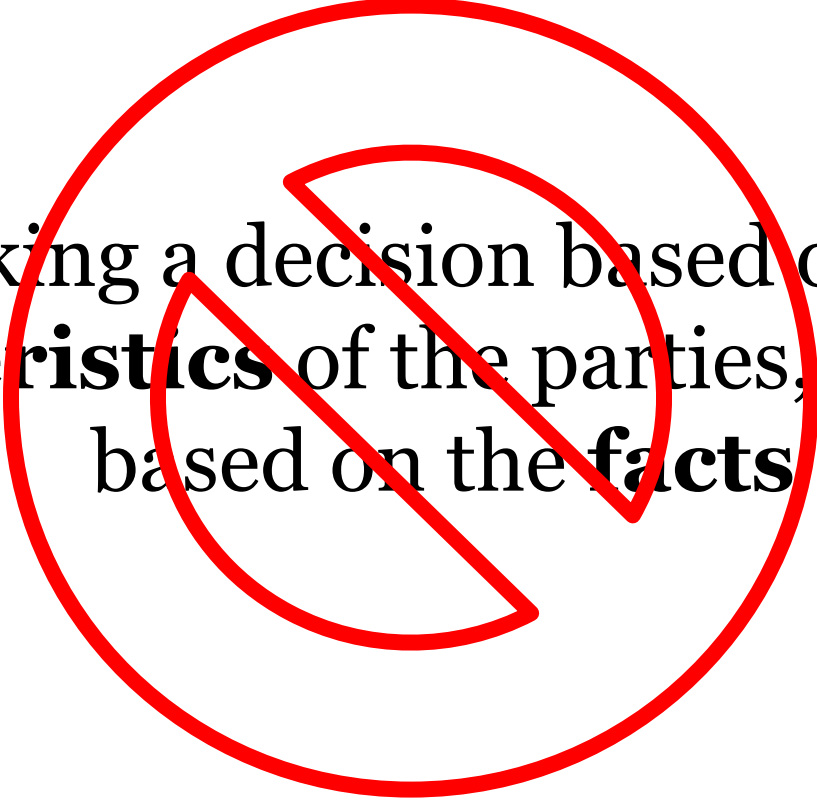
85 FR 30248.

Bias: what does it mean?

- Treating a party differently on the basis of the party's **sex or stereotypes** about how men or women behave with respect to sexual violence. 85 FR 30238-40.
- Treating any individual differently on the basis of an individual's **protected characteristic**, including sex, race, ethnicity, sexual orientation, gender identity, disability or immigration status, financial ability, socioeconomic status, or other characteristic. 85 FR 30084.

Impermissible Bias

Making a decision based on the **characteristics** of the parties, rather than based on the **facts**



What is not defined as bias?

1. Outcomes of the grievance procedure

The Department cautions parties and recipients from concluding bias based **solely on the outcome of the grievance procedure.**

“[T]he mere fact that a certain number of outcomes result in determinations of responsibility, or non-responsibility, does not necessarily indicate or imply bias on the part of Title IX personnel.”

85 FR 30252

What is not defined as bias?

2. Title IX Coordinator Signs Formal Complaint

When a Title IX Coordinator signs a formal complaint, it does not render the Coordinator biased or pose a conflict of interest.

The Department has clarified that this **does not place the Title IX Coordinator in a position adverse to the respondent** because the decision is made on behalf of the recipient and not in support of the complainant or in opposition of the respondent.

85 FR 30372

What is not defined as bias?

3. Professional/Personal Experiences or affiliations

Not *per se* bias; exercise caution not to apply “generalizations that might unreasonably conclude that bias exists”:

- All “self-professed feminists” or “self-described survivors” as biased against men
 - A male is incapable of being sensitive to women
 - History of working in a field of sexual violence
- Prior work as a victim advocate = biased against respondents
- Prior work as a defense attorney = biased in favor of respondents
 - Solely being a male or female
 - Supporting women’s or men’s rights
- Having a personal or negative experience with men or women

But consider . . .

Whether a Title IX personnel has a bias and/or conflict of interest is determined on a **case-by-case basis**, and any combination of the experiences or affiliations on the prior slide *may* constitute bias and/or conflict of interest, depending on the circumstances

Conflicts of Interest: What are they?

The Department also declines to define conflict of interest and instead, leaves it in the discretion of the recipient.

Conflicts of Interest: What are they?

- It is **not** a conflict of interest for the Title IX Coordinator to serve as the investigator.
- However, **it is** a conflict of interest for the investigator and/or the Title IX Coordinator to serve as the decision-maker or appeal decision-maker.

Conflicts of Interest: What are they?

- It is **not** a conflict of interest for a recipient to fill Title IX personnel positions with its **own employees**
 - Recipients are not required to use outside, unaffiliated Title IX personnel. 85 FR 30252.
 - Any recipient, *irrespective of size*, may use existing employees to fill Title IX roles, “as long as these employees do not have a conflict of interest or bias and receive the requisite training[.]” 85 FR 30491-92.
 - Even a student leader of the recipient may serve in a Title IX role. 85 FR 30253.

Serving Impartially

Avoid prejudgment of the facts at issue, conflicts of interest, and bias

&

Don't rely on sex stereotypes

Avoiding Prejudgment of the Facts at Issue

- Cannot **pass judgment** on the allegations presented by either party or witnesses
- Cannot **jump to any conclusions** without fully investigating the allegations and gathering all of the relevant facts and evidence from all parties involved.

Avoiding Prejudgment of the Facts at Issue

Regulations necessitate a broad prohibition on
sex stereotypes

Decisions *must* be based on individualized
facts, and not on stereotypical notions of what
“men” and “women” do or not do

85 FR 30254

Avoiding Prejudgment of the Facts at Issue

- The Department **permits** institutions to apply **trauma-informed practices**, so long as it does not violate the requirement to serve impartiality and without bias
- It is possible, “albeit challenging,” to apply trauma-informed practices in an impartial, non-biased manner
- Any trauma-informed techniques must be applied equally to all genders

85 FR 30256, 30323

Avoiding Prejudgment of the Facts at Issue

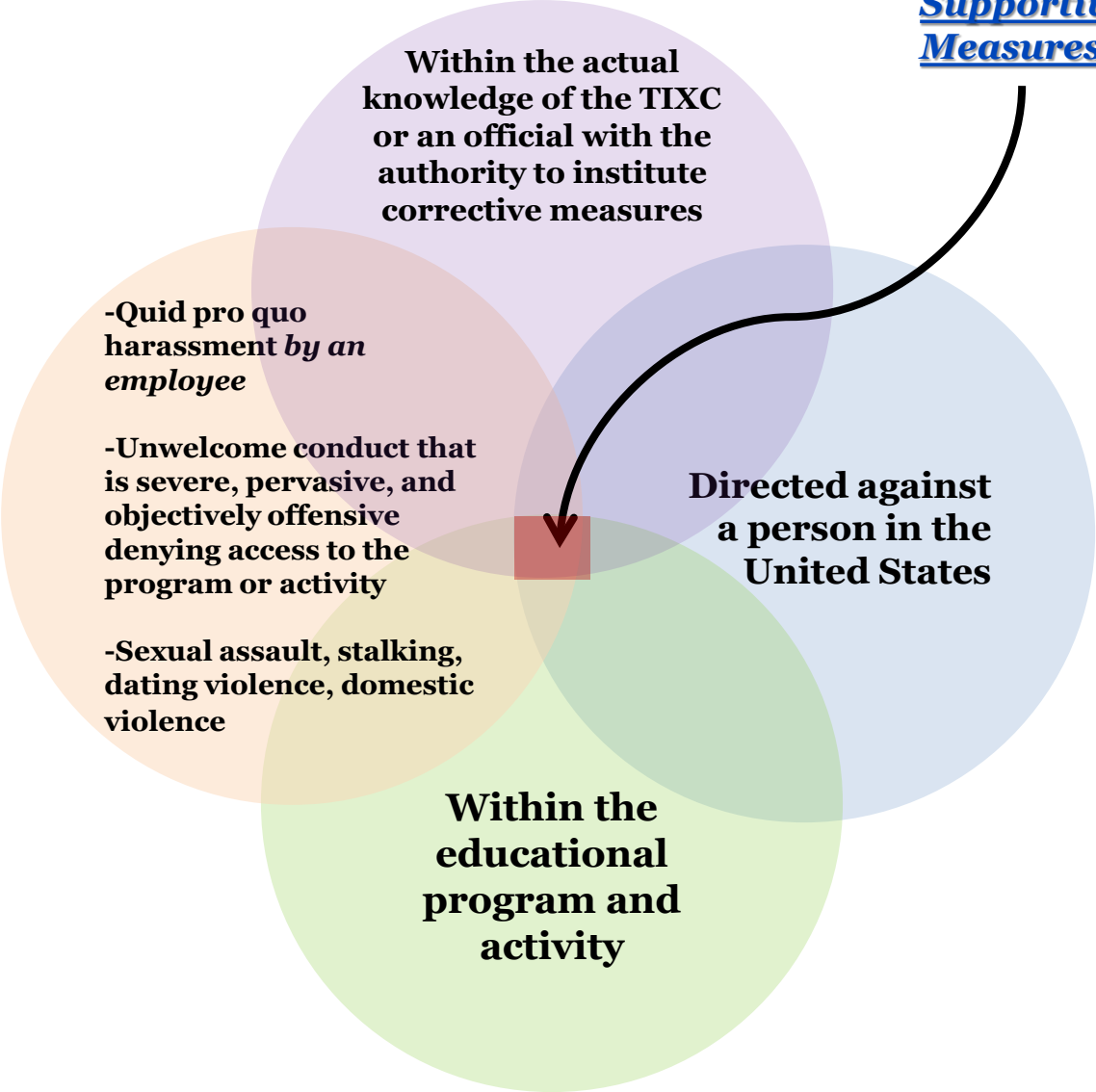
- Any and all stereotypes about men and women must be checked at the Title IX door.
 - Leave behind any prior experiences, whether that be from past Title IX proceedings or personal experiences.
- Approach the allegations (of both parties) with neutrality at the outset
- Treat both parties equally and provide an equal opportunity to present evidence, witnesses, and their versions of the story.

Avoiding Prejudgment of the Facts at Issue

Bottom Line: The fact that an individual is “male”, “female”, or “non-binary” should not, and cannot, have any bearing on the credibility of the party or witness or how Title IX personnel approach the situation.

Reports Received & Supportive Measures

***Title IX Response
Obligation Arises:
Supportive
Measures, Triage***



Obligation to Respond

“*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” § 106.30(a)

What Constitutes Notice?

- “Notice results whenever . . . any Title IX Coordinator, or any official with authority: **Witnesses** sexual harassment; **hears about** sexual harassment or sexual harassment allegations from a complainant . . . or third party; **receives a written or verbal complaint** about sexual harassment or sexual harassment allegations; or **by any other means.**” 85 FR 30040
- “‘Notice’ . . . includes, but is not limited to, a report of sexual harassment to the Title IX Coordinator”
§ 106.30(a)

Notice*



Response**

**Notice includes a Report*

*** The response obligation is the same*

REPORTING

Reporting (Alleged) Sexual Harassment

The Title IX Coordinator

- Students/employees must have a “**clear channel** through the Title IX Coordinator” to report
- Ensure that “complainants and third parties have **clear, accessible ways to report** to the Title IX Coordinator”
- Must “[n]otify all students and employees (and others) of the Title IX Coordinator’s contact information”

§ 106.8; 85 FR 30106

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At Emory

The University **encourages** individuals to report Prohibited Conduct to the University **Title IX Coordinator, Title IX Coordinator for Students, Title IX Coordinator for Faculty and Staff**, to the appropriate **Deputy Title IX Coordinator** associated with the impacted student's school, or to a Human Resources professional.



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Contact information for the University Title IX Coordinator, Title IX Coordinator for Students, and Title IX Coordinator for Faculty and Staff is located immediately below.

Yolanda Buckner, University Title IX Coordinator
(404) 727-8205
yolanda.buckner@emory.edu

Judith Pannell, Title IX Coordinator for Students
(404) 727-4079
jpanne2@emory.edu

Nicole Babcock, Interim Title IX Coordinator for Faculty and Staff
(404) 727- 1280
nicole.babcock@emory.edu

Reporting (Alleged) Sexual Harassment

Who can report?

- “**Any person** may report sex discrimination, including sexual harassment (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute sex discrimination or sexual harassment)” § 106.8(a)
 - Complainant
 - Third Party (“such as an alleged [complainant’s] friend or a bystander witness”; “e.g., the complainant’s parent, friend, or peer”)

85 FR 30108; 85 FR 30040

Reporting (Alleged) Sexual Harassment

Who can report?

- Institutions may permit anonymous/blind reporting
 - “[N]otice conveyed by an anonymous report may convey actual knowledge to the recipient to trigger a recipient’s response obligations”
 - “Nothing in the final regulations precludes a recipient from implementing reporting systems that facilitate or encourage an anonymous or blind reporting option”
- Note: ability to respond, i.e. offer supportive measures, or to consider initiating a grievance process will be affected by whether the report disclosed the identity of the complainant or respondent

85 FR 30132-33

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- “In cases where Prohibited Conduct is reported to the Title IX Coordinators or a Deputy Title IX Coordinator by someone (*for example, a faculty member, resident advisor, friend, roommate or coworker*) other than the [Complainant], the Title IX Coordinator will promptly notify the impacted Student, Employee, or Third Party that a report has been received and will provide information about available resources.”
- “This Policy will *apply in the same manner* as if the impacted Student, Employee, or Third Party had made the initial report. The Title IX Coordinator will make every effort to meet with the impacted Student, Employee, or Third Party to discuss available options and on-campus and off-campus resources.”
- “The Department of Title IX will handle reports from *anonymous sources* in the same manner.”

Reporting (Alleged) Sexual Harassment

Who must report?

- “[R]ecipients have discretion to determine which of their employees should be mandatory reporters, and which employees may keep a postsecondary student’s disclosure about sexual harassment confidential.” 85 FR 30108

At Emory

Responsible Employees

- Responsible Employees are **required to promptly share** with the Title IX Coordinators **all details** they receive in the **scope of their employment** about Prohibited Conduct.
- Failure by a Responsible Employee to promptly share with the Department of Title IX all details they receive in the scope of their employment about Prohibited Conduct may subject them to **appropriate discipline**, up to and including removal from their position.

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Responsible Employees

- (1) University Employees (including Faculty and Staff);
- (2) Resident Advisors (“RAs”); and
- (3) Teaching Assistants.

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~~Responsible Employees~~

- (1) CAPS
- (2) Office of Spiritual and Religious Life
- (3) Student Health Services
- (4) Emory Ombuds Office
- (5) Faculty and Staff Assistance Program

Reporting (Alleged) Sexual Harassment

How to Report

- In person
- Mail
- Telephone
- Email
- Using Title IX Coordinator's published contact information

***Any means that results in the Title IX
Coordinator receiving a verbal or written
report***

Responding to a Report

Once the institution has actual knowledge of allegations of sexual harassment the Title IX Coordinator must:

- 1. promptly contact the complainant to discuss the availability of supportive measures,**
- 2. consider the complainant's wishes with respect to supportive measures,**
- 3. inform the complainant of the availability of supportive measures with or without the filing of a formal complaint,**
and
4. explain to the complainant the process for filing a formal complaint.

§ 106.44(a)

SUPPORTIVE MEASURES

What are Supportive Measures?

- Non-disciplinary, non-punitive individualized services,
- offered as appropriate, as reasonably available, and without fee or charge,
- to the complainant or the respondent,
- including as 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.

§ 106.45(a)(3)

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Process & Oversight

- Flexibility to determine *how* to process requests for supportive measures
- The burden of arranging & enforcing supportive measures remains on the institution not on a party
- Title IX Coordinator must remain responsible for coordinating effective implementation . . .

Process & Oversight

- Title IX Coordinator must:
 - Serve as the point of contact for parties
 - Ensure that the burden of navigating administrative requirements does not fall on the parties
- Title IX Coordinator may:
 - Rely on other campus offices/administrators to *actually provide* supportive measures

Process & Oversight

- Select & implement measures:
 - Meet one or more of the stated purposes (i.e. restore/preserve equal access; protect safety; deter sexual harassment)
 - Within the stated parameters (i.e. not punitive/disciplinary/unreasonably burdensome)
- Flexibility based on (1) specific facts and circumstances; and (2) unique needs of the parties in individual situations

What are Supportive Measures?

- Non-disciplinary, non-punitive individualized services,
- offered as appropriate, as reasonably available, and without fee or charge,
- **to the complainant or the respondent,**
- including as 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.

§ 106.45(a)(3)

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To Whom and When?

The Complainant

- Must be discussed with/offered to every complainant **promptly** upon receipt of actual notice (including a report) § 106.44(a); 85 FR 30180
 - “Section 106.44 *obligates* a recipient to offer supportive measures to every complainant” 85 FR 30266
 - If you do not provide supportive measures to the Complainant, you must document why that response was not clearly unreasonable in light of the known circumstances (e.g. because complainant did not wish to receive supportive measures or refused to discuss measures with the Title IX Coordinator”) 85 FR 30266
- Discretion to continue providing measures after a finding of non-responsibility

To Whom and When?

The Respondent

- “There is no corresponding obligation to offer supportive measures to respondents [at reporting], rather, recipients *may* provide supportive measures to respondents.” 85 FR 30266
- *Permitted* before or after a formal complaint is filed. 85 FR 30185
 - Recommended discussion after formal complaint (at least)
 - Consider also that the respondent may request supportive measures at any point
- Discretion to continue providing after a finding of non-responsibility

At Emory

“Supportive Measures may also be requested by and made available to Respondents, witnesses, and other impacted members of the University community. Requests for supportive measures shall be submitted in writing to the Title IX Coordinator for Students or the Title IX Coordinator for Faculty and Staff, who will consider these requests on a case-by-case basis.”

Supportive Measures

- Non-disciplinary, non-punitive,
- **individualized services offered as appropriate, as reasonably available, and without fee or charge,**
- to the complainant or the respondent,
- including as 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.

§ 106.45(a)(3)

Individualized & Reasonably Available

- Complainant's wishes must be considered after a report
- Case-by-case basis
- “Reasonable efforts” standard from Clery/VAWA might be helpful

Supportive Measures

- **Non-disciplinary, non-punitive,**
- individualized services offered as appropriate, as reasonably available, and without fee or charge,
- to the complainant or the respondent,
- including as 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.

§ 106.45(a)(3)

Non-disciplinary & Non-punitive

- Institutions cannot “treat a Respondent as though accusations are true before the accusations have been proved” 85 FR 30267
- “The final regulations prohibit a recipient from taking disciplinary action, or other action that does not meet the definition of a supportive measure, against a respondent without following a [compliant] grievance process” 85 FR 30267, n.1097

Supportive Measures

- Non-disciplinary, non-punitive,
- individualized services offered as appropriate, as reasonably available, and without fee or charge,
- to the complainant or the respondent,
- including as **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.**

§ 106.45(a)(3)

Designed to Restore/Preserve Equal Access

“Designed to” ≠ “Necessarily Do”

- Measures should be intended to help a party retain equal access to education
- Protection against unfair imposition of liability (e.g. where “underlying trauma from a sexual harassment incident still results in a party’s inability to participate in an education program or activity”)

Goals / Purpose

- Restore or preserve equal access to the recipient's education program or activity:
 - E.g., help to stay in school, stay on track academically (85 FR 30088)
 - Protect the safety of all parties or the recipient's educational environment
 - Deter sexual harassment

No “unreasonable burden”

- Protect each party from a request from the other for “measures that would unreasonably interfere with either party’s educational pursuits” 85 FR 30180
- “Does not bar all measures that place *any* burden on a respondent” 85 FR 30267; 85 FR 30180 ([or complainant](#))

No “unreasonable burden”

- **Does not mean** “proportional to the harm alleged”
- **Does not mean** “least burdensome measures” possible
- **May be** (un)reasonable to make housing/schedule adjustments or to remove a party from an extracurricular/athletic pursuit (85 FR 30182)
 - Fact-specific determination
 - Take into account the nature of the educational programs, activities, opportunities, and benefits in which a party is participating . . . not limited to academic pursuits

Document the reasons why a particular supportive measure was not appropriate, even though requested . . . including by documenting the assessment of burden

Punitive + Unreasonably Burdensome

- The possible sanctions described/listed in a grievance procedure constitute actions the institution considers “disciplinary”
- Those sanctions thus should not be supportive measures

Supportive Measures ≠ Sanctions

- Certain actions are inherently disciplinary/punitive/unreasonably burdensome even if not listed as sanctions in grievance procedure:

Suspension, Expulsion, Termination ≠ Supportive Measures

85 FR 30182 (*but see* emergency removal & administrative leave)

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One-Way No Contact Orders

- Require a fact-specific inquiry
- Must be carefully crafted
- For example:
 - Help enforce a restraining order, preliminary injunction, or other order of protection issued by a court
 - Doesn't unreasonably burden the other party

Mutual No Contact Orders

- Limit interactions, communications, contact between the parties
- No communication:
 - Likely would not unreasonably burden either party
 - May avoid more restrictive orders (or measures)
- No physical proximity:
 - Requires a fact-specific analysis to assess, among other things, the burden
 - Consider alternatives to a no contact order

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- Academic support services and accommodations, including the ability to reschedule classes, exams and assignments, transfer course sections, or withdraw from courses without penalty;
 - Academic schedule modifications (typically to separate Complainant and Respondent);
 - Work schedule or job assignment modifications (for University employment);
 - Changes in work or housing location;
 - An escort to ensure safe movement on campus;
 - On-campus counseling services and/or assistance in connecting to community-based counseling services;
 - Assistance in connecting to community-based medical services;
- No contact directives (to instruct individuals to stop all attempts at communication or other interaction with one another)
 - Temporarily limiting an individual's access to certain University facilities or activities;
 - Work schedule or job assignment modifications, including suspending employment with or without pay, consistent with any applicable written procedures (for University employment);
 - Information about and/or assistance with obtaining personal protection orders;
 - Leaves of absences;
 - Increased monitoring and security of certain areas of the campus; or
 - A combination of any of these measures.

Confidentiality

Must be kept confidential unless confidentiality would impair provision

- Complainant thus may obtain supportive measures while keeping identity confidential from respondent (and others)
 - Unless disclosure is necessary to provide the measures (e.g. where a no-contact order is appropriate)

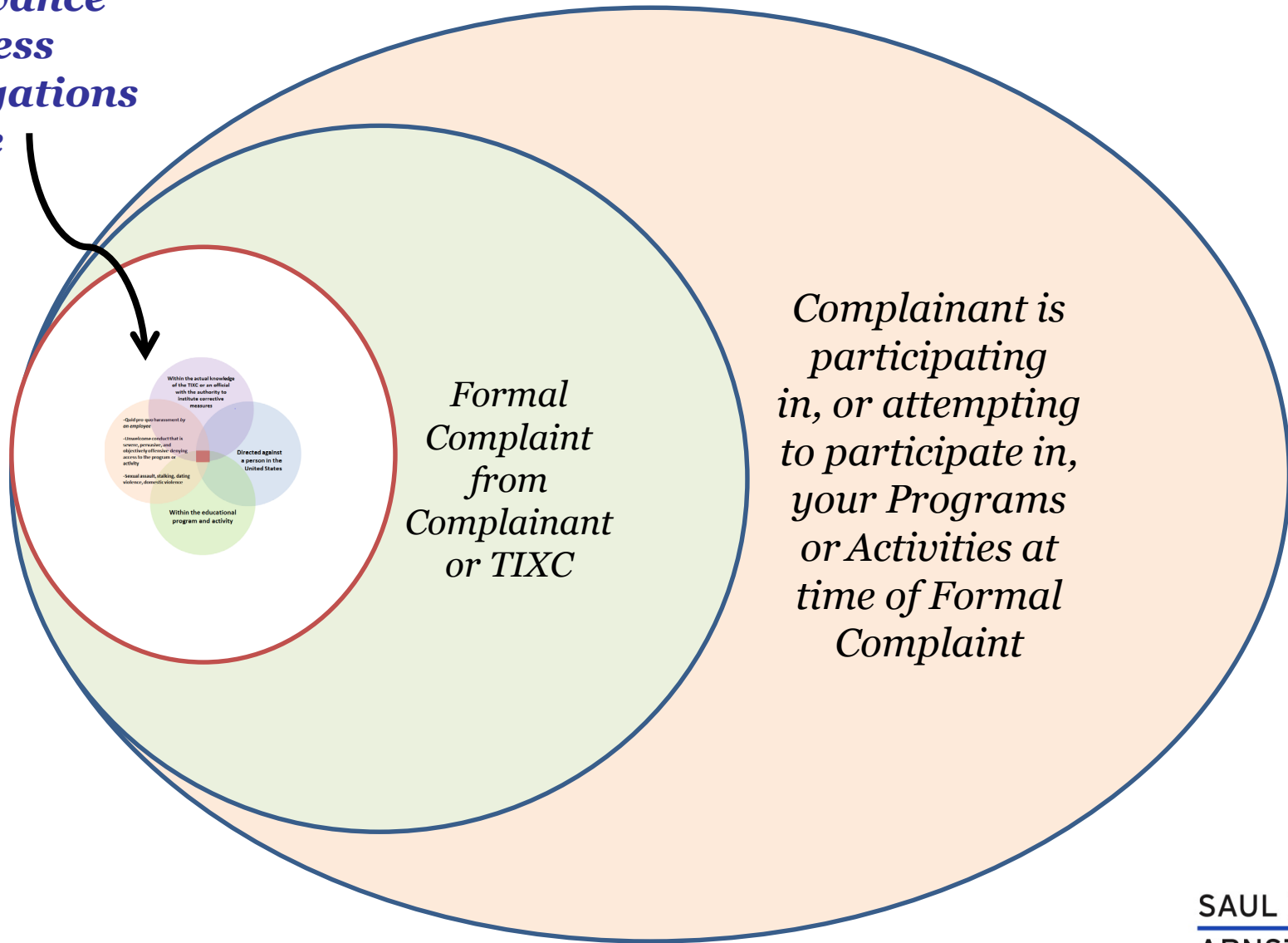
Emergency Removal / Administrative Leave

- The University may employ an **emergency removal process** if there is an **immediate threat to the physical health or safety** of any students or other individuals arising from the allegations of sexual harassment.
- The University may place a non-student employee on **administrative leave** during the pendency of a grievance process.
 - ****Employee may not be placed on administrative leave unless and until a Formal Complaint is filed**

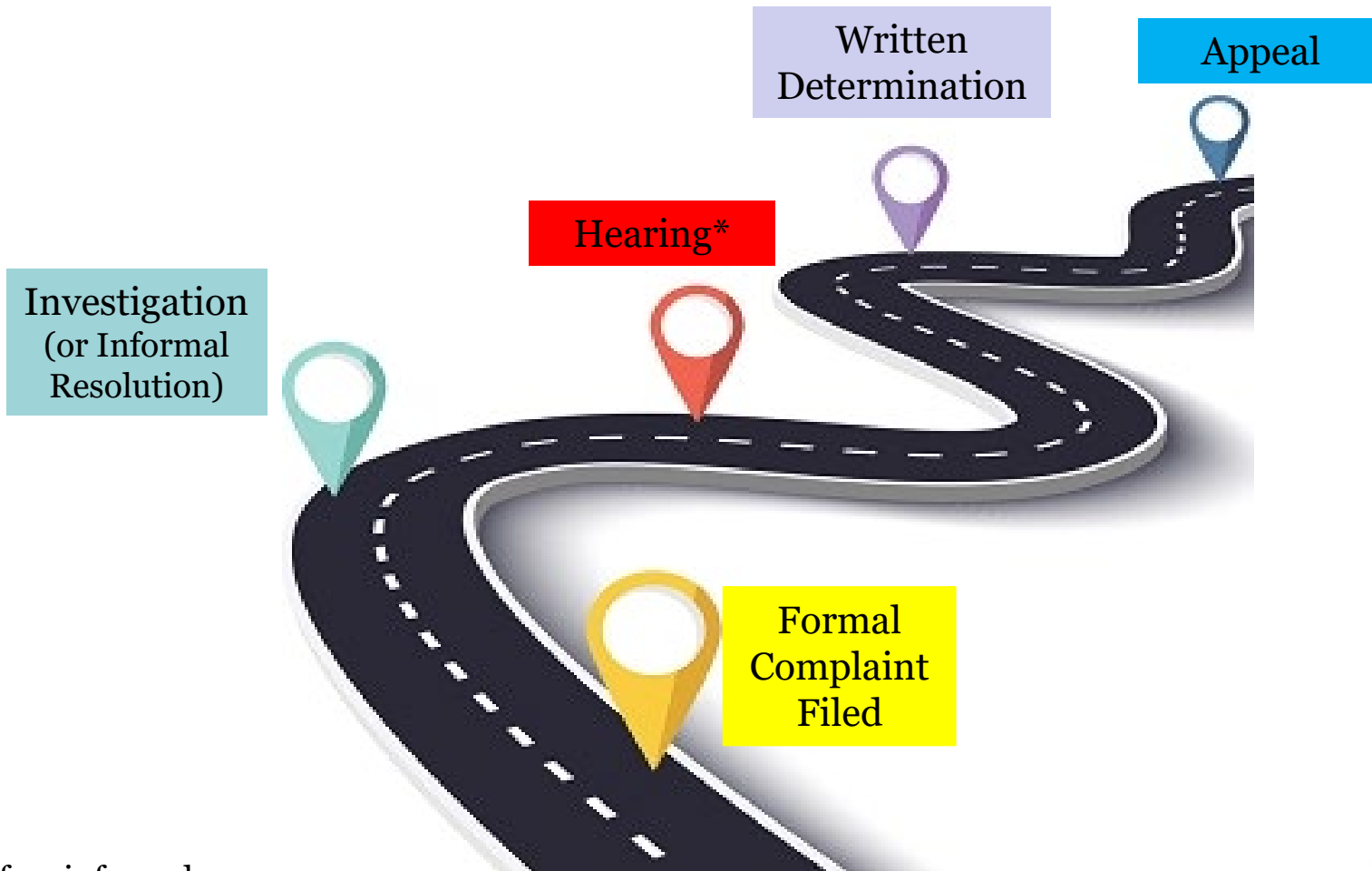
§ 106.44(c), (d)

Formal Complaint through the Investigation Stage

**§106.45
Grievance
Process
Obligations
Arise**



Roadmap: Grievance Process



*If no informal resolution is reached

Formal Complaint

What is Formal Complaint?

“[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.”

§ 106.30

Formal Complaint

Who can file?

- Complainant may file Formal Complaint by signing document; or
 - University *must* investigate when Complainant desires the action
- Title IX Coordinator may sign Formal Complaint
 - If the Title IX Coordinator has determined on behalf of the University that an investigation is needed

§ 106.30; 85 FR 30131 n. 580

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Formal Complaint

In other words, **complainant must assent** or the **Title IX Coordinator must believe it is necessary**.

- “The formal complaint requirement ensures that a grievance process is the result of an intentional decision on the part of either the complainant or the Title IX Coordinator.”

85 FR 30130

At Emory

- The Title IX Coordinator will decide whether to grant requests not to investigate [a] report or to keep the Complainant's identity confidential **in light of the potential threat(s) of harm to the Complainant and/or the campus community.**
- In determining whether to honor the request, the Title IX Coordinator will consider the **seriousness** of the alleged Prohibited Conduct, the **Complainant's age**, the Respondent's **disciplinary history**, and the parties' rights under the Family Educational Rights and Privacy Act (**FERPA**).

Formal Complaint

If the Title IX Coordinator signs the Formal Complaint

- Title IX Coordinator is not a complainant or otherwise a party
- Complainant remains the party to the action
- Complainant has right to refuse to participate in grievance process § 106.71

Formal Complaint

No anonymous filing:

“A complainant...**cannot file a formal complaint anonymously** because § 106.30 defines a formal complaint to mean a document or electronic submission...that contains the complainant’s physical or digital signature or otherwise indicates that the complainant is the person filing the formal complaint. The final regulations require a recipient to send written notice of the allegations to both parties upon receiving a formal complaint. The written notice of allegations under § 106.45(b)(2) must include certain details about the allegations, **including the identity of the parties**, if known.”

85 FR 30133.

Formal Complaint

How to File:

“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.**”

§ 106.30

Formal Complaint

Where to File:

- “A formal complaint may be filed with the Title IX Coordinator”
 - At the Title IX Office
 - Online submission system
 - Via email or mail to the Title IX Coordinator’s contact address/email

*Must consist of a *written document*

85 FR 30137

Formal Complaint

When to file:

- No set time limit from date of allegations to filing (no statute of limitations)
- “[The Department] decline[s] to impose a requirement that formal complaints be filed ‘without undue delay’”
 - Doing so would be “unfair to complainants” because “for a variety of reasons complainants sometimes wait various periods of time before desiring to pursue a grievance process in the aftermath of sexual harassment”

85 FR 30127

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& LEHR^{LLP}

Formal Complaint

When to file:

- At the time the complaint is filed, the complainant **must be participating in or attempting to participate in** the recipient's education program or activity.

Formal Complaint

Why file:

- A Formal Complaint must be filed before the University can commence an investigation (Formal Resolution) or the Informal Resolution process

Formal Complaint

Fulfill Title IX Obligation

- Recipients' **obligation to respond** to reports of sexual harassment promptly in a way that is not clearly unreasonable in light of the known circumstances **extends to recipients' processing of a formal complaint**, or document or communication that purports to be a formal complaint.

85 FR 30135-30136

Evaluating Formal Complaint: Mandatory Dismissal

- When a Formal Complaint is filed, the Title IX Coordinator **evaluates** the Formal Complaint
- If one (or more) of the following conditions is **not met**, the Title IX Coordinator **must dismiss** the Formal Complaint for Title IX purposes:
 - Conduct alleged, if true, does not meet § 106.30 sexual harassment definition;
 - Conduct alleged did not take place within the University's educational program or activity;
 - Conduct alleged is not perpetrated against a person in the United States; **or**
 - At time of filing Formal Complaint, Complainant is not participating in or attempting to participate in the University's programs or activities

Evaluating Formal Complaint: Dismissal

“[A mandatory] dismissal does **not preclude** action under another provision of the recipient’s code of conduct”

At Emory

Mandatory Dismissal will occur if, in their discretion, after undertaking the assessment above, the Title IX Coordinator determines that the conduct alleged in the Formal Complaint (1) would not constitute Title IX Misconduct Conduct, even if true; (2) did not occur against a person in the United States; and (3), or did not take place in the programs or activities of the University.

Dismissal of a Formal Complaint on this basis does not preclude action under another applicable policy. In the event of dismissal, the Title IX Coordinators (for Students or for Faculty, and Staff) may refer the matter to another office or channel through a separate conduct procedure for consideration under another University policy. Matters will be channeled as follows:

- Matters in which the Respondent is a Student will be addressed pursuant to the grievance procedures outlined in [Appendix B](#) of this policy.
- Matters in which the Respondent is an Employee will be referred to the Department of Equity and Inclusion.

Evaluating Formal Complaint: Discretionary Dismissal

- If one (or more) of the following conditions is **not met**, the Title IX Coordinator may dismiss the Formal Complaint for Title IX purposes:
 - Complainant withdraws Formal Complaint or allegations in writing;
 - Respondent is no longer enrolled or employed by the University; or
 - Specific circumstances prevent the University from gathering evidence sufficient to reach a determination regarding responsibility.

§ 106.45(b)(3)(ii)

Evaluating Formal Complaint: Notice & Opportunity to Appeal

Dismissal Notice & Right to Appeal

- Upon a mandatory or discretionary dismissal, the University must promptly send written notice of the dismissal and reason(s) therefor simultaneously to the parties. 106.45(b)(3)(iii).
- Both parties must be provided equal right to appeal a dismissal decision. 106.45(b)(8).

At Emory: "Challenges to dismissals must be submitted in writing to the University Title IX Coordinator within seven (7) business days from the day the parties are notified about the dismissal. The University Title IX Coordinator will review the materials within five (5) business days of receipt of the challenge and may affirm or deny the original decision. The University Title IX Coordinator's determinations on dismissals are final and not appealable. Both parties shall receive simultaneous written notice of the outcome of the appeal."

Evaluating Formal Complaint: Consolidation

- University **may consolidate** multiple Formal Complaints (§ 106.45(b)(4))
 - Same facts or circumstances involving multiple respondents or multiple complainants
 - Allegations of conduct that are temporally or logistically connected
- University **may consolidate** or **refer** allegations implicating other policies

Formal Complaint: Written Notice

- After a Formal Complaint is filed, the University must **simultaneously send both parties written notice of allegations, containing the following:**
 - Notice that the informal and formal resolution processes **comply with the requirements of Title IX;**
 - Notice of the **allegations potentially constituting sexual harassment**, providing sufficient detail for a response to be prepared before any initial interview, including (1) identities of the parties, if known; (2) the conduct allegedly constituting sexual harassment; and (3) the date and location of the alleged incident, if known;

Formal Complaint: Written Notice

[CONT.]

- A statement that the respondent is **presumed not responsible** for the allegations and a determination regarding responsibility is made at the conclusion of the grievance process;
- Notice that each party **may have an advisor** of their choice who may be, but is not required to be, an attorney and who may inspect and review evidence;
- **Warning about false statements** if the recipient's code of conduct prohibits students from making false statements or submitting false statements during a disciplinary proceeding.

106.45(b)(2)(i)(A), (B)

Formal Complaint: Written Notice

[CONT.]

- Notice that **punishing a party** for making a false statement is permitted when the recipient has concluded that the party made a materially false statement in **bad faith**. The University may not conclude that a complainant made a false statement solely because there was a determination of no responsibility.

106.45(b)(2)(i)(B), 85 FR 30576

Informal Resolution

- At any time prior to reaching a determination regarding responsibility, we may facilitate an informal resolution process that does not involve a full investigation and adjudication
 - *May not require the parties to participate in an informal resolution process; and*
 - *May not offer an informal resolution process unless a formal complaint is filed*

Informal Resolution

- Any party has the right to withdraw from the informal resolution process and resume the grievance process with respect to the formal complaint
- *May not offer or facilitate an informal resolution process to resolve allegations that an employee sexually harassed a student*

Informal Resolution

To facilitate an informal resolution, we must:

- Obtain the parties' voluntary written consent; and
- Provide written notice to the parties 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; and
 - Any consequences resulting from participating in the informal resolution process, including records that will be maintained or could be shared.

At Emory

- Administrative Resolution
- Mediation
- Restorative Justice Circles

Gather & fairly summarizing evidence

INVESTIGATIONS

Investigation

The University **must investigate** allegations in a **Formal Complaint**

- *Remember: Formal Complaints request that the “recipient investigate the allegation of sexual harassment.”*

§ 106.30

At Emory

Title IX Coordinator will:

- will appoint an investigator; and
- share the Complainant's and Respondent's names and contact information with the investigator.

The Investigator will:

- reach out to the parties to introduce themselves; and
- promptly begin the investigation.

Notice of Meetings

Parties must be given **written notice** of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings where the party's participation in such meetings is invited or expected. The written notice to the parties of such meetings must be provided with **sufficient time** for the party to prepare to participate.

§ 106.45(b)(5)(v)

Right to Discuss Investigation

The institution may **not restrict** either party's ability to (1) discuss **the allegations** under investigation or (2) gather and present relevant evidence.

§ 106.45(b)(5)(iii)

Advisors' Participation

Both parties must have the same opportunity to be ***accompanied*** by the advisor of their choice to any meeting or proceeding during the investigation process. The institution may ***not*** limit the ***presence or choice*** of an advisor at any meeting.

§ 106.45(b)(5)(iv)

Step One: Gathering Evidence

- The Investigator must gather **all available evidence sufficient to reach a determination regarding responsibility.**
- The investigator should:
 - undertake a thorough search,
 - for relevant facts and evidence,
 - while operating under the constraints of completing the investigation under designated, reasonably prompt timeframes
 - and without powers of subpoena.

85 FR 30292

At Emory

Evidence includes any facts or information presented in support of an assertion and may include text messages, email exchanges, timelines, receipts, photographs, etc.

Step One: Gathering Evidence

The burden of proof and the **burden of gathering evidence** sufficient to reach a determination regarding responsibility rests on the recipient and not on the parties.

§ 106.45(b)(5)(i)

Step One: Gathering Evidence

- Each party must have an equal opportunity to **present witnesses**, which includes both fact witnesses and expert witnesses.
- Similarly, each party must have an equal opportunity to present **inculpatory and exculpatory** evidence.

§ 106.45(b)(5)(ii).

At Emory

- The investigator **will ask each party** to provide information relating to the event(s) in question, and to provide a list of witnesses and/or any relevant documents or evidence.
- The Complainant, the Respondent, and the witness(es) are permitted to provide other relevant evidence to the investigator.

Step One: Gathering Evidence

“Cannot require, allow, rely upon, other use . . . Evidence that constitute[s] or seek[s] disclosure of, information protected under a **legally recognized privilege**, unless the person holding such privilege has waived the privilege”

Step One: Gathering Evidence

- **Cannot** access, consider, disclose, or otherwise use a party's records 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 party provides voluntary, written consent.

§ 106.45(b)(5)(i)

Step Two: Review of and Response to Evidence

- Both parties (and advisors) must be given equal opportunity to *inspect and review* any evidence obtained during the investigation that is *directly related* to the allegations in the formal complaint
- Evidence must be sent to each party, and their advisors (if any), in an electronic format or hard copy
 - @Emory = electronic

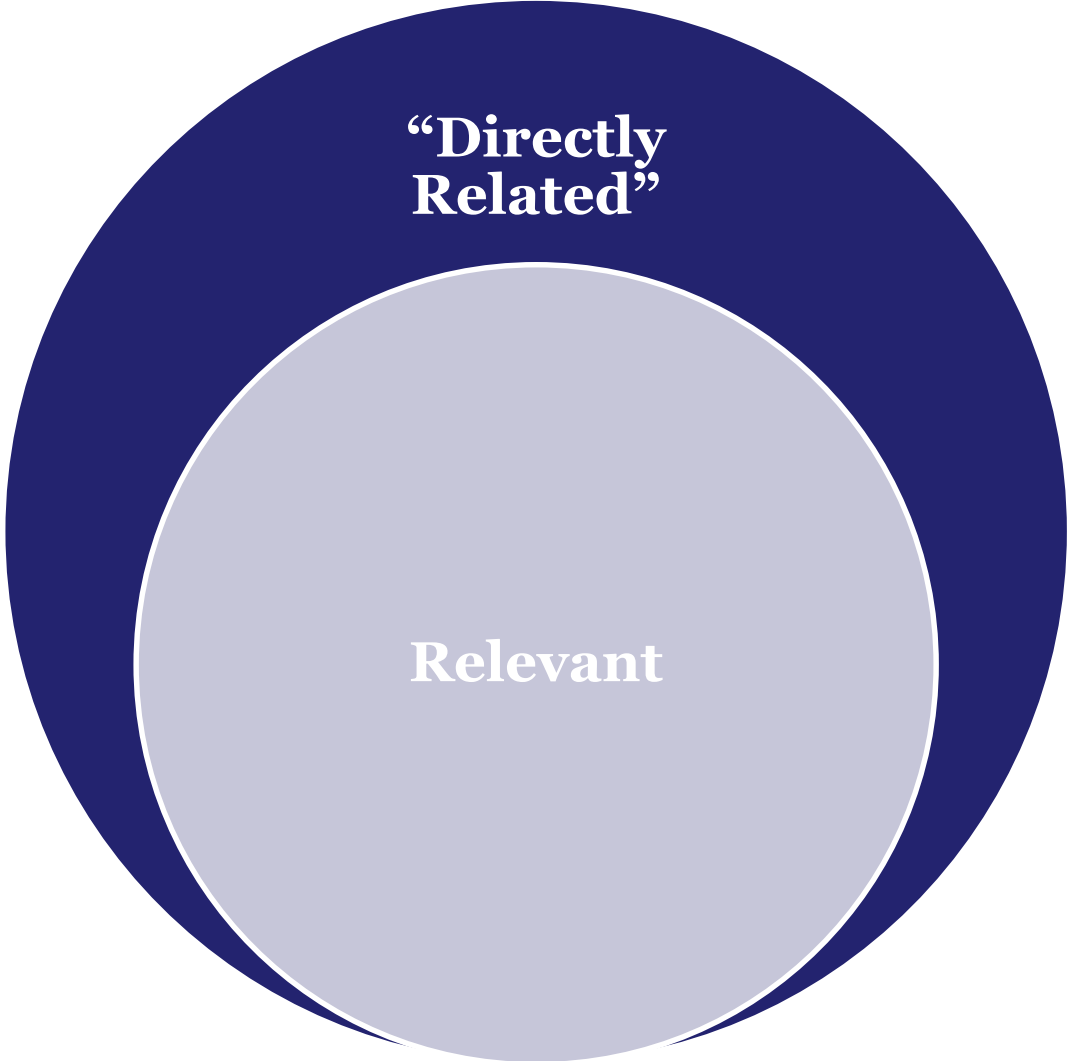
§ 106.45(b)(5)(vi)

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Step Two: Review of and Response to Evidence

- Evidence that must be shared includes:
 - evidence upon which recipient does not intend to rely in reaching a responsibility determination
 - Inculpatory & exculpatory evidence, whether obtained from a party or other source

Note: all of the evidence that subject to review and response must be made available at the hearing



Step Two: Review of and Response to Evidence

- Parties must have at least 10 days to respond in writing to the “directly related” evidence (if they so choose) to:
 - Clarify ambiguities or correcting where the party believes the investigator did not understand
 - **Assert which evidence is “relevant” and should therefore be included in the Investigative Report**
- The investigator must consider any written responses before finalizing the investigative report

Step Three: The Investigative Report

After the parties have had the opportunity to inspect, review, and respond to the evidence, the Investigator must –

- Create an investigative report that **fairly summarizes relevant evidence** and,
- At least 10 days prior to a hearing, send the report to each party and their advisor (if any) for their review and written responses.
 - (Hard copy or electronic format)

§ 106.45(b)(5)(vii)

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Step Three: The Investigative Report

“[T]hese final regulations do not prescribe the contents of the investigative report **other than specifying its core purpose of summarizing relevant evidence.**”

85 FR 30310

At Emory

- Investigator prepares a draft Report of Investigation that fairly summarizes relevant evidence;
- Title IX Coordinator reviews the draft;
- TIXC for Students/TIXC for Faculty and Staff may direct the investigator to ask further clarifying questions of the parties or witnesses to supplement the Report;

At Emory

- Title IX Coordinator sends (revised) draft to the parties & advisors in electronic format;
- Parties have at least 10 days to respond;
- Information provided by the parties in response is appended to the Report; and
- The Report is finalized.

Step Three: The Investigative Report

All evidence gathered



Evidence directly related to the allegations in the formal complaint

(Evidence sent to parties/advisors)



Relevant evidence

(Evidence included in the Investigative Report)

What is Relevant Evidence?

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

85 FR 30247 n. 1018

Purpose of Requirement to Summarize Relevant Evidence

“The requirement for recipients to summarize and evaluate relevant evidence, . . . appropriately directs recipients to focus investigations and adjudications on evidence pertinent to **proving whether facts material to the allegations under investigation are more or less likely to be true (i.e., on what is relevant).**”

85 FR 30294

What is Relevant Evidence?

rel·e·vant | \ 're-lə-vənt \ adj.

a: having significant and demonstrable bearing on the matter at hand

b: affording evidence tending to prove or disprove the matter at issue or under discussion

// *relevant* testimony

Prohibition on Exclusion of Relevant Evidence

May not:

- Adopt an “undue/unfair prejudice” rule. 85 FR 30294
- Adopt a rule prohibiting character, prior bad acts, evidence. 85 FR 30248
- Exclude certain types of relevant evidence (*e.g.* lie detector test results, or rape kits). 85 FR 30294

What is Not Relevant?

- The following is considered **per se not relevant** (or otherwise excluded):
 - Complainant's prior sexual behavior (subject to two exceptions) or predisposition;
 - Any party's medical, psychological, and similar treatment records without the party's voluntary, written consent; and
 - Any information protected by a legally recognized privilege, unless waived.

85 FR 30293 n. 1147

“Rape Shield” Provision

Questions and evidence about the complainant’s **sexual predisposition** or prior **sexual behavior** are not relevant, **unless** such questions and evidence . . .

1. Are offered to prove that someone other than the respondent committed the conduct alleged by the complainant; or
2. Concern specific incidents of the complainant’s prior sexual behavior with respect to the respondent and are offered to prove consent.

“Rape Shield” Provision

“[Q]uestions and evidence subject to the rape shield protections are ‘not relevant,’ and therefore the rape shield protections apply wherever the issue is whether evidence is relevant or not. [The regulation] requires review and inspection of the evidence ‘directly related to the allegations’ that universe of evidence is *not screened for relevance*, but rather is measured by whether it is ‘directly related to the allegations.’ However, the 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.**”

85 FR 30353

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Challenges to Investigator's Relevancy Determinations

“A party who believes the investigator reached the wrong conclusion about the relevance of the evidence **may argue** again to the decision-maker (i.e., as part of the party's response to the investigative report, and/or at a live hearing) about whether the evidence is actually relevant[.]”

85 FR 30304

Bias/Conflict of Interest

- “A recipient must ensure that Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process, receive training on . . . how to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias.”

Bias

- bi·as | \ 'bī-əs\ **noun**
- **1a:** an inclination of temperament or outlook *especially* : a personal and sometimes unreasoned judgment : PREJUDICE

Decision-maker responsibilities

THE HEARING

The Hearing Officer

- Serve impartially
 - Avoid prejudgment of the facts at issue, bias, and conflict of interest
- Preside over the hearing
- Objectively evaluate all relevant evidence
 - Inculpatory & exculpatory
- Independently reach a determination regarding responsibility
 - Cannot give deference to an investigation report

At Emory

- Within 5 business days of the Final Report of Investigation, the Title IX Coordinator will select the date, time, and location of the hearing in consultation with the Hearing Officer
- Parties given at least 10 business days' notice (absent agreement to shorten or extraordinary circumstances)

At Emory

- The Hearing Officer (and/or the Department of Title IX) may establish pre-hearing procedures relating to issues such as scheduling, hearing procedures, witness and advisor participation and identification, structure, advance determination of the relevance of certain topics, and other procedural matters.
- The Hearing Officer will communicate with the parties prior to the hearing with respect to these issues and establish reasonable, equitable deadlines for party participation/input.

The Hearing

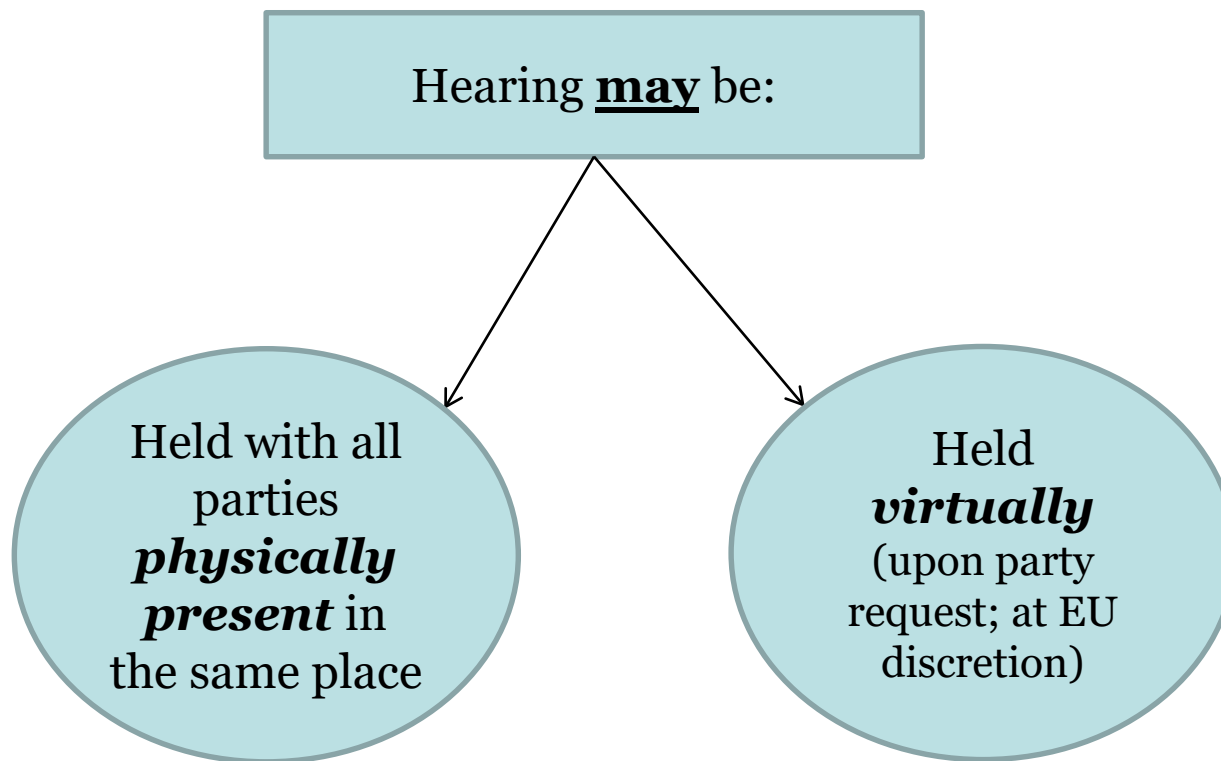
- Live
- With Cross-Examination

Opportunity for Hearing Officer to ask questions of parties/witnesses, and to observe how parties/witnesses answer questions posed by the other party

- Results in a determination of responsibility

Live Hearing: Location

Hearing must be live



Living Hearing: Recording

- Must create an **audio or audiovisual recording, or transcript**, of the live hearing. § 106.45(b)(6)(i).
- The recording or transcript must be made available to the parties for inspection and review.
 - “Inspection and review” **does not** obligate an institution to send the parties a copy of the recording or transcript. 85 FR 30392.

At Emory

The Process:

1. Call to order; state date & time for the record
2. Parties identify themselves
3. Hearing Officer states the conditions of the hearing
4. Parties asked to state any objections to proceeding

At Emory

The Process [cont.]:

5. Opening statements
6. Complainant presents evidence/calls witnesses
7. H.O. option of questioning the Complainant/witnesses; Respondent follows
8. Respondent presents evidence/calls witnesses
9. H.O. option of questioning the Respondent/witnesses; Complainant follows

At Emory

The Process [cont.]:

5. Closing statements
6. H.O. concludes the hearing
7. H.O. enters closed deliberation

Presentation of Relevant Evidence

“[T]hroughout the grievance process, a recipient must not restrict the ability of either party . . . to gather and **present relevant evidence.**”

§106.45(b)(5)(iii).

Presentation of Relevant Evidence

“The recipient must make **all evidence** [directly related to the allegations] 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.”

§106.45(b)(5)(vi)

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Relevance Determinations

- “Ordinary meaning of relevance should be applied throughout the grievance process.” 85 FR 30247, n. 1018.
- “Fact determinations reasonably can be made by layperson recipient officials impartially applying logic and common sense.” 85 FR 30343
- Relevant evidence must include both inculpatory and exculpatory evidence. 85 FR 30314.

At Emory

- Hearing Officer has broad discretion.
- Certain categories of evidence will rarely, if ever, be relevant:
 - Character evidence;
 - Polygraph and other generally unreliable or unproven scientific evidence;
 - Speculation

Relevance Determinations

- The following evidence is always considered “**irrelevant**” (or otherwise not admissible):
 - Any party’s medical, psychological, and similar treatment records without the party’s voluntary, written consent;
 - Any information protected by a legally recognized privilege without waiver;
 - Complainant’s sexual predisposition or prior sexual behavior (subject to two exceptions); and
 - Party or witness statements that have not been subjected to cross-examination at a live hearing.

85 FR 30293 n. 1147

Rape Shield Provision

- Prohibits questions or evidence about a complainant's prior **sexual behavior**, with two exceptions. *See* 34 CFR § 106.45(b)(6).
- Deems all questions and evidence of a complainant's **sexual predisposition** irrelevant, with no exceptions. *See* 85 FR 30352.

Rape Shield Provision

- Intended to protect **complainants** from harassing, irrelevant questions.
- Does not apply to respondents
 - Questions and evidence about a respondent's sexual predisposition or prior sexual behavior are not subject to any special consideration, but rather must be evaluated based on relevancy, like any other question or evidence.

Rape Shield Provision

- What is “**sexual predisposition**”?
 - No definition in regulations or preamble
 - Advisory comment to Fed. R. Evidence 412 defines sexual predisposition as “the victim’s mode of dress, speech, or life-style.”

Rape Shield Provision

- What is “**sexual behavior**”?
 - No definition in final regulations or preamble.
 - Advisory comments to Fed. R. Evid. 412 explains that sexual behavior “connotes all activities that involve actual physical conduct, i.e., sexual intercourse and sexual contact, or that imply sexual intercourse or sexual contact.”

Rape Shield Provision

- There are two exceptions where questions or evidence of past sexual behavior are allowed:
- **Exception 1:** Evidence of prior sexual behavior is permitted if offered to prove someone other than the respondent committed the alleged offense.

Rape Shield Provision

- **Exception 2:** Evidence of prior sexual behavior is permitted if it is specifically about the complainant and the respondent **and** is offered to prove consent. 34 CFR § 106.45(b)(6).
- Does not permit evidence of a complainant's sexual behavior with anyone other than the respondent.

Rape Shield Provision

- No universal definition of “consent.”
- Each institution is permitted to adopt its own definition of “consent.”
- Thus, the scope of the second exception to the rape shield provision will turn, in part, on the definition of “consent” adopted by the institution.



Relevance & Mechanics of Questioning

- Questions asked → Must be **relevant**
 - “Ordinary meaning of relevance.” 85 FR 30247, n. 1012.
- Decision-maker determines whether question is relevant
 - And must explain its reasoning if a question is deemed not relevant. 85 FR 30343.

Questioning In Practice

- **Step 1, Question:** Advisor asks the question.
- **Step 2, Ruling:** Decision-maker determines whether question is relevant.
 - If not relevant, decision-maker must explain reasoning to exclude question.
 - If relevant, **Step 3:** Question must be answered.

Challenging Relevancy Determinations

- Parties **must** be afforded the opportunity to **challenge relevance determinations**. 85 FR 30249.
 - Erroneous relevancy determinations, if they affected the outcome of the hearing, may be **grounds for an appeal** as a “procedural irregularity”
- @ Emory: The Hearing Officer’s relevance determinations **are not subject to further objection or discussion** at the hearing
 - Failure to adhere to this rule may constitute a breach of decorum

Relevance and the role of advisors

ADVISORS AND CROSS- EXAMINATION

SAUL EWING
ARNSTEIN
& LEHR¹⁷¹

Cross-Examination

Cross-examination: Advisor asks other party and witnesses **relevant questions** and follow-up questions, including those challenging credibility

Cross-Examination

- Decision-maker must permit each party's **advisor** to **conduct cross-examination** of the other party and all witnesses
- Cross-examination may **not** be conducted by the parties themselves (only advisors)
- If a party does not have an advisor present at the hearing to conduct cross-examination, the institution **must provide an advisor** without fee or charge

Advisor of Choice

- Institutions cannot:
 - impose any limit on who a party selects as an advisor of choice;
 - set a cost “ceiling” for advisors selected by parties; or
 - charge a party a cost or fee for an assigned advisor. 85 FR 30341.

Qualifications of Advisor

- **No** particular expectation of skill, qualifications, or competence. 85 FR 30340.
- Advisors are **not** subject to the same impartiality, conflict of interest, or bias requirements as other Title IX personnel.
Id.

Qualifications of Advisors

- Institutions may not impose training or competency assessments on advisors of choice. 85 FR 30342.
- Regulations do not preclude institution from training and assessing the competency of its own employees whom it appoint as assigned advisors. *Id.*

@Emory –trained advisors offered

Advisor Required

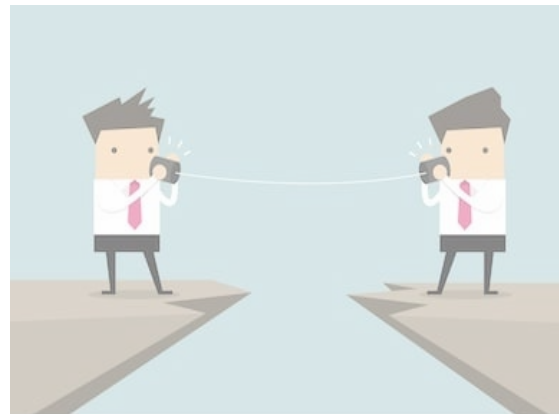
- Parties **may** have advisors throughout the process, and **must** have them at the hearing.
 - Advisor of choice
 - If a party does not select an advisor of choice, institution must assign an advisor for purposes of the hearing. 34 CFR § 106.45(b)(6)(i).

Role of Advisor

- Advisor must conduct **cross-examination** on behalf of party. § 106.45(b)(6)(i).
 - Whether advisors also may conduct **direct examination** is left institution's discretion, but any rule to this effect must apply equally to both parties. 85 FR 30342.
- Cross must be conducted directly, orally, and in real time by the party's advisor and never by a party personally. § 106.45(b)(6)(i).

Role of Advisor

- Cross “on behalf of that party” is satisfied where the advisor poses questions on a party’s behalf. 85 FR 30340.
- Regulations impose no more *obligation* on advisors than relaying a party’s questions to the other parties or witnesses. 85 FR 30341.



Role of (Assigned) Advisor

- Assigned advisors are not required to assume that the party's version of events is accurate, but still must conduct cross-examination on behalf of the party. 85 FR 30341.

Advisor at the Live Hearing

- Party cannot “fire” an assigned advisor during the hearing. 85 FR 30342.
- If assigned advisor refuses to conduct cross on party’s behalf, then institution is obligated to:
 - Counsel current advisor to perform role; or
 - Assign a new advisor. *Id.*

Limiting Advisor's Role

- You may apply rules (equally applicable to both parties) restricting advisor's active participation in non-cross examination aspects of the hearing or investigation process. 34 CFR § 106.45(b)(5)(iv).
 - Department declines to specify what restrictions on advisor participation may be appropriate. 85 FR 30298.

Decorum

- You cannot forbid a party from **conferring** with the party's advisor. 85 FR 30339.
- *But* you do have discretion to adopt rules governing the conduct of hearings.
- Purpose of rules re: decorum is to make the hearing process respectful and professional

Examples of Optional Rules of Decorum

- Remain seated
- No disruptions or manifestations of approval/disapproval (gestures, facial expressions, audible comments)
- No yelling, verbal abuse, name calling
- No profane/vulgar language (unless necessary as related to conduct/allegations at issue)

Decorum

- If **advisor of choice** refuses to comply with a recipient's rules of decorum → University may provide that party with an assigned advisor to conduct cross. 85 FR 30342.
- If **assigned advisor** refuses to comply with a recipient's rules of decorum → University may provide that party with a different assigned advisor to conduct cross. *Id.*

Decorum

- Institutions are free to enforce their own codes of conduct with respect to conduct other than Title IX sexual harassment. 85 FR 30342.
- If a party or advisor breaks code of conduct during a hearing, then the institution retains authority to respond in accordance with its code, so long as the recipient is also complying with all obligations under § 106.45. *Id.*

Impact of declining to submit to cross-examination

“HEARSAY”

Hearsay

- If a party or witness does not submit to cross-examination at the live hearing, then the **decision-maker cannot rely on any statement** of that party or witness in reaching a determination regarding responsibility.
- But, decision-makers cannot draw an inference as to responsibility based on a party or witness's refusal to answer.

At Emory

- “Statements” means **factual assertions** made by a party or witness.
- Statements might include factual assertions made during an interview or conversation, written by the individual making the assertions (including those found in a Formal Complaint), and memorialized in the writing of another (e.g. in an investigative report, police report, or medical record).
- Where evidence involves **intertwined statements** of both parties (e.g. a text message exchange or an email thread) and one party refuses to participate in the hearing or submit to questioning about the evidence while the other does participate and answer questions, the statements of only the participating party may be relied on by the Hearing Officer.
- A threat, verbal conduct that is itself harassment, or another non-factual assertion is not a “statement” for this purpose.

Hearsay

- Hearsay prohibition **does not apply** if the Respondent's statement, itself, constitutes the **sexual harassment at issue**.
 - The verbal conduct does not constitute the making of a factual assertion to prove or disprove the allegations of sexual harassment because the statement itself is the sexual harassment.

Hearsay

Exclusion of statements does not apply to a party or witness' refusal to answer questions *posed by the decision-maker*. 85 FR 30349.

If a party or witness refuses to respond to a decision-maker's questions, the decision-maker is *not precluded* from relying on that party or witness's statements

Retaliation

- A party cannot “wrongfully procure” another party’s absence
 - If institution has notice of that misconduct, it must remedy retaliation, which may include rescheduling the hearing with safety measures.

The Hearing Decision-Maker's Determination

THE OUTCOME

Outcome Determination

At the conclusion of the hearing, the Decision-maker must issue a written determination of responsibility

- @ Emory, the Hearing Officer shall issue the written determination within **15 business days** of the conclusion of the hearing
- @ Emory, preponderance of the evidence standard applies

Outcome Determination

- **Important considerations:**
 - The Respondent must be **presumed not responsible** for the alleged conduct until the determination regarding responsibility is made. §106.45(b)(1)(iv).
 - Outcome must be based on an objective evaluation of all **relevant evidence**—including both inculpatory and exculpatory—and not taking into account the relative “skill” of the parties’ advisors. §106.45(b)(1)(ii); 85 FR 30332
 - **Credibility determinations** may not be based on a person’s status as a Complainant, Respondent, or witness. §106.45(b)(1)(ii).

Written Determination - Key Elements

1. **Identification of the allegations** alleged to constitute sexual harassment as defined in § 106.30;
2. **The procedural steps taken** from receipt of the formal complaint through the determination regarding responsibility;
3. **Findings of fact** supporting the determination;
4. **Conclusions** regarding the application of the **University's policy** to the facts;
5. The Hearing Officer's **rationale for the result** of each allegation, including rationale for the determination regarding responsibility;
6. **Any disciplinary sanctions** the recipient imposes on the respondent, and **whether** the recipient will provide **remedies** to the complainant; and
7. Information regarding the **appeals process**. § 106.45(b)(7)(ii)

Written Determination – Sanctions and Remedies

- The written determination **must** include a statement of, and rationale for, the result as to each allegation, including any **disciplinary sanctions imposed on the respondent**, and *whether* **remedies** will be provided by the recipient **to the complainant**. §106.45 (b)(7)(ii)(E).

Equitable treatment ≠ “Strictly equal treatment”

- “[W]ith respect to remedies and disciplinary sanctions, strictly equal treatment of the parties does not make sense . . .” 85 FR 30242.
- To treat the parties **equitably**, a complainant must be provided with remedies where the outcome shows the complainant was victimized by sexual harassment; and a respondent must be afforded a fair grievance process before disciplinary sanctioning. *Id.*

Remedies

- Remedies must be designed to “restore or preserve equal access to the recipient’s education program or activity.” §106.45(b)(1)(i).
- The Department does not require or prescribe disciplinary sanctions after a determination of responsibility and leaves those decisions to the discretion of recipients, but recipients must effectively implement remedies. 85 FR 30063

Remedies Defined

- Final regs. do not provide a definition of “remedies.”
- May include the same services described as “supportive measures.” *See* 34 CFR § 106.30.
 - Unlike supportive measures, though, remedies may in fact burden the respondent, or be punitive or disciplinary in nature. § 106.45(b)(1)(i); 85 FR 30244.

Implementing Remedies

- The Title IX Coordinator is responsible for the “effective implementation of remedies.” 85 FR 30276.
- When remedies are included in the final determination, the complainant then communicates **separately** with the Title IX Coordinator to discuss appropriate remedies. 85 FR 30392.

At Emory

Sanctioning: Students

- Hearing Officer retains **sole discretion** to impose sanctions, but may consult with TIXC about sanction level
- **Factors** considered include:
 - nature and severity of the conduct at issue, as well as the circumstances surrounding the violation;
 - impact of the misconduct upon the Complainant;
 - prior disciplinary history of the Respondent (shared with the Hearing Officer only upon a finding of responsibility);
 - previous University responses to similar conduct;
 - impact on the Respondent of separating them from their education (when considering expulsion or suspension); and
 - interests of the University and its community.
- The sincerity demonstrated by the Respondent in their willingness to accept responsibility for their actions may be a mitigating factor in the determination of sanctions on a case-by-case basis.

At Emory

Sanctioning: Employees

- “**Appropriate Authority**” imposes sanctions
- **Factors** considered include:
 - Degree to which conduct was intentional or irresponsible
 - Severity/frequency of the conduct
- Sanctions imposed shall be adequate and sufficient to prevent conduct in the future

Simultaneous Delivery

- Title IX Coordinator provides the written determination to the parties **simultaneously**.
- The determination regarding responsibility becomes final either on the date that the University 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)(iii)

After the Hearing & Notice of Decision

APPEALS

Mandatory & Equal Appeal Rights

- University must offer both parties an appeal from a **determination regarding responsibility** and from an institution's **dismissal of a formal complaint** or any allegations therein (whether or not it is a mandatory or discretionary dismissal).
§106.45(b)(8)(i)
- Parties must have an **equal opportunity** to appeal any dismissal decision

§ 106.45(b)(8)(i)-(ii)

Grounds for Appeals

- The University **must offer both parties** an appeal on the following bases:
 - Procedural irregularity that affected the outcome of the matter;
 - New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter; and
 - The Title IX Coordinator, investigator(s), or decision-maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual complainant or respondent that affected the outcome of the matter.
- The University **may offer** an appeal equally to both parties on additional bases.

§ 106.45(b)(8)(i)-(ii)

Requirements for Appeals

Requirements for Appeals:

- Notify the other party in writing when an appeal is filed and implement appeal procedures equally for both parties (TIXC);
- 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;
- Ensure that the decision-maker(s) for the appeal complies with the standards set forth in paragraph (b)(1)(iii) of this section;
- Give both parties a reasonable, equal opportunity to submit a written statement in support of, or challenging, the outcome [of the initial determination];
- Issue a written decision describing the result of the appeal and the rationale for the result; and
- Provide the written decision simultaneously to both parties.

§106.45(b)(8)(iii)

At Emory

- Examine all documentation of the hearing
- Determine whether there is a reasonable basis for changing the outcome
- Issue a written determination of appeal
- May request that the TIXC take the following steps:
 - Affirm original finding & sanction
 - Affirm original finding, but issue a new sanction
 - Remand to the Hearing Officers to correct defect
 - Dismiss case if defect cannot be remedied by remand

Documenting Decisions & Record Keeping

DOCUMENTATION

Documentation: The Requirements

An institution **must** create and maintain records of any actions taken in response to a report or formal complaint of sexual harassment.

§106.45(b)(10)(ii)

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Documentation: The Requirements

- Document . . .
 - the basis for conclusion that response was not deliberately indifferent; and
 - that measures taken were designed to restore or preserve equal access to the education program or activity.

§106.45(b)(10)(ii)

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Documentation: Supportive Measures

- Requirement extends to decisions re: provision of supportive measures
- If an institution does not provide a complainant with supportive measures, then the institution must document the reasons why such a response was not “clearly unreasonable in light of the known circumstances.”
- Documentation of certain bases/measures does not limit the institution from providing additional explanations or detailing additional measures taken in the future.

§106.45(b)(10)(ii)

Document Retention

- The Department extended the three-year retention period to seven years. §106.45(b)(10)(i)
 - **Date of creation begins the seven-year period.**
85 FR 30411
- Harmonizes recordkeeping requirements with the Clery Act. 85 CFR 30410
- Institutions are permitted to retain records for a longer period of time.
 - E.g. seven years from creation of the last record pertaining to the case

Document Retention

Must maintain records of:

- Investigation;
- Any determination regarding responsibility;
- Audio or visual recording or transcript;
- Any disciplinary sanctions imposed on the respondent; and
- Any remedies provided to the complainant designed to restore or preserve equal access to the institution's educational program or activity.

§106.45(b)(10)(i)(A)

- Any appeal and the result.
- Any informal resolution and the result.

§106.45(b)(10)(i)(B)-(C)

- All materials used to train Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process.

§106.45(b)(10)(i)(D)

Document Retention: Investigations

- Any record the institution creates to investigate an allegation, regardless of later dismissal or other resolution of the allegation, must be maintained.
 - Even those records from “truncated investigations” that led to no adjudication because the acts alleged did not constitute sex discrimination under Title IX (dismissal)

§106.45(b)(10)(i)(A); 85 FR 30411

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Publication

- An institution must make training materials publicly available on its website.
 - If the institution does not maintain a website, the institution must make the materials available upon request for inspection by members of the public.
- *Goal*: Increase transparency and integrity of grievance process.