Sexual Misconduct Investigations – Procedural Elements

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Agenda

1. Title IX Intro
2. Initial Steps
3. Resolution Options
4. Ongoing Elements
5. Closing Steps
6. Transition to Adjudication Stage
7. Documentation & Record Keeping
Introduction

Key Concepts & Framework

Distinctions...

Sexual Harassment
- Employee
- Quid Pro Quo
- Severe
- Pervasive
- Obj. Offensive
- Sexual Assault
- Dating Violence
- Domestic Violence
- Stalking

Non-Sexual Harassment
- Ex. Other Inappropriate Sexual Conduct
Definition of “Sexual Harassment” under Title IX

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 (Quid Pro Quo);
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; or
3. “**Sexual assault,” “dating violence,” “domestic violence,” or “stalking**” as defined under Clery/VAWA.

*Source: Title IX Regulations (2020)*

#2 Element Examples

- **“Severe”**: Physically threatening or humiliating; effects of the alleged conduct to a reasonable person (using a “reasonable person” standard)
- **“Pervasive”**: Frequency, duration of the alleged conduct
- **“Objectively offensive”**: To a reasonable person (using a “reasonable person” standard)
- **“Reasonable person” standard**: An objective test to denote a hypothetical person who exercises average care, skill, and judgment in conduct under similar circumstances as a comparative standard.
- **“Effectively denies...equal access”**: Totality of the circumstances

For example, the degree of the alleged conduct’s interference with the CP or effects in an educational setting, type of alleged conduct, frequency and duration of the conduct, knowingly unwelcome in nature
"Education program or activity" under Title IX

Includes locations, events, or circumstances over which the institution exercises substantial control over both the respondent and the context in which the alleged sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by the institution.

- Example of a “building owned or controlled by a student organization”: Fraternity or sorority house that is occupied by students of the organization, and the student organization is a recognized organization with the institution.

Source: Title IX Regulations (2020)

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Definition of "Other Inappropriate Sexual Conduct"

Conduct on the basis of sex that does not meet the definition of “sexual harassment” (under the Model Policy), but is prohibited inappropriate or unprofessional sexual conduct.

Such conduct is:

1. **Verbal conduct** (including through electronic means), unwanted statements of a sexual nature intentionally stated to a person or group of people, that are objectively offensive to a reasonable person and also so severe or pervasive that it created a Hostile Environment.

2. **Physical conduct** that is objectively offensive to a reasonable person and also so severe or pervasive that it created a Hostile Environment.

Source: UT System Model Policy for Sexual Misconduct (2022)
“Other Inappropriate Sexual Conduct” Cont.

Possible Examples (depending on facts):

- Unwelcome sexual advances (including explicit or implicit proposition(s) of sexual contact or activity);
- Requests for sexual favors (including overt or subtle pressure);
- Gratuitous comments about an individual’s sexual activities or speculation about an individual’s sexual experiences;
- Gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
- Persistent, unwanted sexual or romantic attention;
- Exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials;
- Deliberate, repeated humiliation or intimidation;
- Sexual exploitation;
- Unwelcome intentional touching of a sexual nature;
- Deliberate physical interference with or restriction of movement; or
- Consensual sexual conduct that is unprofessional and inappropriate, and created a Hostile Environment.

Source:
UT System Model Policy for Sexual Misconduct (2022)

Key Pillars: Title IX Process

For all of the participants in the process:
Complainants
Respondents
Witnesses
Third-party Reporters
Serving Impartially in Your Role

- Must avoid **prejudgment** of the facts at issue
- Must avoid **conflicts of interest**
- Must avoid **bias**

**Source:** Title IX Regulations (2020)

Principles for Title IX Process

- Must maintain **complete neutrality & impartiality at all times** in investigating alleged conduct violations of institutional policies.
- Understanding bias & whether it exists: Need to take an “**objective, common sense approach to evaluating whether a person serving in a role is biased.”** *(Title IX Preamble (2020))...*
• Must **not** treat a party differently:
  o On the basis of the person’s **sex**;
  o On **stereotypes** about how men or women behave with respect to sexual violence; and/or
  o On the basis of the person’s **protected characteristics**.

*Source: Title IX Preamble (2020)*
Resolution Flowchart

A Report to TIXC

*Can be submitted by anyone: Complainant, witness, third-party, employee, etc.*

Triage & Preliminary Assessment

Formal Complaint

*Submitted/Signed by CP*     *Submitted/Signed by TIXC*

Written Notice of Formal Complaint

Supportive Measures | Rights & Options | Notice of Grievance Process

Resolution Options

Formal Grievance Process | Informal Resolution | Formal Complaint Dismissal

Written Notice of Formal Complaint

Upon receipt of a formal complaint, promptly send written notice to CP & RP:

- Notice of the grievance process under the policy;
- Notice of the allegations that *potentially constitute* prohibited conduct under the policy, sufficient details about the alleged conduct: Date(s), time(s), and location(s);
- A statement that the potential policy violations are being investigated;
A statement that the RP is presumed not responsible for the alleged conduct and that the determination regarding responsibility will be made at the conclusion of the grievance process;

Both parties may have an advisor of choice, who may be, but is not required to be, an attorney, and may inspect and review all evidence;

A statement that the parties may review evidence gathered as part of the any investigation;

A provision of the policy that knowingly making false statements or knowingly submitting false information during the grievance process is prohibited and subject to disciplinary action;

Any other relevant information for the written notice; and

A statement that retaliation is prohibited under the policy. (recommended)
Other resources to include with the written notice:

1. Supportive measures available for both parties
2. Campus & local resources or services
3. Rights & options of both parties
4. A copy of the grievance process & policy
5. Title IX Coordinator & Investigator(s) contact information

Information and Support
- To be informed of and have access to counseling, medical, academic, and other applicable support services, including confidential resources.
- To be informed of the importance of a victim going to a hospital for treatment and the preservation of evidence, if applicable, as soon as practicable after an alleged incident.
- To be informed of a notice of formal complaint to the University, whether filed by a CP or the TIXC.
- To receive information and ask questions about the formal and informal processes.

Equal Opportunity and Representation
- To receive a prompt, fair, equitable, and impartial grievance process
- To be given equal chance to participate in a grievance process, including the opportunity to identify witnesses and other relevant evidence and to choose not to actively participate in the grievance process, if desired.
- To have an advisor of choice present during all meetings and grievance proceedings.
- To have an advisor provided for a party at a hearing under the Title IX/SH grievance process, if an advisor of choice is not present.
- To have access and equal opportunity to inspect and review any evidence obtained as part of the investigation, and to receive a copy of the completed investigation report.
- To be equally informed of any determinations regarding responsibility, dismissals of formal complaints, and/or a party’s filing of an appeal.
- To appeal a determination regarding responsibility and/or dismissals of formal complaints.
- To file a report with local and/or campus law enforcement authorities.

Party’s Rights
A Complainant and Respondent have the following rights during a grievance process:
Complainant’s Rights (related to the Grievance Process)

- To **report** an incident and/or file a **formal complaint** with the University.
- To **request** in writing that the University **not investigate** a reported incident and be **informed** of the **University’s decision** whether or not to investigate.
- To **request** in writing a **dismissal** of a formal complaint (e.g. withdraws the formal complaint or any allegations therein).

Resolution Options
Resolution Flowchart

A Report to TIXC

Can be submitted by anyone: Complainant, witness, third-party, employee, etc.

Triage & Preliminary Assessment

Formal Complaint
Submitted/Signed by CP
Submitted/Signed by TIXC

Written Notice of Formal Complaint
Supportive Measures Rights & Options Notice of Grievance Process

Resolution Options
Formal Grievance Process Informal Resolution Formal Complaint Dismissal

Supportive Measures

Emergency Removal or Administrative Leave

Supportive Measures

Emergency Removal or Administrative Leave

Formal Grievance Process Flowchart (Zoomed-In)
Sexual Misconduct Cases

Formal Complaint/Notice Issued

Investigation Initiated
Gathering Evidence Witness Interviews

Process Resolution Options
Investigation Report Informal Resolution Formal Complaint Dismissal

Next Steps (if applicable)
Adjudication Appeal F.C. Dismissal

Supportive Measures for CP & RP

Emergency Removal or Administrative Leave

Supportive Measures

Emergency Removal or Administrative Leave

Supportive Measures

Emergency Removal or Administrative Leave
Conducting an Investigation: Ongoing Elements

Investigative Framework

- Establish **facts & timeline(s)**.
- Understand each party’s **perception & experiences** of the alleged incident(s).
- Elicit **details & descriptions** of the alleged incident(s) from the parties & witnesses.
- Address **disputed facts or conflicting evidence** (if any) & seek responses from the parties (if applicable).
- Gather **sufficient information available** for a determination of facts, importance, & relevance to the formal complaint.
Investigator Considerations

• One or two investigators?
• Roles of each investigator?
  o Facilitator
  o Notetaker
• Interview notetaking or recording?

Investigation Plan: The Foundation

Basis for the investigation?

• Alleged **incident** of prohibited conduct
• Alleged **pattern** of prohibited conduct
• Alleged **climate issue(s)** in an area or department

**Note:** It is the institution’s decision on how an investigation may be handled.
Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others or suffer substantial emotional distress.

For the purposes of this definition:

- **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.

- **Reasonable person** means a reasonable person under similar circumstances and with similar identities to the victim.

- **Substantial emotional distress** means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.
Basis: Pattern Investigations

• **Multiple incidents** of similar type of alleged conduct or circumstances with same RP?
• **Multiple complainants** regarding same or multiple incidents of similar type of alleged conduct or circumstances with same RP?
• **Multiple respondents** regarding same incident or situation?
• **Student organization** allegations?

**Note:** It is the institution’s decision on how a pattern-based investigation may be handled.

Considerations: Allegation Patterns

• **Reports vs. Formal Complaints?**
  o **Report history** for same RP regarding similar conduct allegations? **Applicability** (if any) to the current investigation?
• **Consolidate pattern allegations** into one investigation?
• May be **larger-scale** in scope.
• **Multiple incidents**? May lend **credibility to witness testimony** regarding allegations of similar conduct with same RP?
• **Multiple complainants**? Information/privacy waivers, participation?

**Note:** It is the institution’s decision on how a pattern-based investigation may be handled.
Considerations: Allegation Patterns (Cont.)

- Balance focus on the individual and pattern elements of consolidated investigations:
  - Based on the scope of the investigation, consider each allegation on its own merits, with the relevant evidence gathered for each allegation
  - Same grievance process applied
- Document the justification for consolidating the investigation, if applicable. Examples might include, but are not limited to:
  - Multiple allegations? Similarity of allegations? How so?
  - Overlapping witnesses?
- Student-based allegation patterns: Emergency removal threshold met? (Individualized safety & risk analysis)

**Note:** It is the institution’s decision on how a pattern-based investigation may be handled.

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Basis: Climate Investigations

- Generalized concerns about the climate, environment, or policies in a program or department.
- No specific incidents or allegations with a program or department.
- Reputational concerns or exit interview statements regarding a program or department.

**Note:** It is the institution’s decision on how a climate-based investigation may be handled.
Considerations: Climate Allegations

- May be larger-scale and more open in scope.
- Without specific RP’s for a formal written notice, provide notice to the program director or department chair.
- Invite program or department affiliates as witness interviews, general prompts.
- As evidence is collected & reviewed, triage & determine if the basis or scope needs to be updated.

Note: It is the institution’s decision on how a climate-based investigation may be handled.

Investigation Plan (Continued)

- Criteria: Outline the behavioral criteria of what constitutes the prohibited conduct & develop strategies for how to gather relevant evidence.
- Witnesses: Identify relevant witnesses & determine order of interviews.
- Evidence: Identify other sources of possible evidence & determine how the evidence will be obtained.
- Contact Info: Confirm contact information for CP & RP; and communicate regularly with CP & RP throughout the process.
Investigation Plan (Continued)

- **Partnerships**: Establish communication with other relevant partners, as appropriate (e.g., BIT’s, law enforcement, case managers)
- **Flexibility**: Be flexible & revise the plan, as necessary
- **Timeline**: Keep a working timeline of the investigation, as well as a timeline of the alleged incident
- **Work Product**: Focus on the final work product: Investigation Report, investigation file (documentation)

Interview Notice

- Date, time, & location of the interview meeting
- Names of the invited or expected meeting participant(s)
- Purpose of the meeting or investigative interview
- Opportunity to present any information, evidence, and/or witnesses relevant to the formal complaint.
- An advisor of choice may attend, though not required.
Advisor Considerations

- Is an advisor of choice involved?
- Access to the related evidence & the finalized investigation report (closing steps of the investigation).
- Consider providing an advisor, if an advisor of choice has not been involved.

Evidence Collection

- Available body of facts or information:
  1. Tangible objects (real items)
  2. Demonstrative (modeling)
  3. Documentary (written materials)
  4. Testimonial (statements)

...that indicates whether a claim, belief, or proposition may be true or valid.
Closing Steps of the Investigation

Evidence Pyramid

Relevant evidence

Evidence included in the Investigation Report

Evidence directly related to the allegations

Evidence provided to the parties & advisors for inspection & response
**Medical Records Evidence**

Cannot access, consider, disclose, or use a party’s **medical** or **mental health records** as evidence unless the party provides **voluntary, written consent** to the institution for the grievance process.

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**HIPAA vs. FERPA**

The **medical or mental health record** is protected by **HIPAA**, and retained by the healthcare enterprise.

A copy of a medical or mental health record that is submitted to the investigation by the record holder (with voluntary, written consent) becomes protected under **FERPA** (students) and **privacy provisions** of the institution’s policies. The documentation is eligible for **access to evidence** by both parties (and their advisors).
Access to Evidence

Equal opportunity to both parties (& the advisors) to inspect & review any evidence obtained that is directly related to the allegations in the formal complaint.

Access to Evidence: Why?

So that each party can meaningfully respond to the evidence prior to the conclusion of the investigation.
Access to Evidence: When?

- Upon request from a CP, RP, or an Advisor?
- At the end of the investigation?

Send each party (& the advisors*) the applicable evidence:
  - In hard copy or electronic format
  - At least 10 days to inspect, review, & respond to the evidence
  - All responses to the evidence must be submitted in writing to the investigator(s)

* Advisor of choice; or the provided advisor by the institution (if applicable)
The investigators will consider all timely responses submitted by the parties *prior* to completing the investigation report.
Review of Evidence

- Available body of facts or information:
  1. Tangible objects (real items)
  2. Demonstrative (modeling)
  3. Documentary (written materials)
  4. Testimonial (statements)

...that indicates whether a claim, belief, or proposition may be true or valid.

Evidence Pyramid

- Relevant evidence
- Evidence included in the Investigation Report
- Evidence directly related to the allegations
- Evidence provided to the parties & advisors for inspection & response
Evidence is **relevant** if:

- The evidence has any tendency to make a **fact** more or less probable than it would be without the evidence; and
- The **fact** is of **consequence** in determining the action.

Another way to frame it:

- **Exculpatory evidence**: Evidence tending to excuse, justify, or absolve the person of the alleged conduct.
- **Inculpatory evidence**: Evidence that places responsibility on the person of the alleged conduct.
“Reasonable Person” Standard

Use a “reasonable person” standard for weighing all of the evidence:

- An objective test to denote a hypothetical person who exercises average care, skill, and judgment in conduct under similar circumstances as a comparative standard.
Formal Grievance Process Flowchart (Zoomed-In) Sexual Misconduct Cases

Formal Complaint/Notice Issued

Investigation Initiated
- Gathering Evidence
- Witness Interviews

Process Resolution Options
- Investigation Report
- Informal Resolution
- Formal Complaint Dismissal

Next Steps (if applicable)
- Adjudication
- Appeal F.C. Dismissal

Supportive Measures for CP & RP

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Title IX/Sexual Harassment

Notice

Investigation (No determination)
- Both parties have access to all evidence related to the allegation(s) & ability to comment
- No Administrative Disposition
- Hearing Required
- Appeal

Non-Sexual Harassment

Notice

Investigation (Preliminary determination)
- Both parties have access to all evidence related to the allegation(s) & ability to comment
- Administrative Disposition or Hearing Options
- Appeal

Outline Comparisons...
FAQ’s:
- When should the investigation report be released to the parties (and the party’s advisors)?
- Can the institution provide a draft investigation report first?

Completed Investigation Report: Sexual Harassment Cases

1. Outline each of the allegations that potentially constitutes prohibited conduct under the Policy (required by the Title IX regulations).
2. Provide a timeline (e.g. procedural steps) of the investigation. (recommended)
3. Fairly summarize relevant evidence, participate statements, and responses to questions (required by the Title IX regulations).
   - Exculpatory: Evidence tending to excuse, justify, or absolve the person of the alleged conduct.
   - Inculpatory: Evidence that places responsibility on the person of the alleged conduct.
Additional Recommended Elements

• Overview (Summary) of the Investigation
• Institutional Jurisdiction
• Relevant Policies
• Investigators
• Witnesses
• Procedural Next Steps

What about these Elements?

• Credibility assessments?
• Evidence analysis & rationale?
• Preliminary determination regarding responsibility?
Send each party (& the advisors*) the completed investigation report:

- At least 10 days prior to the scheduled hearing
  - Why? Opportunity for the parties to inspect, review, & respond to the investigation report (at the hearing)
- A copy of the investigation report to the TIXC and hearing officer assigned.

* Advisor of choice; or the provided advisor by the institution (If applicable)

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**Investigation Timeframe (Example)**

The investigation of a formal complaint will be concluded within **90 days** of the filing of a formal complaint.

**Note:** Circumstances may require a **temporary delay** in this timeframe & the institution may **extend** this timeframe for **good cause**.
- Provide **notice** to the parties for temporary delays or extensions.

**Source:**
- *UT System Model Policy for Sexual Misconduct*
Investigation Documentation Examples

- Documentation Checklists & Forms
- Intake & Initial Assessments
- Case Management Timelines & Decisions
- Contact & Communications
- Notices, Letters, & Dismissals
- Evidence Collection
- Investigation Report
- Data Systems for Electronic & Hard Copy Records

Documentation & Record Keeping

The University (through the appropriate office) will retain all of the documentation included in the Grievance Process (outlined in the SM Policy) for 7 years, in accordance with state and federal records laws and University policy.

All documentation of records are private and confidential to the extent possible under law. Student records of the Grievance Process are disciplinary records under FERPA. Employee records of the Grievance Process are subject to the Freedom of Information Act (FOIA) and the Texas Public Information Act (TPIA), and included in the employee’s official employment record.

Source:
UT System Model Policy for Sexual Misconduct
**Formal Grievance Process Flowchart (Zoomed-In)**

**Title IX/Sexual Harassment**

1. **Formal Complaint/Notice Issued**
2. **Investigation**
   - Gathering Evidence
   - Witness Interviews
   - Investigation Report
   - Transition
3. **Adjudication**
   - Live Hearing
   - Written Determination Issued
   - Remedies/Sanctions (if any)
4. **Option to Appeal**
   - Procedural Irregularity
   - New Evidence
   - Bias/Conflict of Interest

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**Transition to Adjudication**

- Transition process to the adjudication office? Referral?
- An administrative coordinator for the adjudication intake, scheduling, organizing, & communicating the next steps (e.g. hearing) to all participants.
Adjudication Intake

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<thead>
<tr>
<th>Referral Type (RP)</th>
<th>Adjudication Office (Examples)</th>
</tr>
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<tbody>
<tr>
<td>Student</td>
<td>Student Conduct</td>
</tr>
<tr>
<td>Faculty</td>
<td>Provost</td>
</tr>
<tr>
<td>Staff</td>
<td>Human Resources</td>
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</tbody>
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# Contact Information

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