The Four Corners of Title IX Regulatory Compliance

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Nothing presented in this training is, or should be considered, legal advice!

Know when to consult legal counsel.

Introduction

Lake’s Four Corners of Title IX Regulatory Compliance

Four Corners Model

Organization and Management
Investigation, Discipline and Grievance Procedures

Title IX Compliance

Impacted Individual Assistance

Campus Culture and Climate

A Few Initial Thoughts on the New Regulations

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

Some Key Features of the New Regulations

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

Some Key Features of the New Regulations

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

Training Mandates Specific to the New Regulations

- "Schools must ensure that Title IX personnel (Title IX Coordinator, any investigator, any decision-maker, and any person who facilitates an informal resolution, such as a mediator) receive training as follows:
  - On Title IX’s definition of "sexual harassment"
  - On the scope of the school’s education program or activity
  - On how to conduct an investigation and grievance process
  - On how to serve impartially, including by avoiding prejudgment of the facts at issue
  - On how to avoid conflicts of interest and bias
  - Decision-makers must receive training on any technology to be used at a live hearing, and on issues of relevance of questions and evidence, including when questions and evidence about a complainant’s sexual predisposition or prior sexual behavior are not relevant
  - Investigators must receive training on issues of relevance to create an investigative report that fairly summarizes relevant evidence"

Training Time Estimated by the Department

- We assume all recipients will need to take time to review and understand these final regulations: . . . At the IHE level, we assume eight hours for the Title IX Coordinator and 12 hours for an attorney.
- We assume all recipients will need to revise their grievance procedures: . . . At the IHE level, we assume this will take 12 hours for the Title IX Coordinator and 24 hours for an attorney with an additional four hours for an administrator to review and approve them.
- We assume all recipients will need to train their Title IX Coordinators, an investigator, any person designated by a recipient to facilitate an informal resolution process (e.g., a mediator), and two decision-makers (assuming an additional decision-maker for appeals): . . . We assume this training will take approximately eight hours for all staff at the . . . IHE level.
Our Mission Has Not Changed...

Enacted by Congress, Title IX seeks to reduce or eliminate barriers to educational opportunity caused by sex discrimination in institutions that receive federal funding.

This is the unchanged mission of Title IX!

Prevalence Data

Postsecondary Institutions

One in five college women experience attempted or completed sexual assault in college, some studies state one in four. One in all men are sexually assaulted while in college. One poll reported that 20 percent of women, and five percent of men, are sexually assaulted in college.

64 percent of women and 65 percent of men experience sexual harassment during college. Among undergraduate students, 23.2 percent of females and 2.4 percent of males experience rape or sexual assault; among graduate and undergraduate students, 12.2 percent experience rape or sexual assault through physical force, violence, or incapacitation; 4.2 percent have experienced stalking since entering college.

A study showed that 64.5 percent of men at one university who self-reported acts qualifying as rape or attempted rape admitted to committing repeat rapes.

Prevalence Data – Postsecondary Institutions Cont’d

Of college students in fraternity and sorority life, 48.2 percent of females and 23.6 percent of males have experienced nonconsensual sexual contact, compared with 33.2 percent of females and 7.9 percent of males not in fraternity and sorority life.

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

Twenty-one to 28 percent of college students experience faculty/staff perpetrated sexual harassment and 35 to 46.5 percent experience student-perpetrated sexual harassment during their time at their university.

The Controversial Science of Sexual Predation


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Avoid or Use?

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

Trauma-Based Approaches

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

Trauma Cont’d

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

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

“Victim”/“Survivor” or “Perpetrator”

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

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

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COVID-19
- Virtual hearings
- More online learning
- More Clery/VAWA-type offenses?
- Budget cuts, hiring freezes, furloughs, etc. due to the pandemic

Social Justice Issues

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

Legal Foundations of Title IX and Related Legal Cases

Title IX: FINAL RULE

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

Title IX: FINAL RULE

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

Before:
Campuses focused on equality in sports, admissions, etc.

April 2011 (Obama Administration):
Dear Colleague Letter released as a "reminder" that Title IX covers sexual harassment
Yale Investigation
The awakening of the Dept. of Education (DOE)

After April 2011:
Numerous investigations/Substantial guidance
April 2014 FAQ document and White House Task Force to Protect Students from Sexual Assault
Not Alone
April 2015 guidance on the role of the Title IX Coordinator
The rise of vendors, experts, etc.

Title IX Before and After April 2011

• Education Secretary Betsy DeVos
• Recession of Obama-Era Guidance in 2017
• Withdrawal of guidance on transgender students (Feb. 2017)
• 2011 Dear College Letter (Sept. 2017)
• 2014 Questions & Answers on Title IX and Sexual Violence (Sept. 2017)
• Instituted “interim” and “substantial” guidance in September 2017
• Focus on respondents’ rights/procedural protections/due process/bias and conflicts of interest
• Notice and comment period on the new regulations ended with a record-breaking number of comments (over 120,000)
• Complex implications for protection from discrimination based on sexual orientation, or appearance thereof.

Title IX and the Trump Administration

• Sexual Harassment Guidance: Harassment of Students By School Employees, Other Students, or Third Parties (Jan. 19, 2001).
• Q&A on Campus Sexual Misconduct (Sept. 22, 2017).

Title IX: Current and Former Guidance

• Sexual Harassment Guidance: Harassment of Students By School Employees, Other Students, or Third Parties, 62 FR 12034 (Mar. 13, 1997).
• Revised Guidance on Sexual Harassment: Harassment of Students by School Employees, Other Students, or Third Parties (Jan. 29, 2001).
• Q&A on Campus Sexual Misconduct (Sept. 22, 2017).

The New Regulations and Previous Guidance

• Uncertain features of pre-existing guidance and status of “commentary” and blog posts.
• New regulatory dynamics.....
• What about “straddle” cases?
• DOE has said they will not enforce new regulations retroactively.

New Regulations and Court Activity

Judicial activism and inactivism
• Lower courts and SCOTUS
• 6th Circuit in Baum
• 7th Circuit in Purdue
• 3rd Circuit in University of Sciences
• U.S. District Court for District of Tennessee in Rhodes College

• (See Jeremy Bauer-Wolf, Constitutional Due Process at Private Institutions? Inside Higher Ed (June 25, 2019)).
Litigation Risk

- Will the new regulations cause an increased risk of litigation?
- The Department doesn’t think so. For example: “[t]he Department acknowledges that Congress could address Title IX sexual harassment through legislation, but Congress has not yet done so.” 23.1, supra, fn. 123.
- Actual cases are rising in number even before the regulations. Courts are referring to the new regulations already.
- Fee shifting? Will colleges have to pay for attorney’s fees of plaintiffs?

Challenges to the New Regulations

- Congress
  - The Department acknowledges that Congress could address Title IX sexual harassment through legislation, but Congress has not yet done so. 23.1, supra, fn. 123.
  - House of Representatives Committee on Oversight Reform, Letter to DeVos-Dodd re: Title IX (June 22, 2020).
- Pending Litigation
- ACLU/NWLC
  - State Attorneys General
  - 2020 General Election

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Legal Mandates, Etc. Under Title IX—Where Is the Law?

- Title IX of the Education Amendments of 1972 (Title IX), 20 U.S.C. §§ 1681 et seq.
- Implementing Regulations, 34 C.F.R. Part 106
- Notice and Comment
- Rule-making/Proposed rule-making
- Commentary/Blogs from Dept. of Education
- Guidance
- Resolution Letters and Agreements
- Other Sources—Speeches, Website, Participation with the Field
- State Law Mandates—Virginia Laws

Virginia State Laws

- Requires campuses to establish threat assessment teams.
- Requires responsible employees to report.
- VA Code § 23.1-807. Sexual assault; memoranda of understanding; policies.
- Requires the institution to develop sexual assault policies.
- VA Code § 23.1-808. Sexual violence; policy review; disciplinary immunity for certain individuals who make reports.
- Requires institutions to review sexual violence policies and updated them as appropriate.
- VA Code § 23.1-809. Students accused of sexual assault;
- Students accused of sexual assault.

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SB 373 Virginia sexual assault forensic examiner coordination program; established, report.

Virginia sexual assault forensic examiner coordination program. Establishes the Virginia sexual assault forensic examiner coordination program within the Department of Criminal Justice Services. The bill provides that the coordinator of the program shall create and coordinate an annual statewide sexual assault forensic nurse examiner training program; coordinate the development and enhancement of sexual assault forensic examiner programs across the Commonwealth; participate in the development of hospital protocols and guidelines for treatment of survivors of sexual assault; assist in establishing referral networks for sexual assault forensic examiners; coordinate and strengthen communications among medical directors, sexual assault response teams, and hospitals for existing and developing sexual assault forensic examiner programs; provide technical assistance for existing and developing sexual assault forensic examiner programs; create and maintain a statewide list, updated biannually, that includes pertinent information regarding sexual assault forensic examiners and nurse examiners; create sexual assault nurse examiner recruitment materials for universities and colleges with nursing programs; and support and coordinate community education and public outreach, when appropriate, relating to sexual assault nurse examiner issues for the Commonwealth.

https://lis.virginia.gov/cgi-bin/legp604.exe?ses=201&typ=bil&val=SB373&submit=GO

Federal Regulators: Two Key Players

Department of Education
Enforcement through Office for Civil Rights (regional offices)
Historical K-12 focus
Department of Justice
Largely dormant in higher ed for years
"Crime fighters" dealing with violence, drugs, weapons, etc.
[DOJ does not seem to have played a large role in the new Title IX regulations.]

The Courts — Civil Action Under Title IX
- The US Supreme Court allows actions in court to pursue damages for Title IX (but with many limitations).
- Victims as "plaintiffs" face tough standards
  - Knowledge/Reporting
  - Pattern
  - Objective
  - Deliberate indifference
- The Supreme Court has hesitated to:
  - Apply Title IX to a "single act"
  - Broadly protect LGBTQ rights, but see the recent Bostock Title VII decision (more to come on this...)

Important Note!

Litigation in the lower courts has multiplied. Institutions must seek advice of counsel on the implications for Title IX compliance on their campuses.

Know when to talk with counsel.

The Courts v. The Regulators

The Regulators
- Threat of loss of federal funding
- An act of violence is a crime, is against campus policy, and is a form of discrimination.

Whose View of Title IX Wins in the End?

Showdowns are coming!

CONGRESS

COURTS

REGULATORS

Court cases are already testing some issues

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Free Speech and Academic Freedom in the New Regulations

The §106.30 definition of sexual harassment captures categories of misconduct likely to impede educational access while avoiding a chill on free speech and academic freedom. The Department agrees with commenters noting that the Department has a responsibility to enforce Title IX while not interfering with principles of free speech and academic freedom. Id. at 30142.

Precisely because expressive speech, and not just physical conduct, may be restricted or punished as harassment, it is important to define actionable sexual harassment under Title IX in a manner consistent with respect for First Amendment rights, and principles of free speech and academic freedom, in education programs and activities. Id. at 30154.

The Department believes, however, that severity and pervasiveness are needed elements to ensure that Title IX’s nondiscrimination mandate does not punish verbal conduct in a manner that chills and restricts speech and academic freedom, and that recipients are not held responsible for controlling every stray, offensive remark that passes between members of the recipient’s community. Id. at 30154.

New Regulations and Free Speech/Academic Freedom

The Supreme Court has not squarely addressed the intersection between First Amendment protection of speech and academic freedom, and non-sex discrimination Federal civil rights laws that include sexual harassment as a form of sex discrimination (i.e., Title VII and Title IX). With respect to sex discriminatory conduct in the form of admissions or hiring and firing decisions, for example, prohibiting such conduct does not implicate constitutional concerns even when the conduct is accompanied by speech, and similarly, when sex discrimination occurs in the form of non-verbal sexually harassing conduct, or speech used to harass in a quid pro quo manner, stalk, or threaten violence against a victim, no First Amendment problem exists. However, with respect to speech and expression, tension exists between First Amendment protections and the government’s interest in ensuring workplace and educational environments free from sex discrimination when the speech is unwelcome on the basis of sex. Id. at 30161-62 (internal citations omitted).

More on the First Amendment

The modern concept of sex has evolved and represents a cultural shift. In past generations, sex usually meant the male/female assignment at birth based on biological or anatomical factors. Sex for Title IX purposes includes:

- Gender based on biological or anatomical factors
- Actual or perceived gender identity

Sometimes individuals do not conform to stereotypical notions of masculinity or femininity.

Helpful Resource

What is “sex” for Title IX purposes?

The modern concept of sex has evolved and represents a cultural shift. In past generations, sex usually meant the male/female assignment at birth based on biological or anatomical factors. “Sex” for Title IX purposes includes:

- Gender based on biological or anatomical factors
- Actual or perceived gender identity

Sometimes individuals do not conform to stereotypical notions of masculinity or femininity.

Helpful Resource

Title IX: Does “sex” include actual or perceived sexual orientation?

2003 Guidance pg. 3:
“Although Title IX does not prohibit discrimination on the basis of sexual orientation, sexual harassment directed at gay or lesbian students that is sufficiently serious to limit or deny a student's ability to participate in or benefit from the school's program constitutes sexual harassment prohibited by Title IX under the circumstances described in this guidance. For example, if a male student or a group of male students target a gay student for physical sexual advances, serious enough to deny or limit the victim’s ability to participate in or benefit from the school’s program, the school would need to respond promptly and effectively, as described in this guidance, just as it would if the victim were heterosexual. On the other hand, if students heckle another student with comments based on the student’s sexual orientation (e.g., “gay students are not welcome at this table in the cafeteria”), but their actions do not involve conduct of a sexual nature, their actions would not be sexual harassment covered by Title IX.
The 2001 guidance position is complicated by OCR statements and the new Title IX regulations and recent litigation.

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

"These terms generate the following rule: An employer violates Title VII when it intentionally fires an individual employee based in part on sex. It makes no difference if other factors besides the plaintiff's sex contributed to the decision or that the employer treated women as a group the same when compared to men as a group."

"Few facts are needed to appreciate the legal question we face. Each of the three cases before us started the same way: An employer fired a long-time employee shortly after the employee revealed that he or she is homosexual or transgender—and allegedly for no reason other than the employee's homosexuality or transgender status."

2018 OCR Statement

*All students can experience sex-based harassment, including male and female students, LGBTQ students: students with disabilities, and students of different races, national origins, and ages. Title IX protects all students from sex-based harassment, regardless of the sex of the parties, including when they are members of the same sex."

*Title IX also prohibits gender-based harassment, which is unwelcome conduct based on a student's sex, harassing conduct based on a student's failure to conform to sex stereotypes.*

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Bostock v. Clayton County (June 15, 2020)

A consolidation of three cases of employment discrimination under Title VII. Holding: Employees are protected from discrimination due to their sexual orientation or gender identity under Title VII of the Civil Rights Act of 1964.

"An individual's homosexuality or transgender status is not relevant to employment decisions. That's because it is impossible to discriminate against a person for being homosexual or transgender without discriminating against that individual based on sex."

"... homosexuality and transgender status are intrinsically bound up with sex."

"We agree that homosexuality and transgender status are distinct concepts from sex. But, as we've seen, discrimination based on homosexuality or transgender status necessarily entails discrimination based on sex; the first cannot happen without the second."
More Quotes from Bostock – The Bostock Caveat

“The employers worry that our decision will sweep beyond Title VII to other federal or state laws that prohibit sex discrimination. And, under Title VII itself, they say sex-segregated bathrooms, locker rooms, and dress codes will prove unsustainable after our decision today. But none of these other laws are before us; we have not had the benefit of adversarial testing about the meaning of their terms, and we do not prejudge any such question today.”

Due Process

Due Process is a complex and multidimensional concept.

• More than dialectic between “complainants” and “respondents”
• The college as bystander or neutral
• Is this the way to create college court?
• What about resource imbalances between institutions or complainants/respondents?

Due Process Cont’d*

Due process is the opportunity to be heard “at a meaningful time and in a meaningful manner.”

The evolution of the American concept of due process of law has revolved around recognition that for justice to be done, procedural protections must be offered to those accused of even the most heinous offenses – precisely because only through a fair process can a just conclusion of responsibility be made. Further, the § 106.45 grievance process grants procedural rights to complainants and respondents so that both parties benefit from strong, clear due process protections.
More Due Process

- Chevron/Article II
- State Farm
- Protected Interests
- Matthews Balancing Test
- Citizens United \rightarrow Associational Rights
- Originalism/Textualism
- Efficacy/Fairness to those not represented in a "hearing"
- New Fairness Issues Created by "College Court"
- Horowitz/Ewing and Academic Freedom
- Substantive Due Process
- Slippery Slope
- Tenure for Students
- Ghost of Hugo Black in Tinker

The Department of Education reiterates that colleges are not courts prosecuting crimes.

(S)chools, colleges, and universities are educational institutions and not courts of law. The § 106.45 grievance process does not attempt to transform schools into courts; rather, the prescribed framework provides a structure by which schools reach the factual determinations needed to discern when victims of sexual harassment are entitled to remedies. The Department declines to import into § 106.45 comprehensive rules of evidence, rules of civil or criminal procedure, or constitutional protections available to criminal defendants. The Department recognizes that schools are neither civil nor criminal courts, and acknowledges that the purpose of the § 106.45 grievance process is to resolve formal complaints of sexual harassment in an education program or activity, which is a different purpose carried out in a different forum from private lawsuits in civil courts or criminal charges prosecuted by the government in criminal courts. The Department is not regulating sex crimes, per se, but rather addressing a type of discrimination based on sex.

What is a "court?"

A court is any person or institution, often a government institution, with the authority to adjudicate legal disputes between parties and carry out the administration of justice in civil, criminal, and administrative matters in accordance with the rule of law.


"Gebser/Davis Framework" for Evaluating Institutional Compliance (with Some Twists)

3-Part Framework
1. A definition of actionable sexual harassment
2. The school’s actual knowledge
3. The school’s deliberate indifference
4. Promptness
5. Equitableness
6. Reasonableness

New grievance procedures well beyond Gebser
Roadmap for litigation?
Risk of DOE enforcement?
Doug Lederman, A New Day at OCR Inside Higher Ed (June 28, 2017).

The Department believes that the Davis definition in § 106.30 provides a definition for non-quid pro quo, non-Clergy Act/VAWA offense sexual harassment better aligned with the purpose of Title IX than the definition of hostile environment harassment in the 2001 Guidance or the withdrawn 2011 Dear Colleague Letter.
“Deliberate Indifference” Cont’d

[The final regulations apply a deliberate indifference standard for evaluating a recipient’s decisions with respect to selection of supportive measures and remedies, and these final regulations do not mandate or scrutinize a recipient’s decisions with respect to disciplinary sanctions imposed on a respondent after a respondent has been found responsible for sexual harassment.

Id. at 30034 n.60.

[The Department will not deem a recipient not deliberately indifferent based on the recipient’s restriction of rights protected under the U.S. Constitution, including the First Amendment, the Fifth Amendment, and the Fourteenth Amendment.

Id. at 30091.

“Deliberate Indifference” Cont’d

The final regulations apply a deliberate indifference standard for evaluating a recipient’s decisions with respect to selection of supportive measures and remedies, and these final regulations do not mandate or scrutinize a recipient’s decisions with respect to disciplinary sanctions imposed on a respondent after a respondent has been found responsible for sexual harassment.

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Id. at 30091.

A Review of the New Regulations

§106.8 Designation of coordinator, dissemination of policy, and adoption of grievance procedures.

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§106.8(a) Designation of coordinator.

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." The recipient must notify applicants for admission and employment, students, parents or legal guardians of elementary and secondary school students, employees, and all unions or professional organizations holding collective bargaining or professional agreements with the recipient, of the name or title, office address, electronic mail address, and telephone number of the employee or employees designated as the Title IX Coordinator pursuant to this paragraph. 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), in person, by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, or by any other means that results in the Title IX Coordinator receiving the person’s verbal or written report. Such a report may be made at any time (including during non-business hours) by using the telephone number or electronic mail address, or by mail to the office address, listed for the Title IX Coordinator.

§106.8(b) Dissemination of policy.

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1) Notification of policy.

Each recipient must notify persons entitled to a notification under paragraph (a) of this section that the recipient does not discriminate on the basis of sex in the education program or activity that it operates, and that it is required by Title IX and this part not to discriminate in such a manner. Such notification must state that the requirement not to discriminate in the education program or activity extends to admission (unless subpart C of this part does not apply) and employment, and that inquiries about the application of Title IX and this part to such recipient may be referred to the recipient’s Title IX Coordinator, to the Assistant Secretary, or both.

2) Publications.

(a) Each recipient must prominently display the contact information required to be listed for the Title IX Coordinator under paragraph (a)(2) of this section and the policy described in paragraph (b)(1) of this section on its website, if any, and in each handbook or catalog that it makes available to persons entitled to a notification under paragraph (a) of this section.

(b) A recipient must not use or distribute a publication stating that the recipient treats applicants, students, or employees differently on the basis of sex except as such treatment is permitted by Title IX or this part.
§106.8(c) Adoption of grievance procedures.

A recipient must adopt and publish grievance procedures that provide for the prompt and equitable resolution of student and employee complaints alleging any action that would be prohibited by this part and a grievance process that complies with §106.45 for formal complaints as defined in §106.30. A recipient must provide to persons entitled to a notification under paragraph (a) of this section notice of the recipient’s grievance procedures and grievance process, including how to report or file a complaint of sex discrimination, how to report or file a formal complaint of sexual harassment, and how the recipient will respond.

§106.8(d) Application outside the United States.

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

“Severability” Throughout the Regulations

If any provision of this subpart or its application to any person, act, or practice is held invalid, the remainder of the subpart or the application of its provisions to any person, act, or practice shall not be affected thereby.

§106.12 Educational institutions controlled by religious organizations.

Assurance of Exemption. An educational institution that seeks assurance of the exemption set forth in paragraph (a) of this section may do so by submitting in writing to the Assistant Secretary a statement by the highest ranking official of the institution, identifying the provisions of this part that conflict with a specific tenet of the religious organization. An institution is not required to seek assurance from the Assistant Secretary in order to assert such an exemption. In the event the Department notifies an institution that it is under investigation for noncompliance with this part and the institution wishes to assert an exemption set forth in paragraph (a) of this section, the institution may at that time raise its exemption by submitting in writing to the Assistant Secretary a statement by the highest ranking official of the institution, identifying the provisions of this part which conflict with a specific tenet of the religious organization, whether or not the institution had previously sought assurance of an exemption from the Assistant Secretary.

§106.30(a) Definitions.
"Actual Knowledge"

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

“Complainant”

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

What is “alleged?”

“Respondent”

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

Allege = “report?”

More on Complainants/Respondents

• A person may be a complainant, or a respondent, even where no formal complaint has been filed and no grievance process is pending.
• References . . . to a complainant, respondent, or other individual with respect to exercise of rights under Title IX should be understood to include situations in which a parent or guardian has the legal right to act on behalf of the individual.
• (The definitions of “complainant” and “respondent” do not restrict either party to being a student or employee, and, therefore, the final regulations do apply to allegations that an employee was sexually harassed by a student.

“Consent”

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

This has been a central issue in fairness/consistency.

How does “consent” fit into the new framework for “sexual harassment?”

“Formal Complaint”

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

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

“Sexual Harassment” [Three-Prong Test]

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

1. An employee of the recipient conditioning the provision of an aid, benefit, or service of the recipient on an individual’s participation in unwelcome sexual conduct;
2. Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the recipient’s education program or activity; or

“Sexual Harassment” [Three-Prong Test] Cont’d

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

First Amendment and the Second Prong

Protection of free speech and academic freedom was weakened by the Department’s use of wording that differed from the Davis definition of what constitutes actionable sexual harassment under Title IX. … these final regulations return to the Davis definition verbatim, while also protecting against even single instances of quid pro quo harassment and Clery/VAWA offenses, which are not entitled to First Amendment protection. Id. at 30155 n.886.

“Supportive Measures”

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

“Supportive Measures” Cont’d

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

§ 106.44 Recipient’s response to sexual harassment.

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§106.44(a) General response to sexual harassment.

A recipient with actual knowledge of sexual harassment in an education program or activity of the recipient against a person in the United States, must respond promptly in a manner that is not deliberately indifferent. A recipient is deliberately indifferent only if its response to sexual harassment is clearly unreasonable in light of the known circumstances. For the purposes of this section, §§106.30, and 106.43, "education program or activity" includes locations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.

§106.44(a) Cont’d

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

§106.44(c) Emergency removal.

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

§106.44(d) Administrative leave.

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

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

§ 106.45(b)(1)(i)

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

§ 106.45(b)(1)(ii)

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

§ 106.45(b)(1)(iii)

(iii) Require that any individual designated by a recipient as a Title IX Coordinator, investigator, decisionmaker, or any person designated by a recipient to facilitate an informal resolution process, not have a conflict of interest or bias for or against complainants or respondents generally or an individual complainant or respondent.
A recipient must ensure that Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process, receive training on:

- the definition of sexual harassment in §106.30,
- the scope of the recipient's education program or activity,
- how to conduct an investigation and grievance process including hearings, appeals, and informal resolution processes, as applicable, and
- how to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias. . . .

(bullets added)

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

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

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

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

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

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

(vii) State whether the standard of evidence to be used to determine responsibility is the preponderance of the evidence standard or the clear and convincing evidence standard, apply the same standard of evidence for formal complaints against students as for formal complaints against employees, including faculty, and apply the same standard of evidence to all formal complaints of sexual harassment;
§ 106.45(b)(1)(viii)
(viii) Include the procedures and permissible bases for the complainant and respondent to appeal.

§ 106.45(b)(1)(ix)
(ix) Describe the range of supportive measures available to complainants and respondents; and

§ 106.45(b)(1)(x)
(x) Not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.

(2) Notice of allegations —

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

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

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

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§ 106.45(b)(2)(ii)

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

§ 106.45(b)(3)(i)

(i) Dismissal of a formal complaint—

(i) The recipient must investigate the allegations in a formal complaint. If the conduct alleged in the formal complaint would not constitute sexual harassment as defined in §106.30 even if proved, did not occur in the recipient’s education program or activity, or did not occur against a person in the United States, then the recipient must dismiss the formal complaint with regard to that conduct for purposes of sexual harassment under title IX or this part, such a dismissal does not preclude action under another provision of the recipient’s code of conduct.
§ 106.45(b)(5)(i)

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

§ 106.45(b)(5)(ii)

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

§ 106.45(b)(5)(iii)

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

§ 106.45(b)(5)(iv)

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

§ 106.45(b)(5)(v)

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

§ 106.45(b)(5)(vi)

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

(6) Hearings.

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

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

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

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

(7) Determination regarding responsibility.

(i) The decision-maker(s), who cannot be the same person(s) as the Title IX Coordinator or the investigator(s), must issue a written determination regarding responsibility. To reach this determination, the recipient must apply the standard of evidence described in paragraph (b)(5)(vii) of this section.
§ 106.45(b)(7)(ii)(A)

(ii) The written determination must include—

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

§ 106.45(b)(7)(ii)(B)

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

§ 106.45(b)(7)(ii)(C)

(C) Findings of fact supporting the determination;

§ 106.45(b)(7)(ii)(D)

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

§ 106.45(b)(7)(ii)(E)

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

§ 106.45(b)(7)(ii)(F)

(F) The recipient's procedures and permissible bases for the complainant and respondent to appeal.
§ 106.45(b)(7)(iii)

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

§ 106.45(b)(7)(iv)

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

§ 106.45(b)(8)(i)

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

§ 106.45(b)(8)(i)(A-C)

(A) Procedural irregularity that affected the outcome of the matter;
(B) New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter; and
(C) The Title IX Coordinator, investigator(s), or decision-maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual complainant or respondent that affected the outcome of the matter.

§ 106.45(b)(8)(iii)(A-F)

(ii) As to all appeals, the recipient must:
(A) Notify the other party in writing when an appeal is filed and implement appeal procedures equally for both parties;
(B) Ensure that the decision-maker(s) for the appeal is not the same person as the decision-maker(s) that reached the determination regarding responsibility or dismissal, the investigator(s), or the Title IX Coordinator;
(C) Ensure that the decision-maker(s) for the appeal complies with the standards set forth in paragraph (b)(3)(ii) of this section;
(D) Give both parties a reasonable, equal opportunity to submit a written statement in support of, or challenging, the outcome;
(E) Issue a written decision describing the result of the appeal and the rationale for the result; and
(F) Provide the written decision simultaneously to both parties.
§ 106.45(b)(9)

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

§ 106.45(b)(9)(i)

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

§ 106.45(b)(9)(ii-iii)

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

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

§ 106.45(b)(10)(i)(A)

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

§ 106.45(b)(10)(i)(B-D)

(B) Any appeal and the result therefrom;

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

(D) All materials used to train Title IX Coordinators, investigators, decisionmakers, and any person who facilitates an informal resolution process. A recipient must make these training materials publicly available on its website, or if the recipient does not maintain a website the recipient must make these materials available upon request for inspection by members of the public.

§ 106.45(b)(10)(ii)

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

(a) Retaliation prohibited. No recipient or other person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by title IX or this part, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this part. Intimidation, threats, coercion, or discrimination, including charges against an individual for code of conduct violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or formal complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by title IX or this part, constitutes retaliation.

§ 106.71(a) Cont’d

The recipient must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a formal complaint of sexual harassment, any complainant, any individual who has been reported to be the perpetrator of sex discrimination, any respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of 34 CFR part 106, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed according to the grievance procedures for sex discrimination required to be adopted under § 106.8(c).

§ 106.71(b)(1)

(b) Specific circumstances.

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

(2) Charging an individual with a code of conduct violation for making a materially false statement in bad faith in the course of a grievance proceeding under this part does not constitute retaliation prohibited under paragraph (a) of this section, provided, however, that a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith.
Budgetary and operational concerns?

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

Outsourcing/Requiring Legally Trained Title IX Operatives

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

Personnel Decisions

- Should we appoint deputy Title IX coordinators?
  - (The recipient may need to or wish to designate multiple employees as Title IX Coordinators or designate a Title IX Coordinator and additional staff to serve as deputy Title IX Coordinators, or a combination thereof)
- Should the Title IX coordinator take on the role of investigator, as permitted in the new regulations? (see § 106.30(b)(3)(ii))
- How many decision-makers? (New regulations suggest training at least two so one can be the appellate officer)
- Single decision-maker or a panel?
- What should we outsource? Advantages/disadvantages?
- Budgetary concerns/limited staff on very small campuses
- Bias
- Conflicts of interest?
- Appropriate relationships between Title IX coordinator and other functions.
- Role of counsel?

Training

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

"Actual Knowledge” §106.30(a)

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

- Who is an official with authority—authority to redress?
  - Title IX coordinator
  - CSAs?
  - Who else?

Determination whether an individual is an "official with authority" is a legal determination that depends on the specific facts relating to the recipient's administrative structure and the roles and duties held by officials in the recipient's own operations. The Supreme Court viewed this category of officials as the equivalent of what 20 U.S.C. 1682 calls an "appropriate person" for purposes of the Department's resolution of Title IX violations with a recipient. Id. at 30039.

Postsecondary institutions ultimately decide which officials to authorize to institute corrective measures on behalf of the recipient. The Title IX Coordinator and officials with authority to institute corrective measures on behalf of the recipient fall into the same category as employees whom guidance describes as having "authority to redress the sexual harassment." Id. (emphasis added).

"Actual Knowledge/Employees"

For all recipients, notice to the recipient's Title IX Coordinator or to "any official of the recipient who has authority to institute corrective measures on behalf of the recipient" (referred to herein as "officials with authority") conveys actual knowledge to the recipient and triggers the recipient's response obligations.

NOTE: The Department of Education has discontinued use of the term and previous structure of "responsible employees," i.e. "mandated reporters.

Rather than using the phrase "responsible employees," these final regulations describe the pool of employees to whom notice triggers the recipient's response obligations. In our previous structure of "responsible employees," we had a category of "employees with authority or official duties" whom we also often referred to as "officials with authority." These final regulations describe the pool of employees to whom notice triggers the recipient's response obligations as "officials with authority" who are officials with authority to redress sexual harassment.

Limiting Mandatory Reporters

A Rejection of "Responsible Employees"

Triggering a recipient's response obligations only when the Title IX Coordinator or an official with authority has notice respects the autonomy of a complainant in a postsecondary institution better than the responsible employee rubric in guidance. . . . Id. at 30039 (emphasis added).

[The approach in these final regulations allows postsecondary institutions to decide which of their employees must, may, or must only with a student's consent, report sexual harassment to the recipient's Title IX Coordinator (a report to whom always triggers the recipient's response obligations, no matter who makes the report). Id. (emphasis added).

We believe that the best way to avoid reports "falling through the cracks" or successfully being "swept under the rug" by postsecondary institutions, is not to continue the Department guidance did] to insist that all postsecondary institutions must have universal or near-universal mandatory reporting. . . . Whether universal mandatory reporting for postsecondary institutions benefits victims or harms victims is a complicated issue as to which research is conflicting. Id. at 30040 n.482 (emphasis added).

"Universal mandatory reporting"

(N)othing in the proposed or final regulations prevents recipients (including postsecondary institutions) from instituting their own policies to require professors, instructors, or all employees to report to the Title IX Coordinator every incident and report of sexual harassment (i.e. a "universal mandatory reporting policy"). Id. at 30048 (emphasis added).

Notice"n

Notice results whenever . . . Title IX Coordinator, or any official with authority—witnesses sexual harassment; hears about sexual harassment or sexual harassment allegations from a complainant (i.e., a person alleged to be the victim) or a third party (e.g., the complainant's parent, friend, or peer); receives a written or verbal complaint about sexual harassment or sexual harassment allegations; or by any other means. These final regulations emphasize that any person may always trigger a recipient's response obligations by reporting sexual harassment to the Title IX Coordinator using contact information that the recipient must post on the recipient's website. The person who reports does not need to be the complainant (i.e., the person alleged to be the victim); a report may be made by "any person" who believes that sexual harassment may have occurred and requires a recipient's response.

Id. at 30048 (emphasis added, internal citations omitted).
Actual Knowledge Can Be Triggered By...

- Report from the complainant
- Third party report ("bystander" reporting)
- Anonymous report (by the complainant or by a third party)

See id. at page 77.

Anonymous Reports

[T]he Department does not take a position in the NPRM or these final regulations on whether recipients should encourage anonymous reports of sexual harassment.

If a recipient cannot identify any of the parties involved in the alleged sexual harassment based on the anonymous report, then a response that is not clearly unreasonable under light of these known circumstances will differ from a response under circumstances where the recipient knows the identity of the parties involved in the alleged harassment, and the recipient may not be able to meet its obligation to, for instance, offer supportive measures to the unknown complainant.

Id. at page 77.

Anonymous Reports

Anonymous Reports

Notice Cont’d

[N]otice of sexual harassment or allegations of sexual harassment to the recipient’s Title IX Coordinator or to an official with authority to institute corrective measures on behalf of the recipient (herein, “officials with authority”) will trigger the recipient’s obligation to respond. Postsecondary institution students have a clear channel through the Title IX Coordinator to report sexual harassment, and § 106.8(b) requires recipients to notify all students and employees (and others) of the Title IX Coordinator’s contact information, so that “any person” may report sexual harassment in person, by mail, telephone, or e-mail (or by any other means that results in the Title IX Coordinator receiving the person’s verbal or written report), and specifies that a report may be made at any time (including during non-business hours) by mail to the Title IX Coordinator’s office address or by using the listed telephone number or e-mail address.

Id. at page 96 (emphasis added).

Title IX Grievance, Discipline and Mediation

A Word on Accountability...

Recipients cannot be guarantors that sexual harassment will never occur in education programs or activities, but recipients can and will, under these final regulations, be held accountable for responding to sexual harassment in ways designed to ensure complainants’ equal access to education without depriving any party of educational access without due process or fundamental fairness.

Id. at page 94 (internal citations omitted, emphasis added).

Not Merely “Checking Off Boxes”

Recipients, including universities, will not be able to simply check off boxes without doing anything. Recipients will need to engage in the detailed and thoughtful work of informing a complainant of options, offering supportive measures to complainants through an interactive process described in revised § 106.44(a), and providing a formal complaint process with robust due process protections beneficial to both parties as described in § 106.45.

Id. at pages 94.
Operationalizing the new Title IX regulations requires making certain choices. “Tuning” is important.

Regulations Intend to Provide “Flexibility”

[T]hese final regulations leave recipients the flexibility to choose to follow best practices and recommendations contained in the Department’s guidance or, similarly, best practices and recommendations made by non-Department sources, such as Title IX consultancy firms, legal and social science scholars, victim advocacy organizations, civil libertarians and due process advocates, and other experts.

[T]hese final regulations leave recipients legitimate and necessary flexibility to make decisions regarding the supportive measures, remedies, and discipline that best address each sexual harassment incident.

“Flexibility” Cont’d

Within the standardized §106.45 grievance process, recipients retain significant flexibility and discretion, including decisions to:

• designate the reasonable time frames that will apply to the grievance process;
• use a recipient’s own employees as investigators and decisionmakers or outsource those functions to contractors;
• determine whether a party’s advisor of choice may actively participate in the grievance process;
• select the standard of evidence to apply in reaching determinations regarding responsibility;
• use an individual decision-maker or a panel of decision-makers;
• provide informal resolution options;
• impose disciplinary sanctions against a respondent following a determination of responsibility; and
• select procedures to use for appeals.

Policy Basics: What Should be Included?

• Single policy or multiple policies?
• Title IX ➔ Student Conduct (reference each other)
• Title IX ➔ HR
• Consensual relations policies (do you have these?)
• Terminology/Language
  • “Complainant” not “Victim”/ “Survivor”
  • “Respondent” not “Perpetrator”
  • What is a “day”? (Business day, calendar day, “school” day?)

Policy Elements

• Introduction
• Scope
• Support services, supportive measures, and how to access
• Title IX Coordinator’s contact information (and deputy coordinators) and how to report
• “Mandated reporters”
• Definitions of key terms, such as sexual harassment and consent
• Timeframes, both for reporting and for resolution
Policy Elements Cont’d
- Confidentiality of information generally
- Requests for confidentiality
- Opportunity to provide/access to information
- Prohibition against retaliation
- Sanction and remedies, and how they will be determined
- Formal complaints
- Grievance process
- Evidentiary standard
- Notification of outcome
- Appeal process

Definitions of Offenses to Be Included in Policies
1. Sexual harassment
2. Sexual assault
   a. Non-consensual sexual contact, and
   b. Non-consensual sexual intercourse
3. Domestic violence
4. Dating violence
5. Sexual exploitation
6. Stalking
7. Retaliation
8. Intimidation
9. Actual Knowledge

State law considerations!

“Consent”—Not Defined in New Regulations
- What will your definition be?
  - Affirmative consent?
  - Will distribute across multiple offenses
- Elements
  - Consent is a voluntary agreement to engage in sexual activity; and
  - Someone who is incapacitated cannot consent;
  - Someone who is incapacitated cannot consent;
  - Personal injury or property damage;
  - Consent can only be withdrawn if the person withdraws consent;
  - Consent can only be withdrawn if the person withdraws consent;
  - Consent is not withdrawn if the person is incapacitated;
  - Consent is not withdrawn if the person is incapacitated;
  - Consent is not withdrawn if the person is incapacitated;
  - Consent is not withdrawn if the person is incapacitated;
  - Consent is not withdrawn if the person is incapacitated;
  - Consent is not withdrawn if the person is incapacitated;
  - Consent is not withdrawn if the person is incapacitated;

“Stalking” (Clergy Act Definition)
Stalking: (i) Engaging in a course of conduct directed at a specific person that would cause a reasonable person to—
(A) Fear for the person’s safety or the safety of others; or
(B) Suffer substantial emotional distress.
(ii) For the purposes of this definition—
(A) Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.
(B) Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim.
(C) Substantial emotional distress means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

“Domestic Violence” (Clergy Act Definition)
Domestic violence: (i) A felony or misdemeanor crime of violence committed—
(A) By a current or former spouse or intimate partner of the victim;
(B) By a person with whom the victim shares a child in common;
(C) By a person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner;
(D) By a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred, or
(E) By any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

34 C.F.R. § 688.46(a)

“Dating Violence” (Clery Act Definition)

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

Title IX Coordinator Information (§106.8)

Recipients must notify...  
- Applicants for admission and employment  
- Students  
- Employees  
- All unions or professional organizations holding collective bargaining or professional agreements with the recipient  
...of the contact information for the Title IX Coordinator(s):  
- Name or Title  
- Office address  
- Email address  
- Telephone number

Dissemination of Information §106.8(b)

Notice of Non-Discrimination and Title IX Coordinator Information on:  
- Website  
- Handbooks  
- Catalogs  
For:  
- Applicants for admission and employment  
- Students  
- Employees  
- All unions or professional organizations holding collective bargaining or professional agreements with the recipient

Tuning

- Recipients may continue to address harassing conduct that does not meet the §106.30 definition of sexual harassment, as acknowledged by the Department's change to §106.45(b)(3)(i) to clarify that dismissal of a formal complaint because the allegations do not meet the Title IX definition of sexual harassment, does not preclude a recipient from addressing the alleged misconduct under other provisions of the recipient’s own code of conduct.  
- Similarly, nothing in these final regulations prevents a recipient from addressing conduct that is outside the Department's jurisdiction due to the conduct constituting sexual harassment occurring outside the recipient's education program or activity, or occurring against a person who is not located in the United States.  
- §106.45 may not be circumvented...  
...by processing sexual harassment complaints under non-Title IX provisions of a recipient's code of conduct. The definition of "sexual harassment" in §106.30 constitutes the conduct that these final regulations, implementing Title IX, address. ...Where a formal complaint alleges conduct that meets the Title IX definition of "sexual harassment," a recipient must comply with §106.45.

“Staying in Your Lane”

§106.45 may not be circumvented...
Program or activity: §106.44(a) General response to sexual harassment.

... For the purposes of this section, §§ 106.30, and 106.44, "education program or activity" includes locations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.

§106.8(d) Application outside the United States.

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

Addressing Sexual Assaults Outside of a University’s Obligations Under Title IX

Nothing in the final regulations precludes a recipient from applying the § 106.45 grievance process to address sexual assaults that the recipient is not required to address under Title IX.

[A] recipient may choose to address conduct outside of or not in its “education program or activity,” even though Title IX does not require a recipient to do so.

[Even if alleged sexual harassment did not occur in the recipient’s education program or activity, dismissal of a formal complaint for Title IX purposes does not preclude the recipient from addressing alleged sexual harassment under the recipient’s own code of conduct. Recipients may also choose to provide supportive measures to any complainant, regardless of whether the alleged sexual harassment is covered under Title IX.]

“Non-sexual Harassment Sex Discrimination”

... § 106.45 applies to formal complaints alleging sexual harassment under Title IX, but not to complaints alleging sex discrimination that does not constitute sexual harassment (“non-sexual harassment sex discrimination”). Complaints of non-sexual harassment sex discrimination may be filed with a recipient’s Title IX Coordinator for handling under the “prompt and equitable” grievance procedures that recipients must adopt and publish pursuant to § 106.8(b).

Conduct That Does Not Meet Sexual Harassment Definition

Allegations of conduct that do not meet the definition of “sexual harassment” in § 106.30 may be addressed by the recipient under other provisions of the recipient’s code of conduct...

Recipients may continue to address harassing conduct that does not meet the § 106.30 definition of sexual harassment, as acknowledged by the Department’s change to § 106.45(b)(1)(i) to clarify that dismissal of a formal complaint because the allegations do not meet the Title IX definition of sexual harassment, does not preclude a recipient from addressing the alleged misconduct under other provisions of the recipient’s own code of conduct.

Similarly, nothing in these final regulations prevents a recipient from addressing conduct that is outside the Department’s jurisdiction due to the conduct constituting sexual harassment occurring outside the recipient’s education program or activity, or occurring against a person who is not located in the United States.

Scope/Off-Campus Jurisdiction

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

Will colleges eliminate RSO recognition?

Will RSO’s choose to leave?

Relationship Agreements

Study Abroad?
“Involvement in an education program or activity”

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

Id. at 30086-87.

“Statute of Limitations”

The Department does not wish to impose a statute of limitations for filing a formal complaint of sexual harassment under Title IX. . . .

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

Id. at 30086-87 (emphasis added).

“Statute of Limitations” and Dismissal of Complaint

[T]he §106.45 grievance process contains procedures designed to take into account the effect of passage of time on a recipient’s ability to resolve allegations of sexual harassment. For example, if a formal complaint of sexual harassment is made several years after the sexual harassment allegedly occurred, §106.45(b)(ii) provides that

* if the respondent is no longer enrolled or employed by the recipient, or
* if specific circumstances prevent the recipient from gathering evidence sufficient to reach a determination as to the formal complaint or allegations therein,

then the recipient has the discretion to dismiss the formal complaint or any allegations therein.

Id. at 30086 (bullets added).

RSO's/Greek Life

[T]here is no exemption from Title IX coverage for fraternities and sororities, and in fact these final regulations specify in §106.44(f) that the education program or activity of a postsecondary institution includes any building owned or controlled by a student organization officially recognized by the postsecondary institution.

Id. at 30086 (emphasis added).

Organizational Responsibility Under Title IX

The §106.45 grievance process . . . contemplates a proceeding against an individual respondent to determine responsibility for sexual harassment. The Department declines to require recipients to apply §106.45 to groups or organizations against whom a recipient wishes to impose sanctions arising from a group member being accused of sexual harassment because such potential sanctions by the recipient against the group do not involve determining responsibility for perpetrating Title IX sexual harassment but rather involve determination of whether the group violated the recipient's code of conduct.

Id. at 30086 (emphasis added).

No Reasonable Cause Threshold

The Department declines to add a reasonable cause threshold into §106.45. The very purpose of the §106.45 grievance process is to ensure that accurate determinations regarding responsibility are reached, impartially and based on objective evaluation of relevant evidence; the Department believes that goal could be impeded if a recipient's administrators were to pass judgment on the sufficiency of evidence to decide if reasonable or probable cause justifies completing an investigation.

Id. at 30105.
Title IX Coordinator/Gatekeeping

Title IX Coordinators have always had to consider whether a report satisfies the criteria in the recipient's policy, and these final regulations are not creating new obstacles in that regard. The criteria that the Title IX Coordinator must consider are statutory criteria under Title IX or criteria under case law interpreting Title IX's non-discrimination mandate with respect to discrimination on the basis of sex in the recipient's education program or activity against a person in the United States, tailored for administrative enforcement. Additionally, these final regulations do not preclude action under another provision of the recipient's code of conduct, as clearly stated in revised §106.45(b)(2)(i), if the conduct alleged does not meet the definition of Title IX sexual harassment.

Id. at 30645 (internal citation omitted, emphasis added).

Classroom Behavior

Nothing in the final regulations reduces or limits the ability of a teacher to respond to classroom behavior. If the in-class behavior constitutes Title IX sexual harassment, the school is responsible for responding promptly without deliberate indifference, including offering appropriate supportive measures to the complainant, which may include separating the complainant from the respondent, counseling the respondent about appropriate behavior, and taking other actions that meet the §106.30 definition of "supportive measures" while a grievance process resolves any factual issues about the sexual harassment incident. If the in-class behavior does not constitute Title IX sexual harassment (for example, because the conduct is not severe, or is not pervasive), then the final regulations do not apply and do not affect a decision made by the teacher as to how best to discipline the offending student or keep order in the classroom.

Id. at 30649 (emphasis added).

Who is a "teacher" and what is a "classroom"?

Are teachers prohibited from addressing serious violations at the time they are occurring?

Chilling effect?

The Department does not believe that evaluating verbal harassment situations for severity, pervasiveness, and objective offensiveness will chill reporting of unwelcome conduct, because recipients retain discretion to respond to reported situations not covered under Title IX. Thus, recipients may encourage students (and employees) to report any unwanted conduct and determine whether a recipient must respond under Title IX, or chooses to respond under a non-Title IX policy.

Id. at 30454 (emphasis added).

Trigger Warnings?

These final regulations neither require nor prohibit a recipient from providing a trigger warning prior to a classroom discussion about sexual harassment including sexual assault: §106.65(d)(1) does assure students, employees (including teachers and professors), and recipients that ensuring non-discrimination on the basis of sex under Title IX does not require restricting rights of speech, expression, and academic freedom guaranteed by the First Amendment. Whether the recipient would like to provide such a trigger warning and offer alternate opportunities for those students fearing renewed trauma from participating in such a classroom discussion is within the recipient's discretion.

Id. at 30419 (emphasis added).

Tuning with Other Policies and Campus Functions

- Student and Organizational Conduct
- Employment Conduct
- Disability Services
- Equity
- Security
- Threat Assessment
- Bias Incident Reporting
- Care Team Reports

Policy should reflect practice and practice should reflect policy.
Prompt, Equitable, Reasonable

Prompt Responses

The final regulations require recipients to respond promptly by:

* offering supportive measures to every complainant (i.e., an individual who is alleged to be the victim of sexual harassment);
* refraining from imposing disciplinary sanctions on a respondent without first following a prescribed grievance process;
* investigating every formal complaint filed by a complainant or signed by a Title IX Coordinator; and
* effectively implementing remedies designed to restore or preserve a complainant's equal educational access any time a respondent is found responsible for sexual harassment.

Id. at 30034 n.60 (bullets added).

Prompt Timeframes

- No 60-day rule
- What is “prompt”?
- What timeframes should we set?
- Examples of possible delays?
  - Absence of a party, a party's advisor, or a witness; concurrent law enforcement activity, or the need for language assistance or accommodation of disabilities §106.45(b)(v)

Equitable Responses

[T]he recipient's response must treat complainants and respondents equitably, meaning that for a complainant, the recipient must offer supportive measures, and for a respondent, the recipient must follow a grievance process that complies with §106.45 before imposing disciplinary sanctions.

Id. at 30044.

Reasonable/Clearly Unreasonable

In addition to the specific requirements imposed by these final regulations, all other aspects of a recipient's response to sexual harassment are evaluated by what was not clearly unreasonable in light of the known circumstances. Recipients must also document their reasons why each response to sexual harassment was not deliberately indifferent.

Section 106.44(b)(2) (providing that recipient responses to sexual harassment must be non-deliberately indifferent, meaning not clearly unreasonable in light of the known circumstances . . .

Id. at 30045 (internal citations omitted, emphasis added).

If a recipient does not provide supportive measures as part of its response to sexual harassment, the recipient specifically must document why that response was not clearly unreasonable in light of the known circumstances (for example, perhaps the complainant did not want any supportive measures).

Id. at 30045 n.182 (emphasis added).

Law Enforcement Activity/Criminal Proceedings

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Concurrent Law Enforcement Activity

Section 106.45(b)(1)(v) provides that the recipient’s designated reasonably prompt time frame for completion of a grievance process is subject to temporary delay or limited extension for good cause, which may include concurrent law enforcement activity. Section 106.45(b)(5)(iii) provides that if the decision-maker cannot draw any inference about the responsibility or non-responsibility of the respondent solely based on a party’s failure to appear or answer cross-examination questions at a hearing, this provision applies to situations where, for example, a respondent is concurrently facing criminal charges and chooses not to appear or answer questions to avoid self-incrimination that could be used against the respondent in the criminal proceeding. Further, subject to the requirements in §106.45 as such that evidence sent to the parties for inspection and review must be directly related to the allegations under investigation, and that a grievance process must provide for objective evaluation of all relevant evidence, inculpatory and exculpatory, nothing in the final regulations precludes a recipient from using evidence obtained from law enforcement in a §106.45 grievance process. §106.45(b)(5)(v) (specifying that the evidence directly related to the allegations may have been gathered by the recipient “from a party or other source” which could include evidence obtained by the recipient from law enforcement (emphasis added)). §106.45(b)(ii).

Law Enforcement Cannot Be Used to Skirt Title IX Process

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

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Police Investigations

The 2001 Guidance takes a similar position: “In some instances, a complainant may allege harassing conduct that constitutes both sex discrimination and possible criminal conduct. Police investigations or reports may be useful in terms of fact gathering. However, because legal standards for criminal investigations are different, police investigations or reports may not be determinative of whether harassment occurred under Title IX and do not relieve the school of its duty to respond promptly and effectively.”

Confidentiality

Confidentiality and FERPA Protections

Section 106.71(b) states that exercise of rights protected by the First Amendment is not retaliation. Section 106.30 defining “supportive measures” instructs recipients to keep confidential the provision of supportive measures except as necessary to provide the supportive measures. These provisions are intended to protect the confidentiality of complainants, respondents, and witnesses during a Title IX process, subject to the recipient’s ability to meet its Title IX obligations consistent with constitutional protections.

“Gag orders” are not permitted, but abuses of a party’s ability to discuss the allegations can be addressed through tort law and retaliation prohibitions. Id. at 30099 (emphasis added).

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Non-disclosure Agreements?
Recipients may require parties and advisors to refrain from disseminating the evidence (for instance, by requiring parties and advisors to sign a non-disclosure agreement that permits review and use of the evidence only for purposes of the Title IX grievance process), thus providing recipients with discretion as to how to provide evidence to the parties that directly relates to the allegations raised in the formal complaint. Id. at 30045 (emphasis added).

Complainant Autonomy/Desire to Move Forward in a Formal Process
These final regulations obligate a recipient to initiate a grievance process when a complainant files, or a Title IX Coordinator signs, a formal complaint, so that the Title IX Coordinator takes into account the wishes of a complainant and only initiates a grievance process against the complainant’s wishes if doing so is not clearly unreasonable in light of the known circumstances.

Complainant Autonomy
A complainant may only want supportive measures, may wish to go through an informal process, or may want to file a formal complaint. The Department revised § 106.44(a) to clarify that an equitable response for a complainant means offering supportive measures irrespective of whether the complainant also chooses to file a formal complaint. Additionally, a recipient may choose to offer an informal resolution process under § 106.45(b)(9) (except as to allegations that an employee sexually harassed a student). These final regulations thus respect a complainant’s autonomy in determining how the complainant would like to proceed after a recipient becomes aware (through the complainant’s own report, or any third party reporting the complainant’s alleged victimization) that a complainant has allegedly suffered from sexual harassment.

Id. at 30086.

Formal Complaints and the Complainant’s Wishes

(A) complainant’s desire not to be involved in a grievance process or desire to keep the complainant’s identity undisclosed to the respondent will be overridden only by a trained individual (i.e., the Title IX Coordinator) and only when specific circumstances justify that action. These final regulations clarify that the recipient’s decision not to investigate when the complainant does not wish to file a formal complaint will be evaluated by the Department under the deliberate indifference standard, that is, whether that decision was clearly unreasonable in light of the known circumstances.

Id. at 30045 (emphasis added).

Formal Complaints and the Complainant’s Wishes Cont’d

Moving Forward Against the Wishes of a Complainant
- Cross complaints
- Proceeding with a reluctant participant?
- Trauma?
- Triggers?
- In transit withdrawals

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Emergency Removal/ Administrative Leave

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

Emergency Removal of Respondent

[T]hese final regulations expressly authorize recipients to remove a respondent from the recipient’s education programs or activities on an emergency basis, with or without a grievance process pending, as long as post-deprivation notice and opportunity to challenge the removal is given to the respondent. A recipient's decision to initiate an emergency removal will also be evaluated under the deliberate indifference standard.

Id. at *2905 (internal citation omitted).

Administrative leave.

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

Thoughts on Emergency Removal and Administrative Leave

- How should we make this clear in our policies?
- Will IHE's be at risk if they use this process?
- Litigation risk/TRO?
- Bias? De novo review by hearing?

A Closer Look at Formal Complaints
§ 106.30(a) “Formal Complaint”

Formal complaint means a document filed by a complainant or signed by the Title IX Coordinator alleging sexual harassment against a respondent and requesting that the recipient investigate the allegation of sexual harassment. At the time of filing a formal complaint, a complainant must be participating in or attempting to participate in the education program or activity of the recipient with which the formal complaint is filed. A formal complaint may be filed with the Title IX Coordinator in person, by mail, or by electronic mail, by using the contact information required to be listed for the Title IX Coordinator under § 106.810, and by any additional method designated by the recipient.

(Emphasis added)

§ 106.45(b)(3)(i)

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

§ 106.45(b)(3)(ii)

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

§ 106.45(b)(3)(iii)

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

§106.45(b)(4)

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

Thoughts on Formal Complaints

- Signed?
- Digital?
- Verified?
- Notary?
- Attestation or oath?
- Privileges?
- How to handle false reports?
- Provision for false reports/providing false information in code/policy?
\[\text{§ 106.45(b)(2)(i)(B)}\]

... 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.

\[\text{§ 106.71(b)(2)}\]

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

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A Closer Look at Investigations

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Who Should Serve as an Investigator?

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

Job Description

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

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

### Requirements (cont’d)

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

### "Adversarial in Nature"

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

Id. at 30097.

### The Investigation Process Itself

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

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

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

### The Minimum and Maximum Role of the Investigator Cont’d

- Gather all relevant information regarding an allegation of sexual harassment.
- Interview all relevant parties
- Collect and organize relevant evidence
- Credibility Assessments?
- Weighing Evidence?
- Write a detailed investigative report
- Make recommendations for interim measures or accommodations?
- Drawing conclusions/findings of responsibility????
The Department does not wish to prohibit the investigator from including recommended findings or conclusions in the investigative report. However, the decision-maker is under an independent obligation to objectively evaluate relevant evidence, and thus cannot simply defer to recommendations made by the investigator in the investigative report. Id. at 30308.

The Department emphasizes that the decision-maker must not only be a separate person from any investigator, but the decision-maker is under an obligation to objectively evaluate all relevant evidence both inculpatory and exculpatory, and must therefore independently reach a determination regarding responsibility without giving deference to the investigative report. Id. at 30318.

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An investigatory report must accurately and objectively reflect all pertinent evidence inculpatory and exculpatory, and the decision-maker may then independently make a determination regarding responsibility. Id. at 30316.

The Department emphasizes that the decision-maker must not only be a separate person from any investigator, but the decision-maker is under an obligation to objectively evaluate all relevant evidence both inculpatory and exculpatory, and must therefore independently reach a determination regarding responsibility without giving deference to the investigative report. Id. at 30318.

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Exculpatory Evidence

Evidence tending to establish a defendant’s innocence.


Evidentiary Standard

Using a preponderance of the evidence standard, and considering relevant definitions in the Policy, the hearing panel weighs the evidence to determine whether the Respondent violated the Policy. 50.0 or 50% likelihood or 50% and a feather

Which side do you fall on?

Contrast this with “clear and convincing” and “beyond a reasonable doubt.”

Relevance

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

Merriam-webster.com

“Relevant”:

Having significant and demonstrable bearing on the matter at hand.

Affording evidence tending to prove or disprove the matter at issue or under discussion.

Relevance Cont’d

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

Id. at 30354.
Prior Sexual History/Sexual Predisposition

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

Consent and Rape Shield Language

[A] recipient selecting its own definition of consent must apply such definition consistently both in terms of not varying a definition from one grievance process to the next and as between a complainant and respondent in the same grievance process. The scope of the questions or evidence permitted and excluded under the rape shield language in § 106.45(b)(6)(i)-(ii) will depend in part on the recipient’s definition of consent, but, whatever that definition is, the recipient must apply it consistently and equally to both parties, thereby avoiding the ambiguity feared by the commenter. Id. at 30125.

Rape Shield Protections and the Investigative Report

[w]he investigative report must summarize “relevant” evidence, and thus at that point the rape shield protections would apply to preclude inclusion in the investigative report of irrelevant evidence. Id. at 30333-34.

Rape Shield Language

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

1) if offered to prove that someone other than the respondent committed the alleged sexual harassment, or

2) if the question or evidence concerns sexual behavior between the complainant and the respondent and is offered to prove consent.

Credibility Determinations

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

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

Advisors and Hearings

§ 106.45(b)(5)(iv)

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

Must You Allow a Complainant to Bring a Support Person to the Initial Meeting with the Title IX Coordinator?

Although these final regulations do not expressly require recipients to allow complainants to bring a supportive friend to an initial meeting with the Title IX Coordinator, nothing in these final regulations prohibits complainants from doing so. Indeed, many people bring a friend or family member to doctors’ visits for extra support, whether to assist a person with a disability or for emotional support, and the same would be true for a complainant reporting to a Title IX Coordinator. Once a grievance process has been initiated, these final regulations require recipients to provide the parties with written notice of each party’s right to select an advisor of choice, and nothing precludes a party from choosing a friend to serve as that advisor of choice.

 Advisors

• Complainants and respondents can have any advisor of their choosing.
• Some will choose a lawyer as an advisor. Some will want a lawyer but will not be able to afford one. Equitable treatment issues?
• Some may have a family member, a friend, or another trusted person serve as their advisor.
• If a party does not have an advisor, the school must provide one.
  • While the final regulations do not require the recipient to pay for parties’ advisors, nothing in the final regulations precludes a recipient from choosing to do so. Id. at 30305.
• Effective representation?
  • Providing parties the right to select an advisor of choice does not align with the constitutional right of criminal defendants to be provided with effective representation. Id. at 30305.
• Should not be viewed as practicing law, but rather “as providing advocacy services to a complainant or respondent.” Id. at 30305.

“Witnesses” as “Advisors”

The Department acknowledges commenters’ concerns that advisors may also serve as witnesses in Title IX proceedings, or may not wish to conduct cross-examination for a party whom the advisor would otherwise be willing to advise, or may be unavailable to attend all hearings and meetings. Notwithstanding these potential complications that could arise in particular cases, the Department believes it would be inappropriate to restrict the parties’ selection of advisors by requiring advisors to be chosen by the recipient, or by precluding a party from selecting an advisor who may also be a witness.

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"Witnesses" as "Advisors" Cont’d

The Department notes that the § 106.45(b)(6)(i) prohibition of Title IX personnel having conflicts of interest or bias does not apply to party advisors (including advisors provided to a party by a postsecondary institution as required under § 106.45(b)(5)(iv)), and thus, the existence of a possible conflict of interest where an advisor is assisting one party and also expected to give a statement as a witness does not violate the final regulations. Rather, the perceived “conflict of interest” created under that situation would be taken into account by the decision-maker in weighing the credibility and persuasiveness of the advisor-witness’s testimony. Id. at 30298 n. 1167.

"Advisors" Cont’d

How can/should advisors participate in the process?

Section 106.45(b)(5)(iv) requires that recipients have discretion to restrict the extent to which party advisors may actively participate in the grievance process: Where a postsecondary institution must hold a live hearing with cross-examination, such cross-examination must be conducted by party advisors. Id. at 30298 n. 1168.

§ 106.45(b)(6)(i)

(6) Hearings.

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

Adopting Rules Outside of § 106.45(b)

§ 106.45(b) expressly allows recipients to adopt rules that apply to the recipient’s grievance process, other than those required under § 106.45, so long as such additional rules apply equally to both parties. For example, a postsecondary institution recipient may adopt reasonable rules of order and decorum to govern the conduct of live hearings. Id. at 30299 n. 1169.

Hearings

- What is a “hearing”?
- Single decision-maker vs. a panel of decision-makers?
- Rules of evidence?
- Should all hearings be online (currently)?
- What are the differences?
- Online hearings
  - Platforms?
  - Security?
  - Do you record?
  - Cross-examination
  - Hearing rules?
More on § 106.45

§ 106.45 would, for example, permit a recipient to require parties personally to answer questions posed by an investigator during an interview, or personally to make any opening or closing statements the recipient allows at a live hearing, so long as such rules apply equally to both parties. Id. at 30295.

While nothing in the final regulations discourages parties from speaking for themselves during the proceedings, the Department believes it is important that each party have the right to receive advice and assistance navigating the grievance process. Id. at 30295.

Rules for Evaluating Evidence

... the § 106.45 grievance process does not prescribe rules governing how admissible, relevant evidence must be evaluated for weight or credibility by a recipient's decision-maker(s) and recipients thus have discretion to adopt and apply rules in that regard, so long as such rules do not conflict with § 106.45 and apply equally to both parties. Id. at 30295 (emphasis added).

Rules Regarding Weight and Credibility

A recipient may, for example, adopt a rule regarding the weight or credibility (but not the admissibility) that a decision-maker should assign to evidence of a party's prior bad acts, so long as such a rule applied equally to the prior bad acts of complainants and the prior bad acts of respondents. Because a recipient's investigators and decision-makers must be trained specifically with respect to “issues of relevance,” any rules adopted by a recipient in this regard should be reflected in the recipient's training materials, which must be publicly available.

Statements Not Subject to Cross Examination

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

One question that a postsecondary institution may have is whether not relying on a party’s statement—a party that has not submitted to cross-examination—means not relying on a description of the words allegedly used by a respondent if those words constitute part of the alleged sexual harassment at issue.

The answer to that question is “no.” For example, where a complainant alleges that the respondent said to the complainant: “If you go on a date with me, I'll give you a higher grade in my class,” and at the postsecondary institution’s live hearing, the respondent does not submit to cross-examination, then § 106.45(b)(10)(i)(D) does not preclude the decision-maker from relying on the decision-maker’s reading of the complainant’s statement. The words described by the complainant, allegedly attributed to the respondent, are themselves the misconduct that constitutes sexual harassment under § 106.30 (i.e., a respondent’s employee conditioning an educational benefit on participation in unwelcome sexual conduct, often referred to as “quid pro quo harassment,” and are not the respondent’s statement (i.e., the respondent’s intent to make a factual assertion).

Prior Sexual History

Section 106.45(b)(10)(i) protects complainants (but not respondents) from questions or evidence about the complainant’s prior sexual behavior or sexual predisposition, mirroring rape shield protections applied in Federal courts.

Id. at 30295 (emphasis added).

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Cross-Examination

- Advisors may cross examine but not the witnesses/complainants/respondents themselves
- Objections and evidence issues
- Inculpatory/Exculpatory evidence

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

Standard of Evidence to Determine Responsibility

A recipient’s grievance process must—

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

“Standard of Evidence”

- Which should we choose?
  - Clear and convincing? Preponderance of the evidence?
  - How do we choose?
  - Pros and cons of each?
  - What do you have now (for students)?
  - What do you have now (for employees, including faculty)?
  - Do changes to the employee/faculty component need to go through a governance group for approval?

Sanctions and Remedies

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Sanctions

The Department does not require particular sanctions – or therapeutic interventions – for respondents who are found responsible for sexual harassment, and leaves those decisions in the sound discretion of State and local educators. Id. at 5009 (emphasis added).

The Department does not require disciplinary sanctions after a determination of responsibility, and does not prescribe any particular form of sanctions. Id. at 5009 (emphasis added).

The Department acknowledges that this approach departs from the 2001 Guidance, which stated that where a school has determined that sexual harassment occurred, effective corrective action “tailored to the specific situation” may include particular sanctions against the respondent, such as counseling, warning, disciplinary action, or excusing consequences. . . . For reasons described throughout this preamble, the final regulations modify this approach to focus on remedies for the complainant who was victimized rather than on second guessing the respondent's disciplinary sanction decisions with respect to the respondent. However, the final regulations are consistent with the 2001 Guidance’s approach inasmuch as § 106.45(b)(1)(i) clarifies that “remedies” may consist of individualized services similar to those described in § 106.30 as supportive measures except that remedies need not avoid disciplining or burdening the respondent. Id. at 5010 (emphasis added).

Disciplinary Decisions/Sanctions Must Themselves Not Be Discriminatory

The Department notes that while Title IX does not give the Department a basis to impose a Federal standard of fairness or proportionality onto disciplinary decisions, Title IX does, of course, require that actions taken by a recipient must not constitute sex discrimination; Title IX's non-discrimination mandate applies as much to a recipient's disciplinary actions as to any other action taken by a recipient with respect to its education programs or activities. Id. at 30104.

Sanctions

- If a respondent is found responsible in a grievance process for sexual harassment what is an appropriate sanction?
  - Is anything less than expulsion okay?
  - Schools maintain discretion and flexibility in imposing sanctions AFTER a respondent has been found responsible.
  - Make sure to outline the possible RANGE of sanctions clearly in your policy.
  - Can include a continuation of supportive measures.

Remedies

Where a respondent is found responsible for sexual harassment as defined in § 106.30, the recipient must provide remedies to the complainant designed to restore or preserve the complainant's equal access to education.

Remedies

- Examples of remedies for an individual complainant
  - Can be a continuation of supportive measures (such as a no-contact order)
  - Academic accommodations/academic support services
  - Counseling services
  - Residence accommodations
- What about remedies for the broader community?
  - Again, issuing sanctions after a respondent is found responsible is not enough. The new regulations turn on "remedies for the complainant" not just sanctions against the respondent.
  - Are there academic remedies based on the impact the event had?
§ 106.45(b)(8)(i)

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

(A) Procedural irregularity that affected the outcome of the matter;
(B) New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter; and
(C) The Title IX Coordinator, investigator(s), or decision-maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual complainant or respondent that affected the outcome of the matter.

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

§ 106.45(b)(8)(ii)

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

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

Points on Appeals

- What choices do we need to make?
- Procedures?
- Who can hear appeals?
- What “additional basis” could exist?
Informal Resolution

- The new regulations don't require it, but informal resolution is allowed.
- A formal complaint must be filed before any informal resolution process can begin.
- Both parties must voluntarily agree to informal resolution (written consent required). No coercion or undue influence.
- Parties do not have to be in the same room... often, they are not.
- Equitable implementation by trained personnel.
- Should you offer it?
  - Pros:
    - Increased complainant autonomy
    - Who should implement?
    - What type of training is needed?
    - Mediation? Arbitration? Restorative justice?
    - When can we use informal resolution?
  - Cons:
    - When the allegation is that an employee sexually harassed a student.
- Does this option provide for more opportunities for “educational” interventions?

Points on Informal Resolution

- Parties must be provided written notice that outlines 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.
- Any consequences resulting from participating in the informal resolution process, including the records that will be maintained or could be shared.

$\text{§ 106.45(b)(9)(i) (Written Notice)}$

What is mediation?

Mediation is a dynamic, structured, interactive process where an impartial third party assists disputing parties in resolving conflict through the use of specialized communication and negotiation techniques. All participants in mediation are encouraged to actively participate in the process. Mediation is a “party-centered” process in that it is focused primarily upon the needs, rights, and interests of the parties. The mediator uses a wide variety of techniques to guide the process in a constructive direction and to help the parties find their optimal solution. A mediator is facilitative in that she/he manages the interaction between parties and facilitates open communication. Mediation is also evaluative in that the mediator analyzes issues and relevant norms (“reality-testing”), while refraining from providing prescriptive advice to the parties (e.g., “You should do...”).

What is mediation? Cont’d

Mediation, as used in law, is a form of alternative dispute resolution resolving disputes between two or more parties with concrete effects. Typically, a third party, the mediator, assists the parties to negotiate a settlement. Disputants may mediate disputes in a variety of domains, such as commercial, legal, diplomatic, workplace, community, and family matters.

“Neutrals”
What is mediation? Cont’d
Mediators use various techniques to open, or improve, dialogue and empathy between disputants, aiming to help the parties reach an agreement. Much depends on the mediator’s skill and training. As the practice gained popularity, training programs, certifications, and licensing followed, which produced trained and professional mediators committed to the discipline.

- JAMS
- American Arbitration Association (AAA)
- American Bar Association, ADR Section
- Association for Conflict Resolution (ACR)
- CPR Institute for Dispute Resolution
- National Association for Community Mediation

https://en.wikipedia.org/wiki/Mediation

Ending an Informal Process

(A) An informal resolution process, in which the parties voluntarily participate, may end in an agreement under which the respondent agrees to a disciplinary sanction or other adverse consequence, without the recipient completing a grievance process, under § 106.45(b)(9).

Id. at 30059 n.286.

§ 106.71(a)

(a) Retaliation prohibited. No recipient or other person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by title IX or this part, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this part. Intimidation, threats, coercion, or discrimination, including charges against an individual for code of conduct violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or formal complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by title IX or this part, constitutes retaliation.

§ 106.71(a) Cont’d

The recipient must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a formal complaint of sexual harassment, any complainant, any individual who has been reported to be the perpetrator of sex discrimination, any respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of 34 CFR part 106, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed according to the grievance procedures for sex discrimination required to be adopted under § 106.8(c).

§ 106.71(b)(1)

(b) Specific circumstances.

(a) The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under paragraph (a) of this section.
§ 106.71(b)(2)

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

Retaliation

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

Bias, Impartiality, Conflicts of Interest, Sex Stereotypes

Some complainants, including or especially girls of color, face school-level responses to their reports of sexual harassment infected by bias, prejudice, or stereotypes. § 106.45(b)(1)(iii) [prohibits] Title IX Coordinators, investigators, and decision-makers, and persons who facilitate informal resolution processes from having conflicts of interest or bias against complainants or respondents generally, or against an individual complainant or respondent, [and requires] training that also includes "how to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias." 📖

Bias/Prejudice/Stereotypes/Prejudgment/Conflicts of Interest

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

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

"Bias" in Ikpeazu v. University of Nebraska

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

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

Does DOE require “Implicit Bias” training?

The Department declines to specify that training of Title IX personnel must include implicit bias training; the nature of the training required under § 106.45(b)(10)(i)(D) is left to the recipient’s discretion so long as it achieves the provision’s directive that such training provide instruction on how to serve impartially and avoid prejudgment of the facts at issue, conflicts of interest, and bias, and that materials used in such training avoid sex stereotypes.

Conflict of Interest

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

Impartial

Not partial or biased: treating or affecting all equally

Prejudgment

A judgment reached before the evidence is available

Prejudice

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

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

“Sex Stereotypes”

- What is a sex stereotype? What does DOE mean by this term?
- What are some examples of sex stereotypes?
- An example of a scholarly paper on stereotypes:
- Sex stereotypes are to be avoided in training and in actual practice.
- Be especially careful when doing case studies of any kind.
- Anyone can be a complainant or respondent, and all are individuals!

All Title IX personnel should serve in their roles impartially.

All Title IX personnel should avoid

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

Whose side are you on as a Title IX operative?

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

§ 106.30(a) “Supportive Measures”

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

Supportive measures may include counseling, extensions of deadlines or other course-related adjustments, modifications of work or class schedules, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of the campus, and other similar measures.

The recipient must maintain as confidential any supportive measures provided to the complainant or respondent, to the extent that maintaining such confidentiality would not impair the ability of the recipient to provide the supportive measures. The Title IX Coordinator is responsible for coordinating the effective implementation of supportive measures.

§ 106.44(a) Cont’d

...The Title IX Coordinator must promptly contact the complainant to discuss the availability of supportive measures as defined in § 106.30, consider the complainant's wishes with respect to supportive measures, inform the complainant of the availability of supportive measures with or without the filing of a formal complaint, and...
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**Title IX Coordinator**
- Must offer and implement supportive measures.
- Implementation may require coordination with others on campus.

**Campus Culture and Climate**

**Education**
- Education is the great hope in overcoming violence.
- We can do Title IX compliance better! Use educational tools to promote the goals of Title IX.
- Years ago, RFK discussed the challenges of the “Mindless menace of violence”

Robert F. Kennedy, Cleveland, Ohio, 1968

**The Law**
- The law recognizes its own limits in regards to sex discrimination
- Resist "Legalese"

**“What we need in the United States is not violence or lawlessness; but love and wisdom, and compassion toward one another, and a feeling of justice toward those who still suffer within our country…”**

Robert F. Kennedy, Indianapolis, Indiana, 1968

**Education**
- Identify core educational challenges and opportunities
- Utilize academic departments focused on related issues: (Health studies, gender studies, etc.)
- Manage “trigger” issues in the classroom
- Train staff, faculty and students on Title IX, including sexual violence and other forms of sexual harassment
The Title IX System Itself

- Make your Title IX efforts known to the community
- Look to schools that have been through an investigation for clues
- Utilize the wisdom and experience of campus constituencies to help assess systems
- Effective response to Title IX incidents helps to foster a healthy culture!

Integration

- Integrate Title IX with other public health and wellness initiatives, such as alcohol and other drug prevention
- Interface Title IX into your institution’s mission statement and enterprise risk management (ERM) system

Sensitivity

- Sonar
- Multicultural Initiatives
- LGBTQIA
- Choose your words

Prevention

- Sexual assault prevention and awareness programs are required under the Clery Act
- Use evidence-based strategies (still developing) – Centers for Disease Control and Prevention, Division of Violence Prevention, Preventing Sexual Violence on College Campuses: Lessons from Research and Practice (April 2014)
- Use a comprehensive strategy
  Consider the following model from the CDC, Preventing Sexual Violence on College Campuses: Lessons from Research and Practice (April 2014)

Prevention

- Alcohol and drug prevention
- Social norming on violence
- Enlist everyone in prevention efforts → Men Can Stop Rape, No More Campaign
- Community efficacy work (Chicago Project, Dr. Felton Earls)
- Bystander intervention training:
  - NotAlone.gov – Bystander intervention factsheet: Bystander-Focused Prevention of Sexual Violence

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Prevention and Intervention

- Virginia Tech, Be an Active Bystander, http://www.stopabuse.vt.edu/bystander.php

Final thoughts...

THANK YOU!

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