Key provisions of the Department of Education's new Title IX regulation:\(^1\)

- Defines sexual harassment to include sexual assault, dating violence, domestic violence, and stalking as unlawful discrimination on the basis of sex
- Provides a consistent, legally sound framework on which survivors, the accused, and schools can rely
- Requires schools to offer clear, accessible options for any person to report sexual harassment
- Empowers survivors to make decisions about how a school responds to incidents of sexual harassment
- Requires the school to offer survivors supportive measures, such as class or dorm reassignments or no-contact orders
- Holds colleges responsible for off-campus sexual harassment at houses owned or under the control of school-sanctioned fraternities and sororities
- Restores fairness on college and university campuses by upholding all students’ right to written notice of allegations, the right to an advisor, and the right to submit, cross-examine, and challenge evidence at a live hearing
- Shields survivors from having to come face-to-face with the accused during a hearing and from answering questions posed personally by the accused
- Requires schools to select one of two standards of evidence – the preponderance of the evidence standard or the clear and convincing evidence standard – and to apply the selected standard evenly to proceedings for all students and employees, including faculty
- Provides "rape shield" protections and ensures survivors are not required to divulge any medical, psychological, or similar privileged records
- Requires schools to offer an equal right of appeal for both parties to a Title IX proceeding
- Gives schools flexibility to use technology to conduct Title IX investigations and hearings remotely
- Protects students and faculty by prohibiting schools from using Title IX in a manner that deprives students and faculty of rights guaranteed by the First Amendment

\(^1\) https://www.ed.gov/news/press-releases/secretary-devos-takes-historic-action-strengthen-title-ix-protections-all-students#:~:text=Key%20provisions%20of%20the%20Department%20on%20basis%20of%20sex&text=Requires%20schools%20to%20offer%20clear%20person%20to%20report%20sexual%20harassment
Title IX


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.

Under Title IX, sexual harassment is Title IX Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking. Title IX also prohibits Retaliation.

Definitions

- **Dating Violence**: Violence committed by a person: (a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and, (b) where the existence of such a relationship shall be determined by (i) the length of the relationship; (ii) the type of relationship; and (iii) the frequency of interaction between the persons involved in the relationship.

- **Domestic Violence**: Violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state, or 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 state.

- **Retaliation**: Intimidation, threats, coercion or discrimination, including charges against an individual for code of conduct violations that do not involve Title IX Sexual Harassment, but arise out of the same facts or circumstances as a Report or Formal Complaint of Title IX Sexual Harassment, for the purpose of interfering with any right or privilege secured by Title IX.

- **Title IX Sexual Harassment**: Conduct on the basis of sex that satisfies one or more of the following:

  1. An Employee of the institution conditioning the provision of an aid, benefit or service of the institution on an individual’s participation in unwelcome sexual conduct; or

  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 institution’s Education Program or Activity.

- **Sexual Assault**: Any conduct that would constitute a forcible or nonforcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation. Sexual Assault includes the following prohibited conduct:
1. **Rape (Except Statutory Rape)** - the carnal knowledge of a person, without the Consent of the person, including instances where the person is incapable of giving Consent because of their age or because of their temporary or permanent mental or physical incapacity. “Carnal knowledge” means contact between the penis and the vulva or the penis and the anus, including penetration of any sort, however slight.

2. **Sodomy** - oral or anal sexual intercourse with another person, without the Consent of the person, including instances where the person is incapable of giving Consent because of their age or because of their temporary or permanent mental or physical incapacity.

3. **Sexual Assault with An Object** - to use an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the Consent of the person, including instances where the person is incapable of giving Consent because of their age or because of their temporary or permanent mental or physical incapacity.

4. **Fondling** - touching of the private body parts of another person for the purpose of sexual gratification without the Consent of the person, including instances where the person is incapable of giving Consent because of their age or because of their temporary or permanent mental or physical incapacity.

5. **Incest** - nonforcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

6. **Statutory Rape** - nonforcible sexual intercourse with a person who is under the statutory age of consent.

- **Stalking**: engaging in a course of conduct directed at a specific person that would cause a reasonable person to: (a) fear for their safety or the safety of others; or (b) suffer emotional distress.
Role of Title IX Coordinator

The Title IX Coordinator oversees and manages the institution’s efforts to comply with Title IX, including overseeing the Title IX Policy and the publication and dissemination of information required by Title IX. The Title IX Coordinator’s responsibilities include:

(1) receiving and responding to reports of conduct that may constitute a violation of the institution’s Title IX policy;

(2) coordinating the effective implementation of Supportive Measures;

(3) designating Investigators, Facilitators, and Decision-makers to act, without bias or conflict of interest, pursuant to the Grievance Process;

(4) ensuring that the technology needed to conduct and record hearings is available;

(5) implementing effectively any Remedies or discipline imposed by a Decision-maker upon a finding of a violation of the institution’s Title IX policy; and

(6) complying with the record-keeping requirements of the institution’s Title IX policy.

Role of Deputy Title IX Coordinators

The Deputy Title IX Coordinator supports the Title IX Coordinator in fulfilling their role and responsibilities and may serve as the Title IX Coordinator’s designee to carry out any response, action, initiative, project or other responsibility outlined in the institution’s Title IX policy.
Intake

- When the Title IX Coordinator or a Campus Official receives a Report, the institution will respond by:

  (A) equitably offering Supportive Measures to the Complainant and Respondent, whether or not a Formal Complaint is filed; and

  (B) refraining from imposing upon Respondent disciplinary sanctions or other actions that are not Supportive Measures unless and until the Respondent is found responsible for a violation of this Policy through a completed Grievance Process.

Notwithstanding the foregoing, the institution may impose an Emergency Removal or Administrative Leave.

➢ Discuss: Steps upon receipt of report
Which institutional policy applies?

- With or without a Formal Complaint, when the information gathered as part of the intake of a potential Title IX matter concludes with a determination that the alleged conduct does not fall within the scope of the Title IX Policy but involves conduct that, if found to have occurred, violates another institution policy, the matter will be referred for further action under the applicable institution policy.
- The determination regarding next steps will be communicated to the parties in writing.
- When a Formal Complaint has been submitted, the referral information may be included in the Notice of Dismissal from the Title IX process.
- The Parties have the right to submit an appeal from dismissal of a Formal Complaint on grounds enumerated in the policy.

➢ Discuss: Decision-making analysis
Supportive Measures

- Promptly after receipt of a Report, the Title IX Coordinator will contact the Complainant and Respondent (if identified or identifiable based upon the Report) to discuss the availability of Supportive Measures, which are available with or without the filing of a Formal Complaint.

- In evaluating the Supportive Measures to be provided, the Title IX Coordinator will make an individualized determination, considering Complainant’s wishes and other relevant factors, of the non-disciplinary, non-punitive measures that will be provided to the Complainant and Respondent to restore or preserve equal access to the institution’s Education programs or Activities, to protect the safety of the Parties, and/or to deter Title IX Sex Discrimination.

- All Supportive Measures will be provided without fee or charge and without unreasonably burdening the other Party.

- Supportive Measures will be maintained as confidential by the institution to the extent that confidentiality will not impair the ability to provide the Supportive Measures.

- Examples of Supportive Measures that may be implemented by the institution include but are not limited to:
  - Academic extensions or adjustments
  - Campus escort services
  - Changes in housing
  - Counseling
  - Increased security or monitoring of certain areas of the campus
  - Modifications of class or work schedules
  - Mutual restrictions on contact between the Parties

- Appropriate Supportive Measures will also be available to employees

  ➢ Discuss: Supportive Measures evaluation and oversight process
Emergency Removal

- A decision to remove a Respondent after an individualized analysis concluding that there is an immediate threat to the physical health or safety of any student or other individual arising from allegations of Title IX Sexual Harassment. Respondents can request review of an Emergency Removal.

- Prior to implementing an emergency removal, the institution will first gather information to undertake an individualized safety and risk analysis. The analysis will be conducted by an individual who is free from bias or conflict of interest; who has relevant knowledge and experience; and who will not be involved in any later Grievance Process related to the student who is being evaluated for potential removal.

Factors to be Considered

- The emergency removal analysis will focus on the specific Respondent at issue and examine the specific circumstances arising from the allegations of Title IX Sex Discrimination that potentially pose an immediate threat to a person’s physical health or safety.

- To evaluate the presence of an “immediate threat,” the institution will consider:
  - a Complainant’s stated subjective fear and will also apply an objective reasonable person standard
  - the student’s propensity, opportunity, and ability to carry out a stated or potential threat
  - whether Supportive Measures are a more appropriate and less restrictive means to negate or sufficiently minimize the likelihood of a threat being carried out
  - Respondent’s rights, if any, under applicable federal and/or state disability law

- As part of its analysis, the institution may rely on objective evidence and current medical knowledge, and may consult with a licensed evaluator to analyze the information gathered.

- In addition, the relationship between a threat and the physical health or physical safety of any student or other individual will also be carefully evaluated.
  - In some but not all cases, threatening speech or virtual interactions without an associated action may rise to the level of a threat to physical health or physical safety.
  - If the threat a Respondent poses is in the nature of potential emotional impact only, the institution will instead focus on identifying appropriate Supportive Measures.

- The institution will also closely examine whether the emergency created by the immediate threat arises from the allegations of conduct that could constitute Title IX Sex Discrimination under this Policy. As an example, an immediate threat to Complainant’s physical safety is likely present when a Respondent threatens physical violence against the Complainant in response to the Complainant’s allegations of verbal harassment by the Respondent. Threats of physical self-harm will be addressed under separate, applicable policies. If the
individualized safety and risk analysis results in a determination that a Respondent’s actions pose an immediate and identified threat, but do not arise from allegations of Title IX Sex Discrimination, the institution will respond pursuant to other applicable policies and/or procedures.

- The institution’s assessment of the appropriateness of emergency removal will account for its multiple potential impacts, including: whether providing the Complainant Support Measures will be sufficient to ensure equal educational access; the adverse impacts of separating a Respondent from educational opportunities and benefits; and the protection of the health and safety of [Institution’s] community. When assessing an emergency removal, the institution will also consider the anticipated timeline of an investigation and hearing. Given these evaluations are necessarily fact specific, in some cases the institution may determine that restricting a Respondent’s participation in specific programs or activities will adequately address the situation.

**Emergency Removal is Not Discipline nor a Determination of Responsibility**

- At all stages of the process, the institution will ensure that the emergency removal will not impose a premature sanction on the Respondent or circumvent the Grievance Process.
- An emergency removal does not equate to a Determination of Responsibility for a Policy violation and will not result in a presumption of responsibility in any subsequent Grievance Process.

**Ongoing Evaluation**

- The institution will continually evaluate whether the presence of an immediate threat to physical health or safety of a student or another individual has remained the same or changed such that the removed student can be safely returned to programs or activities in a partial or complete manner.

**Notice of Emergency Removal and Opportunity to Request Review**

- In the event the institution determines that emergency removal of a Respondent is appropriate, the Respondent will be notified in writing within X (#) Business Days of the removal decision. This written notice will include details about the specifically identified emergency threat of physical safety or harm underlying the decision, as well as information about the Respondent’s immediate opportunity to request review of the Emergency Removal decision.
Placement of Employee on Administrative Leave

- In the event a Formal Complaint alleges conduct that could constitute Title IX Sex Discrimination and identifies an Employee as Respondent, the institution may decide to place the Respondent on administrative leave, in emergency and non-emergency situations. The purpose of such an administrative leave is to allow a temporary separation of the Employee while the Grievance Process is ongoing. The institution will determine the terms and conditions of the leave on a case-by-case basis.

- The decision process for placing an Employee-Respondent on leave will respect their rights under Title VII, Americans with Disabilities Act, and all other applicable employment laws.

  Discuss: Evaluation and review (appeal) process, including who will complete the individualized risk analysis
Weighing a Complainant’s Request Not to Proceed with the Grievance Process

General Description of Process

- If a Complainant requests that the institution refrain from proceeding with the Grievance Process, the Title IX Coordinator may still decide that proceeding with the Grievance Process is necessary. The Title IX Coordinator must weigh such a request against the institution’s obligation to provide a safe, non-discriminatory environment for all community members and will confer with the Complainant when reaching a determination whether to proceed.

Decision to Proceed

- If the institution determines that it must proceed with the Grievance Process, the Title IX Coordinator will notify both Parties prior to commencing any investigation.

- In the event the Title IX Coordinator decides to proceed, the Complainant will still be treated as a Party within the Grievance Process.

- Even a non-participating Complainant will be offered Supportive Measures, which will be reviewed and evaluated on an ongoing basis, and will be provided information regarding their right to report a crime to campus or local law enforcement and with assistance if they wish to do so.

Discuss: Decision to proceed or not
Formal Complaint

- A Report does not constitute a Formal Complaint.

- The institution can accept signed Formal Complaints electronically, by mail or in person and may decide to publish a Formal Complaint form online. An individual can also prepare a document with the required contents of a Formal Complaint and submit it to the Title IX Coordinator.

- Finally, an individual may speak with the Title IX Coordinator prior to submitting a Formal Complaint, and the Title IX Coordinator can assist in filling out a Formal Complaint with the understanding that the Formal Complaint cannot be accepted without the Complainant’s signature.

➢ Discuss: Steps following receipt of Formal Complaint
After Filing and Acceptance of Formal Compliant: Grievance Process Steps

- Notice of Investigation
- Investigation
- Opportunity to Review/Respond to Information Gathered During Investigation and Directly Related to Allegations of the Formal Complaint (must provide at least 10 days to provide a written response to the evidence)
- Opportunity to Review/Respond to Investigation Report (must provide at least 10 days to provide a written response to the Report)
- Notice of Live Hearing
- Challenge to Hearing Board Member
- Live Hearing (live hearing must be held no fewer than 10 days after sending the Investigation Report)
- Written Determination following a Live Hearing
- Appeals

➢ Discuss: Title IX Coordinator role in each step of grievance process, including notice of extension of time frames for good cause
Designating investigators, hearing board, and appeals panel members

- Determining bias and/or conflicts of interest
- Ensuring training, availability, and capability

➢ Discuss: Decision-making process to designate investigators and decision-makers (hearings and appeals)
Investigation Report Redactions

- Possible approach: At the conclusion of the investigation, the Investigator will assemble all inculpatory and exculpatory information gathered during the investigation that is directly related to the allegations of the Formal Complaint, including information upon which the institution does not intend to rely in reaching a determination regarding responsibility. The Investigator or Title IX Coordinator will redact information that is unrelated to the allegations of the Formal Complaint or otherwise not admissible in the Grievance Process (i.e., (a) because it is subject to an unwaived legally recognized privilege, (b) it relates to Complainant’s sexual predisposition or (c) constitutes prior sexual history not offered to establish: (i) Consent or (ii) that Respondent did not engage in the alleged misconduct).

- Optional: The institution may create a list describing information it has redacted or removed as irrelevant, inadmissible or not directly related to the allegations of the Formal Complaint, which it may allow the Parties to inspect.

  o This language from the Preamble (p. 1507) explains why institutions might include this in your Policy:

    As a method to protect against such a finding [of excluding evidence a Party should be able to review], the Department suggests that the institution compile a document, akin to a privilege log in litigation, in which it “log[s] information that it does not produce and allow the Parties to dispute whether the information is directly related to the allegations.” The Department is careful to note that while it “does not impose a requirement to produce such a log during an investigation,” institutions may choose to do so, and “may use such a log to demonstrate that both Parties agreed certain evidence is not directly related to the allegations raised in a Formal Complaint.”

- Discuss: Redaction and redaction record-keeping process
Hearing Process

- **Possible Order of the Live Hearing**

  1. The Chair will call the Live Hearing to order and will explain the hearing process, which will include a reading of the charge(s) at issue and will provide an opportunity for all Parties to ask procedural questions prior to opening statements.
  
  2. The Parties shall be informed that the hearing is being recorded. The recording is the sole official verbatim record of the Live Hearing and is the property of the College.
  
  3. The Complainant may present an opening statement related to the charges. [Institutions may impose a time limit]
  
  4. The Respondent may present an opening statement related to the charges. [Institutions may impose a time limit]
  
  5. The Hearing Board will ask the Complainant questions relevant to the charges.
  
  6. The Respondent’s Advisor may ask Complainant relevant questions and follow-up questions, including those challenging credibility (i.e., cross-examination).
  
  7. The Hearing Board will ask the Respondent questions relevant to the charges.
  
  8. The Complainant’s Advisor may ask Respondent relevant questions and follow up questions, including those challenging credibility (i.e., cross-examination).
  
  9. The Hearing Board may call Witnesses to provide relevant information to the Hearing Board.
  
  10. At the conclusion of each Witness, Complainant and Respondent’s Advisors may ask each Witness relevant questions and follow up questions, including those challenging credibility (i.e., cross-examination). The Parties may never ask questions directly of the Witnesses.
  
  11. First, Complainant’s Advisor will ask questions of each Witness and then Respondent’s Advisor will ask questions of each Witness. Complainant’s Advisor will then have one more opportunity to ask questions of each Witness and Respondent’s Advisor will have one more opportunity to ask questions of each Witness.
  
  12. Before a Witness answers a question from an Advisor, the Hearing Board must first determine whether the question is relevant.
  
  13. At the conclusion of the testimony of the Parties and the Witnesses, the Parties will be able to make a closing statement, with the Complainant going first and the Respondent going next. [Institutions may impose a time limit]
  
  14. The Chair announces that the Live Hearing is concluded.

- **Discuss:** Hearing logistics and oversight
Role of Advisors, Rules of Decorum, and Rape Shield Rules

- Role of Advisors/Rules of Decorum
  - Advisors must conduct themselves quietly and professionally, must not disrupt any meeting, interview or proceeding, and must comply with any rules of decorum imposed by the institution.
  - Advisors may not speak during the hearing process, except in connection with asking cross-examination questions. Other than cross-examination, Advisors may not speak to the Hearing Board, make statements or arguments, or answer questions on behalf of a Party.
  - Advisors cannot direct the party how to answer a question. Parties should provide their own responses to questions, not the responses their Advisor believes would be best.

- Rape Shield Protections
  - All questions and evidence about Complainant’s sexual predisposition are irrelevant.
  - All questions and evidence about Complainant’s prior sexual behavior are irrelevant unless offered to prove that someone other than the Respondent committed the alleged misconduct or offered to prove Consent.
  - Note, if there is a cross-complaint, Respondent could also be a Complainant and vice versa.

➤ Discuss: Enforcement
Remedies and Sanctions

- Title IX Coordinator must implement effectively any Remedies or discipline imposed by a Decision-maker upon a finding of a violation of the institution’s Title IX Policy

- Title IX requires that the institution provide notice of the range of sanctions, and institutions should include their definitions of specific sanctions in their policies

- Possible Sanctions:

  *Students*

  - Expulsion (permanent separation)
  - Suspension
  - Deferred Suspension
  - Disciplinary Probation
  - Disciplinary Probation with deferred removal from the residence halls
  - Loss of housing contract
  - Residence hall probation
  - Conduct warning
  - Title IX Sex Discrimination education or other relevant education
  - Parent or guardian notification (subject to privacy restrictions)
  - Financial restitution
  - Organizational sanctions including probation and rescinding recognition or other organizational restrictions
  - Fine
  - Community restoration and/or community service
  - Loss of campus privileges
  - Loss of campus employment and/or opportunities for campus employment
  - Withholding records or degree
  - Revocation of admission and/or degree
  - Bar against registration
  - Discretionary action
  - Substance abuse education and/or evaluation
Employees

- Termination of employment
- Revocation or denial of tenure
- Suspension
- Demotion
- Progressive discipline
- Warning
- Loss of pay or other pay adjustments
- Job transfer
- Change or restrictions in work location and/or job responsibilities
- Title IX Sex Discrimination education
- Restrictions on the Employee’s communications
- Limitations on the Employee’s movement in or on the institution’s campus, programs, and activities

Note: Institutions with unions will have to bargain with the union over the Grievance Process. This language is a possible approach to be discussed with faculty, staff, and union, as applicable.

Factors in Determining Sanctions

In considering the appropriate sanction within the recommended outcomes, the Hearing Board may consider the following factors:

- Respondent’s prior discipline history;
- how the institution has sanctioned similar incidents in the past;
- the nature of the conduct at issue, including whether there was violence or other use of force;
- the impact of the conduct on the Complainant;
- the impact of the conduct on the institution’s community, its members or the institution’s property;
- whether the Respondent accepted responsibility;
- whether the Respondent is reasonably likely to engage in the conduct in the future;
- any other mitigating or aggravating circumstances, including the institution’s values;
- the institution’s obligation to eliminate Prohibited Conduct, prevent its recurrence, remedy its effects, and to maintain an environment free from conduct prohibited by Title IX; and
- Respondent’s lack of comprehension that conduct prohibited by Title IX violates the bodily or emotional autonomy and dignity of a victim does not excuse the misconduct,
though genuine lack of understanding may, in the institution’s discretion, factor into the sanction decision.

*Remedial Action*

- The Decision-maker(s) may consider other remedial actions to address and resolve any incident of conduct prohibited by the institution’s Title IX Policy and to prevent its recurrence, including:
  - strategies to protect the Complainant and any Witnesses from retaliation;
  - counseling for the Complainant;
  - other steps to address any impact on the Complainant, any Witnesses, and the broader campus community; and
  - any other necessary steps reasonably calculated to prevent future occurrences of harassment.

*Failure to Comply with Sanctions*

- Failure to comply with the sanctions or conditions imposed by the Decision-maker(s) will result in action under the institution’s [student code of conduct or Faculty or Employee Handbooks, as applicable].

Discuss: Evaluation of factors and sanctions determination process for students and employees
Employment Issues

- Title IX Policy and Faculty Manual
- Title IX Policy and Unionized Employees
- Option to honor an employee’s wishes not to proceed, in light of Title VII and NY employment law

Discuss: Integration of faculty and staff manuals and campus conversations
Consolidation of Complaints in NY

• Title IX Regulations:

The institution may consolidate its processing of Formal Complaints in appropriate circumstances, such as when allegations arise out of the same facts or circumstances and multiple Complainants allege misconduct by one Respondent, multiple Complainants allege misconduct by more than one Respondent, one Complainant makes multiple allegations against one Respondent or a Respondent makes a cross-complaint against the Complainant. All parties will be notified in writing of a decision to consolidate Formal Complaints.

• New York: Whether matters involving prior sexual history may be consolidated requires an evaluation under NY Education Law Article 129B (Section 6444 (5)(c)(vi))

➢ Discuss: Ensuring compliance with Enough is Enough (NY only)
Recordkeeping

The following records must be maintained for seven (7) years. The records maintained shall be kept confidential and not disclosed, except as permitted or required by law. The records may be maintained in paper or digital files.

In connection with each Report and each Formal Complaint, to the extent these records exist:

1. documentation of any Report of alleged Title IX Sex Discrimination;
2. documentation of any Supportive Measures or, if no Supportive Measures are provided, the reasons why and an explanation of how the institution’s response was not clearly unreasonable;
3. the Formal Complaint;
4. Notice of Dismissal of Formal Complaint and any associated documents;
5. documentary evidence gathered in the course of an investigation and photographs or descriptions of nondocumentary evidence gathered in the course of an investigation;
6. written responses of the parties provided prior to finalization of the Investigation Report;
7. the Investigation Report;
8. the audio recording, audiovisual recording or transcript of any Live Hearing;
9. the Written Determination;
10. any Appeal and Written Appeal Decision;
11. records of the sanctions and/or remedies;
12. records of any other steps taken to restore or preserve equal access to the institution’s Education Program or Activity,
13. any written agreement of an Informal Resolution; and
14. a statement documenting the basis for the institution’s conclusion that its response to a report or formal complaint was not deliberately indifferent.

The institution shall also maintain all materials used to train its Title IX Coordinators, Investigators, Decision-makers, and Facilitators and a copy of each version of its Title IX Policy on Sex Discrimination.

- Discuss: Recordkeeping protocols