





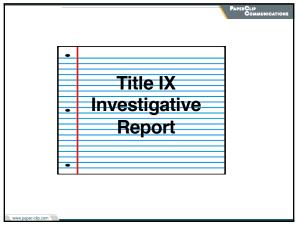
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What will we discuss today?

- Title IX regulations and key definitions
- Investigation process and investigative report
- Best practices for conducting an investigation impartially

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The statute, the final rule, what it all means

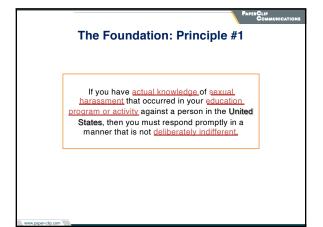
WHERE ARE WE TODAY?

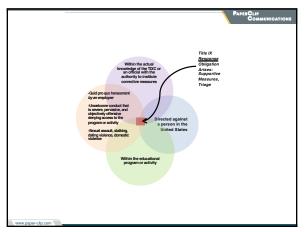
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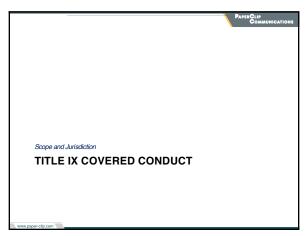
No person in the United States shall, on the basis of sex, -- be excluded from participation in, -- be denied the benefits of, or -- be subjected to discrimination under any education program or activity receiving Federal financial assistance.

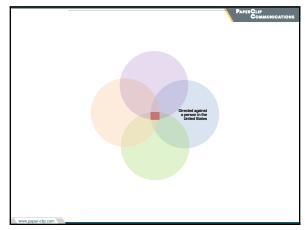
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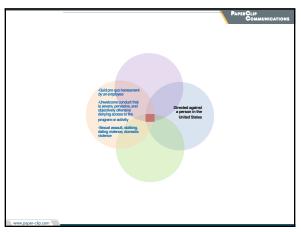
The Final Regulations - Final rule released by the Department of Education informally on its website on May 6, 2020 - (2000+ double-spaced pages) - Published in the Federal Register on May 19, 2020 (34 CFR Part 106) - (550+ tight single-spaced pages) - Effective date: August 14, 2020

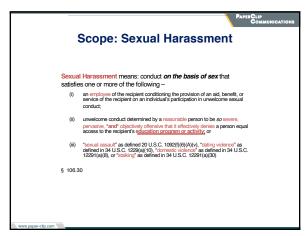


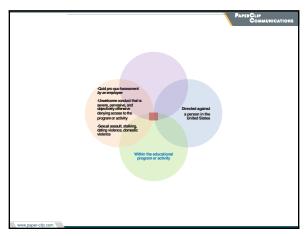


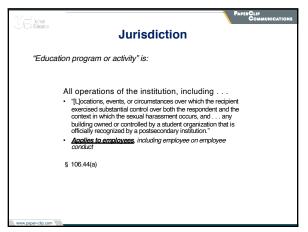


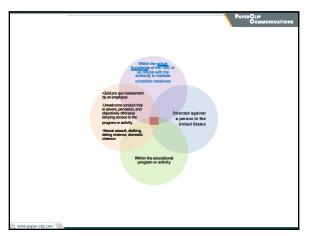












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Actual Knowledge Triggers Obligation to Respond

"Actual Knowledge means <u>notice</u> of sexual harassment or allegations of sexual harassment to a recipient's *Title IX Coordinator or any official of the recipient who has the authority to institute corrective measures* on behalf of the recipient..."

§ 106.30

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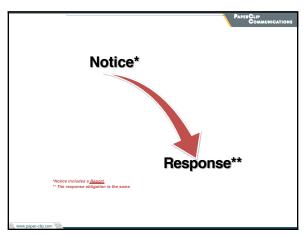
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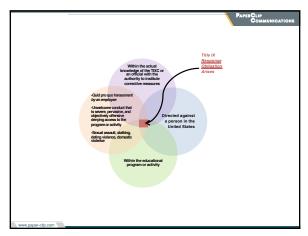
What Constitutes Notice?

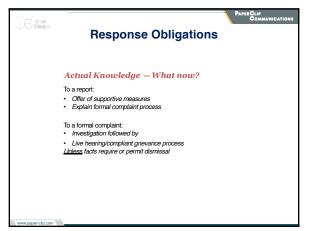
- "Notice results whenever . . . any Title IX Coordinator, or any official with authority: Witnesses sexual harassment; hears about sexual harassment or sexual harassment allegations from a complainant . . . or third party; receives a written or verbal complaint about sexual harassment or sexual harassment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

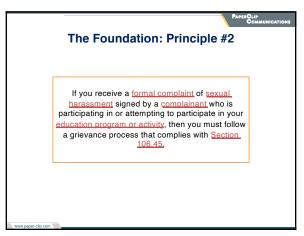
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Investigation The University must investigate allegations in a Formal Complaint • Remember: Formal Complaints request that the "recipient investigate the allegation of sexual harassment."

Notice of Meetings

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

§ 106.45(b)(5)(v)

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Right to Discuss Investigation

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

§ 106.45(b)(5)(iii)

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Advisors' Participation

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

§ 106.45(b)(5)(iv)

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Step One: Gathering Evidence

The Investigator must gather all available evidence sufficient to reach a determination regarding

• The investigator should:

responsibility.

- undertake a thorough search,
- for relevant facts and evidence,
- while operating under the constraints of completing the investigation under designated, reasonably prompt timeframes,
- and without powers of subpoena.

85 FR 30292

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Step One: Gathering Evidence

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

§ 106.45(b)(5)(i)

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Step One: Gathering Evidence

- Each party must have an equal opportunity to present witnesses, which includes both fact witnesses and expert witnesses.
- Similarly, each party must have an equal opportunity to present inculpatory and exculpatory evidence.
- § 106.45(b)(5)(ii).

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Step One: Gathering Evidence

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

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Step One: Gathering Evidence

- Cannot access, consider, disclose, or otherwise use a party's records
 made or maintained by a physician, psychiatrist, psychologist, or other
 recognized professional or paraprofessional acting in the professional's or
 paraprofessional's capacity, or assisting in that capacity, and which are
 made and maintained in connection with the provision of treatment to the
 party
- Unless the party provides voluntary, written consent.

§ 106.45(b)(5)(i)

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Step Two: Review of and Response to Evidence

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

§ 106.45(b)(5)(vi)

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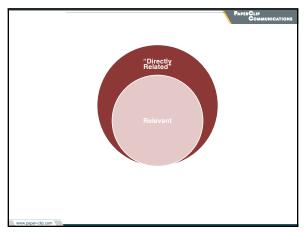
Step Two: Review of and Response to Evidence

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

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

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Step Two: Review of and Response to Evidence

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

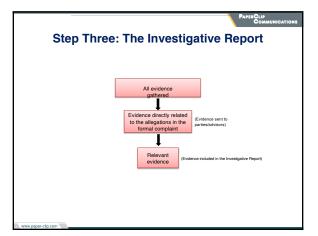
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Step Three: The Investigative Report After the parties have had the opportunity to inspect, review, and respond to the evidence, the Investigator must - Create an investigative report that fairly summarizes relevant evidence and, - At least 10 days prior to a hearing, send the report to each party and their advisor (if any) for their review and written responses. • (Hard copy or electronic format)

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Step Three: The Investigative Report "[T]hese final regulations do not prescribe the contents of the investigative report other than specifying its core purpose of summarizing relevant evidence."

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What is Relevant Evidence?

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

85 FR 30247 n. 1018

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Purpose of Requirement to Summarize Relevant Evidence

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

85 FR 30294

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What is Relevant Evidence?

rel·e·vant | \ 're-lə-vənt \ adj.

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

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

// relevant testimony

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Prohibition on Exclusion of Relevant Evidence

May not:

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

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What is Not Relevant?

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

85 FR 30293 n. 114

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"Rape Shield" Provision

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

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

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"[Q]uestions and evidence subject to the rape shield protections are not relevant.' and therefore the rape shield protections apply wherever the issue is whether evidence is relevant or not. The regulation] requires review and inspection of the evidence directly related to the allegations that universe of evidence is not screened for relevance, but rather is measured by whether it is 'directly related to the allegations.' However, the investigative report must summarize 'relevant' evidence, and thus at that point the rape shield protections would apply to preclude inclusion in the investigative report of irrelevant evidence."

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Challenges to Investigator's Relevancy Determinations

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

85 FR 30304

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Investigators' requirement

CONDUCTING THE INVESTIGATION
IMPARTIALLY

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Bias/Conflict of Interests

- "A recipient must ensure that Title IX Coordinators, <u>investigators</u>, decision-makers, and any person who facilitates an informal resolution process, receive training on . . . how to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias."
- Investigators "may not have a conflict of interest or bias for or against complainants or respondents generally or an individual complainant or respondent."

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Bias: what does it mean?

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

... and the Department encourages recipients to apply *an objective* (whether a reasonable person would believe bias exists), *common sense approach* to evaluating whether a particular person serving in a Title IX role is biased[.]"

85 FR 30248

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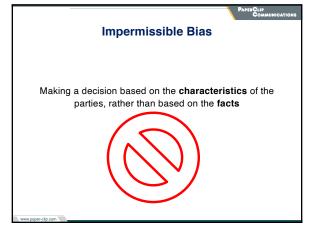
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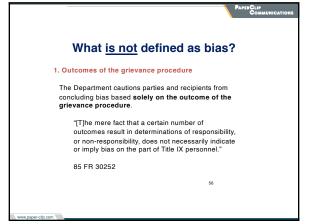
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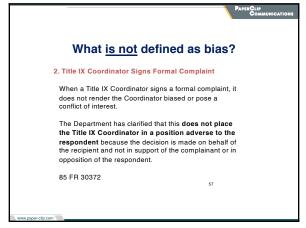
Bias: what does it mean?

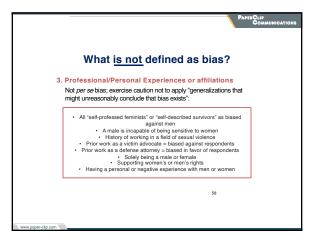
- Treating a party differently on the basis of the party's sex or stereotypes about how men or women behave with respect to sexual violence. 85 FR 30238-40.
- Treating any individual differently on the basis of an individual's protected characteristic, including sex, race, ethnicity, sexual orientation,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

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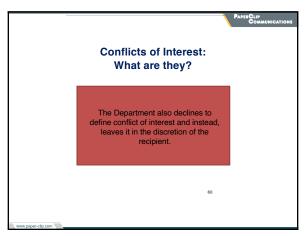
But consider . . .

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

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Conflicts of Interest: What are they?

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

85 FR 3036

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Conflicts of Interest: What are they?

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

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Serving Impartially Avoid prejudgment of the facts at issue, conflicts of interest, and bias & Don't rely on sex stereotypes

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

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Avoiding Prejudgment of the Facts at Issue Regulations necessitate a broad prohibition on sex stereotypes Decisions must be based on individualized facts, and not on stereotypical notions of what "men" and "women" do or not do 85 FR 30254

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Avoiding Prejudgment of the Facts at Issue The Department permits institutions to apply traumainformed practices, so long as it does not violate the requirement to serve impartiality and without bias It is possible, "albeit challenging," to apply traumainformed practices in an impartial, non-biased manner Any trauma-informed techniques must be applied equally to all genders 85 FR 30256, 30323

Avoiding Prejudgment of the Facts at Issue

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

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Avoiding Prejudgment of the Facts at Issue

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

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Now it's time for the Q&A.





