



Association of  
Title IX Administrators

# Title IX Decision-Making for Higher Education

Training and Certification Course

# WELCOME!

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- The ATIXA Event Lobby can be accessed by the QR code or visiting [www.atixa.org/atixa-event-lobby](http://www.atixa.org/atixa-event-lobby) in your Internet browser.
- Links for any applicable training evaluations and learning assessments are also provided in the ATIXA Event Lobby. You will be asked to enter your registration email to access the Event Lobby.
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Strategic Risk  
Management Solutions



Any advice or opinion provided during this training, either privately or to the entire group, is **never** to be construed as legal advice or an assurance of compliance. Always consult with your legal counsel to ensure you are receiving advice that considers existing case law in your jurisdiction, any applicable state or local laws, and evolving federal guidance.

# Content Advisory

The content and discussion in this course will necessarily engage with sex- and gender-based harassment, discrimination, violence, and associated sensitive topics that can evoke strong emotional responses.

ATIXA faculty members may offer examples that emulate the language and vocabulary that Title IX practitioners may encounter in their roles including slang, profanity, and other graphic or offensive language. It is not used gratuitously, and no offense is intended.

# 2024 Title IX Regulations Litigation

- Opponents of the 2024 Title IX Regulations sought, and were granted, **injunctions** to delay or halt implementation of the Regulations
  - **Injunction:** A court order requiring an individual or entity to either perform or stop performing a specific action
- Generally, courts granted injunctions based on questions around the validity of the gender identity provisions and the hostile environment definition
- If the 2024 Regulations are not enforceable as a result of an injunction, schools, districts, and institutions in those states should continue to follow the **2020 Regulations**
  - The 2024 Regulations also are not enforceable in some individual schools and institutions

# 2024 Title IX Regulations Litigation

- Implementation will be unsettled for the foreseeable future
  - Appeals will continue and, eventually, trials
  - Consult legal counsel to determine implementation plans and risk strategy
- **Note:** Some states also have “Do Not Implement” directives from state officials
  - Independent from any federal lawsuits or injunctions
- Track developments on ATIXA’s Regulations website, [www.atixa.org/regs](http://www.atixa.org/regs)
  - State-by-state information on injunctions and Do Not Implement directives
  - Lists of individual schools or institutions impacted by the Kansas injunction

# Retroactivity

- The 2024 Regulations apply **only** to sex discrimination alleged to have occurred **on or after** August 1, 2024
  - For conduct alleged to have occurred prior to August 1, 2024, the 2020 Regulations apply in perpetuity
- Recipients will need to maintain/update policies, procedures, and training that are compliant with the **2020** Regulations and **2024** Regulations



# Introduction



The primary focus of this course is necessary skill-building to successfully serve in a decision-making role in the Title IX Formal Grievance Process.



Decision-makers must understand their role, apply policy with analytical precision, make determinations based on relevant and reliable evidence, and prevent and recognize bias and conflicts of interest.



Our goal is to help Title IX Decision-makers take on their role with confidence.



# Title IX Compliance Overview

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# Title IX and Equity

- Title IX is a sex and gender equity law
- Equity refers to the understanding that not all individuals have access to the same resources and opportunities
  - Equity focuses on providing support and resources to reduce disparities in access to the education program
  - Title IX seeks to remedy the inequities created by sex-based harassment and sex discrimination
- Stop, Prevent, and Remedy

# Essential Compliance Elements

The requirements to **Stop, Prevent, and Remedy** guide the institution's equity and compliance work

**1**

**STOP** discriminatory conduct

**2**

**PREVENT** recurrence, on both individual and institutional levels

**3**

**REMEDY** the effects of discrimination, for both the individual and the community

# Title IX Scope and Definitions

# Review: Scope

- Education program or activity in the United States
- Control over the Respondent
- Control over the context of the alleged behavior
- Applies to both student and employee complaints



# Review: Sexual Harassment Definitions

- Quid Pro Quo
- Hostile Environment
- Sexual Assault
- Dating Violence
- Domestic Violence
- Stalking



# Review: Sex Discrimination

- **Sex discrimination** encompasses:
  - Inequitable treatment based on sex or gender
    - Sex/gender
    - Sexual orientation
    - Gender identity
  - Exclusion from participating on the basis of sex or gender

# Review: Other Related Definitions

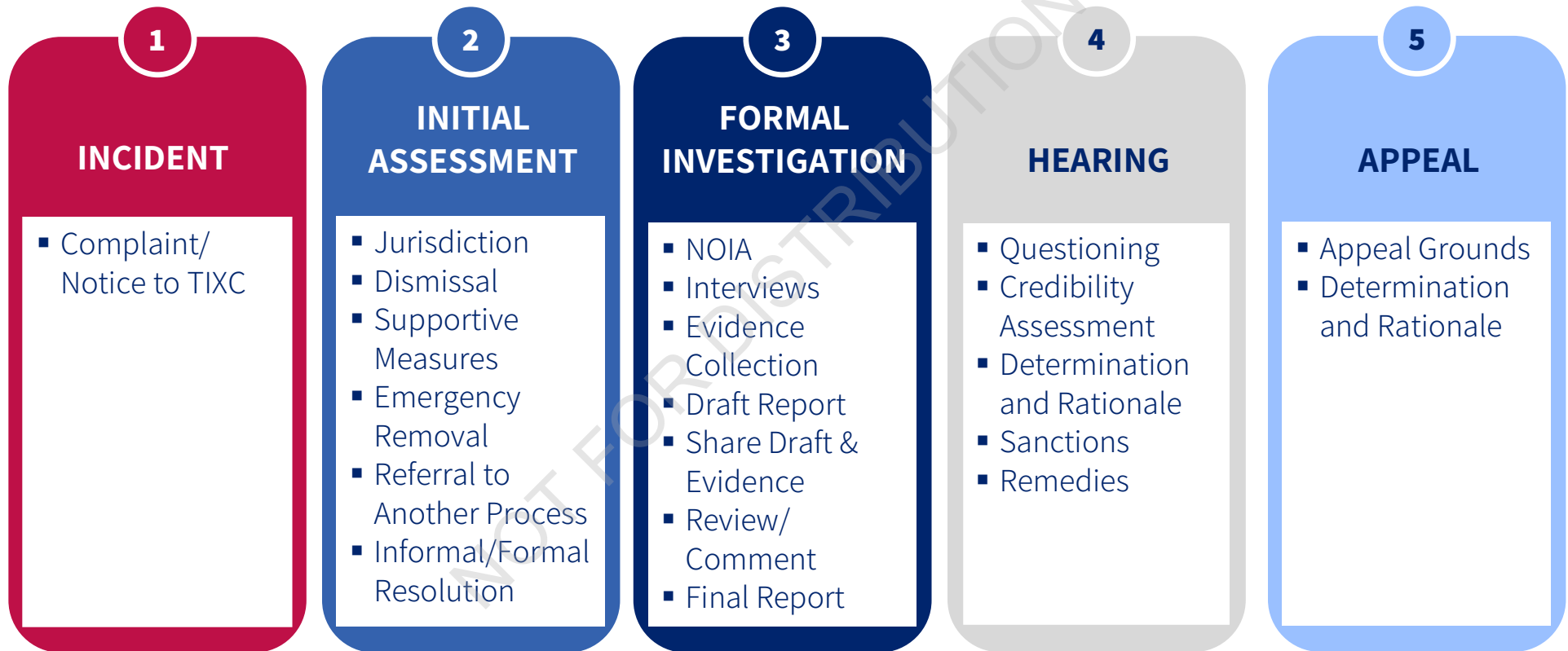
- Retaliation
- Common additional offenses
  - Sexual Exploitation
  - Harm/Endangerment
  - Intimidation
  - Hazing
  - Bullying

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# Contextualizing the Decision-Maker Role

# Title IX Grievance Process Overview



# Title IX Grievance Process Overview

## Prompt Resolution

- Complete without undue delay
- Title IX regulations do not define “prompt”
  - 60-90 business days is a good guide
- Grievance process may take longer than expected
  - Anticipate, mitigate, and document delays
  - Communicate with parties regarding delays



# Title IX Grievance Process Overview

## Equitable Resolution

- Treat all parties equitably
- Ensure that all parties have opportunity to fully participate in the grievance process
- Make certain that all Title IX team members operate without bias and/or conflicts of interest



# Investigation Steps

## 10 Common Steps of TIX Investigations:

1. Receive Notice/Complaint
2. Initial Assessment & Jurisdiction Determination
3. Determine Basis for Investigation
4. Notice of Investigation and Allegations (NOIA)
5. Establish Investigation Strategy
6. Formal Comprehensive Investigation
7. Draft Investigation Report
8. TIXC Reviews Draft Report and Evidence
9. Parties Review Draft Report and Evidence
10. Final Investigation Report

INCIDENT INVESTIGATION  
SUMMARY

Incident Date:

Review Date:

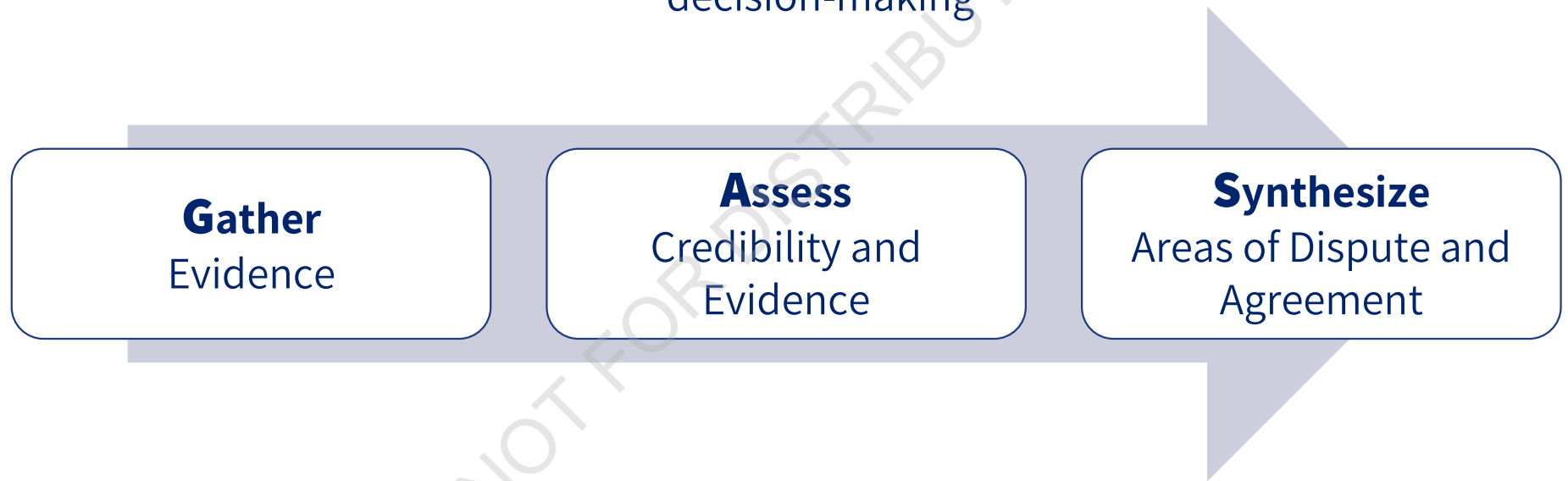
by:

at Summary:

Root Causes:

# Formal Investigation

The **G.A.S. Framework** describes the work of the Investigator to prepare for decision-making



The burden to gather evidence is on the institution, not the parties

# Parties' and Advisors' Review of Report and Evidence File

- Draft report and directly related evidence must:
  - Be sent to each party and Advisor in an electronic format or hard copy
  - Include evidence upon which the Recipient does not intend to rely
  - Include exculpatory and inculpatory evidence
- Investigator must:
  - Allow 10 days for written response
  - Consider parties' feedback and incorporate where appropriate
- Investigator sends the final investigation report to the parties and Advisors for review at least 10 days prior to the hearing

# Decision-Making Under Title IX

- Decision-maker (DM) could be a single person or a panel (typically three)
  - Institutional community members (typically faculty or staff) or external contractors
- Currently, all institutions must hold a live hearing
  - DM can ask relevant questions
  - Advisors can ask relevant questions on behalf of parties
- TIXC and Investigator may not serve as Decision-maker



# Decision-Maker Mission and Role

# Activity: Ranking Priorities

# Decision-Maker Role and Responsibilities

Rank your top three responsibilities as a Decision-maker

Finding the truth	Providing a just result	Providing an educational process	Making a safe community
Upholding the institution's policy	Ensuring a fair process	Protecting the institution from liability	Punishing wrongdoing

# Decision-Maker Training Requirements

Most Title IX training requirements are covered between this course and the pre-learning module:

- Definition of **sexual harassment**
- **Scope** of the institution's education program or activity
- **How to conduct an investigation and grievance process** including hearings, appeals, and informal resolution processes, as applicable
- How to **serve impartially**, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias
- Issues of **relevance** for investigations and hearings

**Required training that is not covered in this course:**

- Use of any technology to be used at a hearing

# Decision-Maker Role and Responsibilities

- Decision-makers have **no side**, other than the **integrity of the process**
- DM must have a thorough understanding of:
  - Institutional policy and procedures, including the investigation process
  - Whether the determination is for an alleged incident(s), a pattern, or a culture/climate complaint, and what findings are necessary based on that footing
  - Best practices for asking good questions
  - Decision-making procedures and management
  - Evidence and how to weigh it and apply it to institutional policy by the standard of evidence
  - How to analyze credibility
  - How to make determinations, decide sanctions/remedies, and write a rationale

# Decision-Making Oversight and Supervision

## Title IX Coordinator (TIXC) responsibilities:

- Appointing Decision-makers (DMs)
- Properly training DMs or ensuring they are trained
- Serving as a resource to DMs on process and procedures
- Ensuring timeline compliance
- Reviewing DM work to ensure thoroughness
- Overseeing recordkeeping
- Serving as primary point of contact for parties



# Decision-Making Oversight

## Title IX Coordinator

- Oversees process and serves as resource
- Facilitates scheduling and communication
- Ensures sanction compliance
- Implements remedies
- Provides institutional memory and precedent information
- Trains and appoints Decision-makers
- Maintains institutional records

## Decision-Maker(s)

- Facilitates Decision-making process, including questioning
- Determines relevance
- Assesses credibility
- Makes a finding of fact
- Determines whether policy was violated
- Assigns sanctions (if applicable)
- Writes determination rationale

# Decision-Maker Skill Sets

**Decision-makers need to be an organized manager and multi-tasker with:**

- Effective questioning skills
- Strong writing skills
- Subject matter expertise
- Analytical skills





# Due Process

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# Due Process



Title IX regulatory requirements



Fundamental fairness concepts (private institutions)  
Constitutional Due Process concepts (public institutions)



Institutional policies and procedures

# Due Process in Procedure

- Consistent, thorough, and procedurally sound review of all allegations
- Substantial compliance with written policies and procedures
- Policies and procedures afford sufficient rights and protections to satisfy mandates of all applicable laws
  - Clear, written notice of the allegations
  - Opportunity to present witnesses and evidence and be heard by the Decision-maker

# Due Process in Decision-Making

## A decision must:

- Be appropriately impartial and fair (both finding and sanction)
- Be neither arbitrary nor capricious
- Be based on a fundamentally fair rule or policy
- Be made in good faith (i.e., without malice, ill-will, conflict, or bias)
- Have a rational relationship to (be substantially based upon, and a reasonable conclusion from) the evidence

# Due Process in the Grievance Process

## Rights of the parties during the Title IX grievance process:

- Present witnesses, including expert witnesses
- Present all inculpatory and exculpatory evidence
- Discuss the allegations under investigation without restriction
- Gather and present relevant evidence without restriction, including expert sources
- Be accompanied by and confer with Advisor of choice
- Written notice of the date, time, location, participants, and purpose of investigation interviews or other meetings, with sufficient time to prepare

# Due Process in the Grievance Process

## Rights of the parties during the Title IX grievance process, continued:

- Inspect and review directly related evidence and investigation report
- Conduct cross-examination, if desired, through the Advisor
- Right to explanation of any ruling that a question is not relevant
- See/hear all evidence the DM may rely upon in their decision
  - Right to review and comment on that evidence to the DM
- Access to recording of any hearing
- Receive a written rationale explaining the basis for the DM's decision
- Appeal

# Notice of Investigation and Allegations

- The Notice of Investigation and Allegations (NOIA) is critical to fundamental fairness and due process
- The NOIA lists the rights of the parties in the grievance process, in addition to:
  - Known details of allegations, such as identities of the parties
  - A description of the alleged conduct and relevant policy provisions
  - The date and location of the alleged conduct
  - Information about grievance procedures
  - Any Informal Resolution options
  - Presumption of non-responsibility
  - Prohibition on retaliation and false statements
- May need to update NOIA during process

# Conflicts of Interest and Bias



# Conflicts of Interest and Bias

- Decision-makers must **not have a conflict of interest or bias** for or against the following:
  - Complainants, generally
  - Respondents, generally
  - The parties involved with a complaint
  - Subject matter or details of the complaint itself
- Consider a perception of a conflict or bias, even if none exists in fact
  - Not required, but TIXC may choose to substitute a DM based on perception alone

# What's the Difference?

## Conflict of Interest

- Refers to situations in which:
  - An **actual** (or perceived) clash,
  - Between the DM's role and
    - A current or previous relationship/situation with one of the parties
  - That prevents neutrality or objectivity
  - **Example:** A Residence Life Director serving as DM for a complaint filed by one of their Resident Assistants

## Bias

- Refers to prejudice for or against a **person or group**, or an unwillingness/inability to be influenced by factual evidence
- A preference or tendency to like or dislike
- Implicit or explicit
- Can be intentional, but generally unintentional or at least unconscious
- **Example:** A DM who believes Respondents cannot be trusted to tell the truth

# Conflicts of Interest

- Evaluated on a case-by-case basis
- Simply knowing a student or employee is **not** enough to generate a conflict of interest, as long as objectivity is not compromised
  - Previously disciplining a student is likewise **not** enough
- DM must bring potential conflicts to the TIXC's attention
  - Parties may also do so
  - TIXC will make a recusal determination, or a DM may recuse themselves
  - Policy may have a recusal provision

# Bias

- Bias can be a significant problem for DMs
  - Explicit or implicit
  - The often implicit and unconscious nature can lead to unexpected outcomes
- Formed from stereotypes, societal norms, cultural experiences, expectations of the people around you
- Can affect our perceptions of Complainants **and** Respondents
- Common pre-conceptions about Complainants and Respondents
- Can affect our perceptions of others within the process or associated with the process
- DM role requires us to recognize it and mitigate its effects

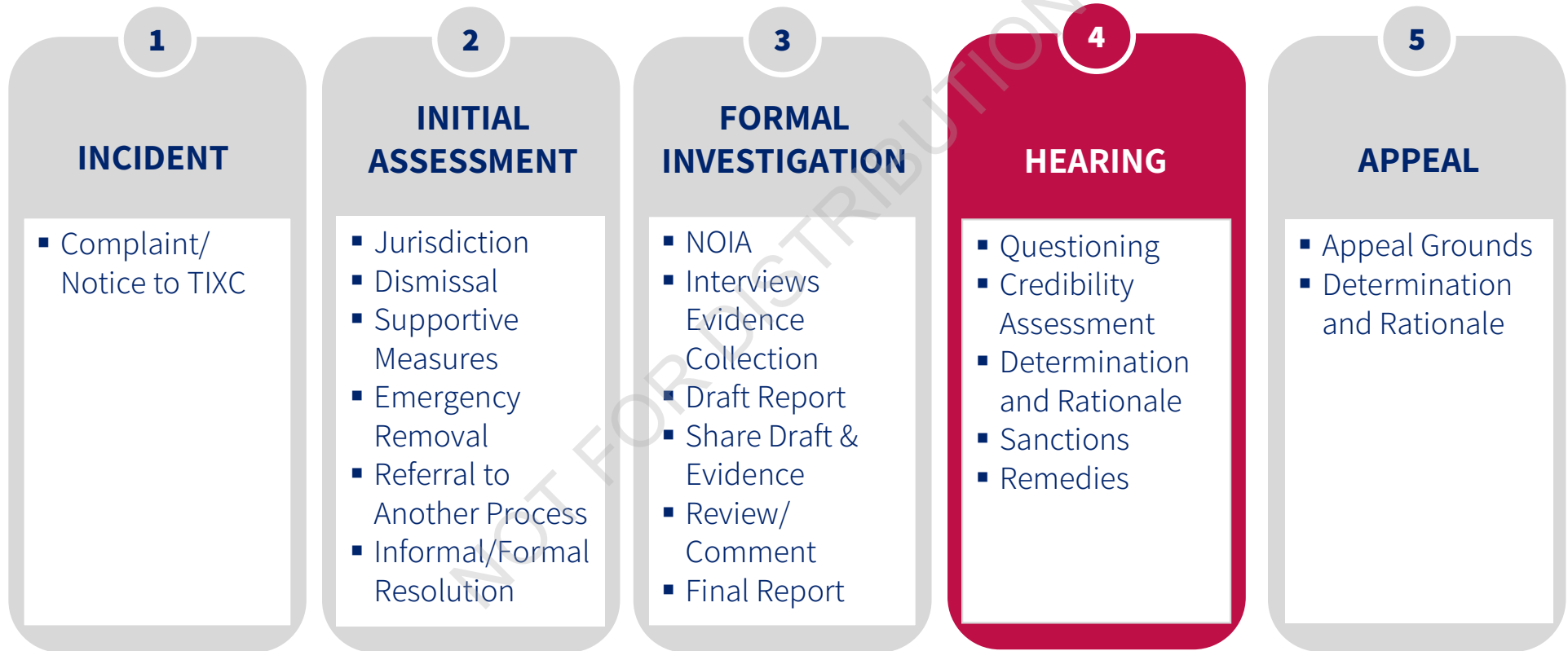
# Identifying and Correcting Bias

## Strategies to mitigate bias:

- Hearing panels vs. individual DM
- Panel members reviewing each other's questions in advance
- Compliance with institutional policy and procedure
- Identify evidentiary gaps and seek relevant evidence to fill gap
- All panel members review the rationale
- TIXC reviews the rationale
- Be conscious of own biases
  - Counteract them and ensure they do not influence decisions

# Decision-Making Phase: Skills and Practical Application

# Decision-Making



# Skills: Working with Advisors



# Working with Advisors

- Parties have the right to be accompanied by an Advisor of their choice
  - Could be an attorney, but need not be
- Parties may request that the institution provide an Advisor for hearing
  - Institution may choose to appoint earlier in process
- DM may establish equitable ground rules for participation if they do not interfere with any party rights
- Set and communicate reasonable expectations for Advisor participation



# Skills: Materials Review

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# Initial Materials Review

- DMs should take time to review all available documentation and evidence prior to making a determination
- Review should consist of:
  - Complaint
  - NOIA
  - Applicable policies
  - Relevant and not otherwise impermissible evidence
  - Investigation report

# Materials Review

- **ATIXA recommends reviewing materials multiple times**, focusing on areas of consistency and inconsistency
- **Consistency review:** note all areas of information consistency/alignment
  - No additional verification or questioning is likely needed on these issues
  - Begin to identify pieces of evidence that address the various policy elements
- **Inconsistency review:** identify information inconsistencies/disparities
  - DM compiles any remaining questions
  - DM identifies the pieces of evidence that address the various policy elements
  - DM's primary focus is resolving contested facts where possible

# Policy Elements and Procedures

## Policy

- What policies are alleged to have been violated?
- What are the elements of those policies?
  - DMs will weigh and apply relevant evidence to determine whether a policy violation occurred

## Procedures

- Review decision-making procedures to refresh previous training
- Note any procedural questions to ask the TIXC/legal counsel

# Skills: Understanding Evidence

# Understanding Evidence

## DM must evaluate all relevant evidence

- **Evidence** is any kind of information presented to help determine what occurred
- **Relevant evidence** is evidence that tends to prove or disprove the underlying allegations
- **Directly related evidence** is connected to the complaint, but is neither inculpatory nor exculpatory



# Types of Evidence

Documentary Evidence	Supportive writings or documents
Electronic Evidence	Photos, text messages, and videos
Real Evidence	Physical objects
Direct or Testimonial Evidence	Personal observation or experience
Circumstantial Evidence	Not eyewitness, but compelling
Hearsay Evidence	Statement from outside the interview presented as truthful
Character Evidence	Evidence of a person's character or character traits



# Primary Questions for Decision-Makers

**1**

Is this information  
**relevant?**

**2**

Is this information  
**reliable?**

**3**

**Will we rely upon it**  
as evidence  
supporting a  
rationale?

# Skills: Determining Relevance

# Relevance

- Evidence is generally considered **relevant** when it helps determine:
  - Whether the Respondent violated policy, and/or
  - The credibility of any evidence, including a party or witness statement
- The Investigator initially evaluates relevance, but the DM ultimately decides
- All relevant evidence must be objectively evaluated and considered
  - **Inculpatory:** tending to suggest a finding of responsible
  - **Exculpatory:** tending to suggest a finding of not responsible
- In the decision-making phase parties may dispute the Investigator's initial relevance determinations

# Privileged and Medical Information

A party must provide permission to obtain and/or include:

- Evidence protected under a legally recognized privilege
- Records made or maintained by:
  - Physician
  - Psychiatrist
  - Psychologist



# Relevant Evidence Exclusions

- Evidence of the **Complainant's sexual predisposition** is never relevant
- Evidence of the **Complainant's prior sexual behavior** is not relevant except:
  - If offered to prove that someone other than the Respondent committed the alleged conduct; or
  - Specific incidents of the Complainant's prior sexual behavior with respect to the Respondent offered to prove consent
- Exclusions apply even if admitted/introduced by the Complainant
- Exclusions does **not** apply to Respondent's prior sexual behavior or predisposition, which are admissible if relevant

# Other Evidence Considerations

- No restriction on parties discussing case or gathering evidence, but parties can be restricted from sharing materials
- Expert witnesses
- Parties seeking to introduce new evidence in the DM phase or at the hearing
  - Consult with the TIXC

# Skills: Credibility Assessment

# Credibility Considerations

- Assessing and determining credibility is an important DM role
- Credibility is often a function of corroboration and consistency
- Credibility does not necessarily equate to honesty or truthfulness:
  - Believability does not equal truthfulness
  - Not judging character
  - Not calling people liars
- Credibility impacts the reliability of evidence and its weight
- Specific credibility issues that a DM may consider:
  - Relationships between the parties and witnesses
  - Whether a witness was exposed to information (e.g., in the case of a parent or Advisor) that may have influenced their testimony

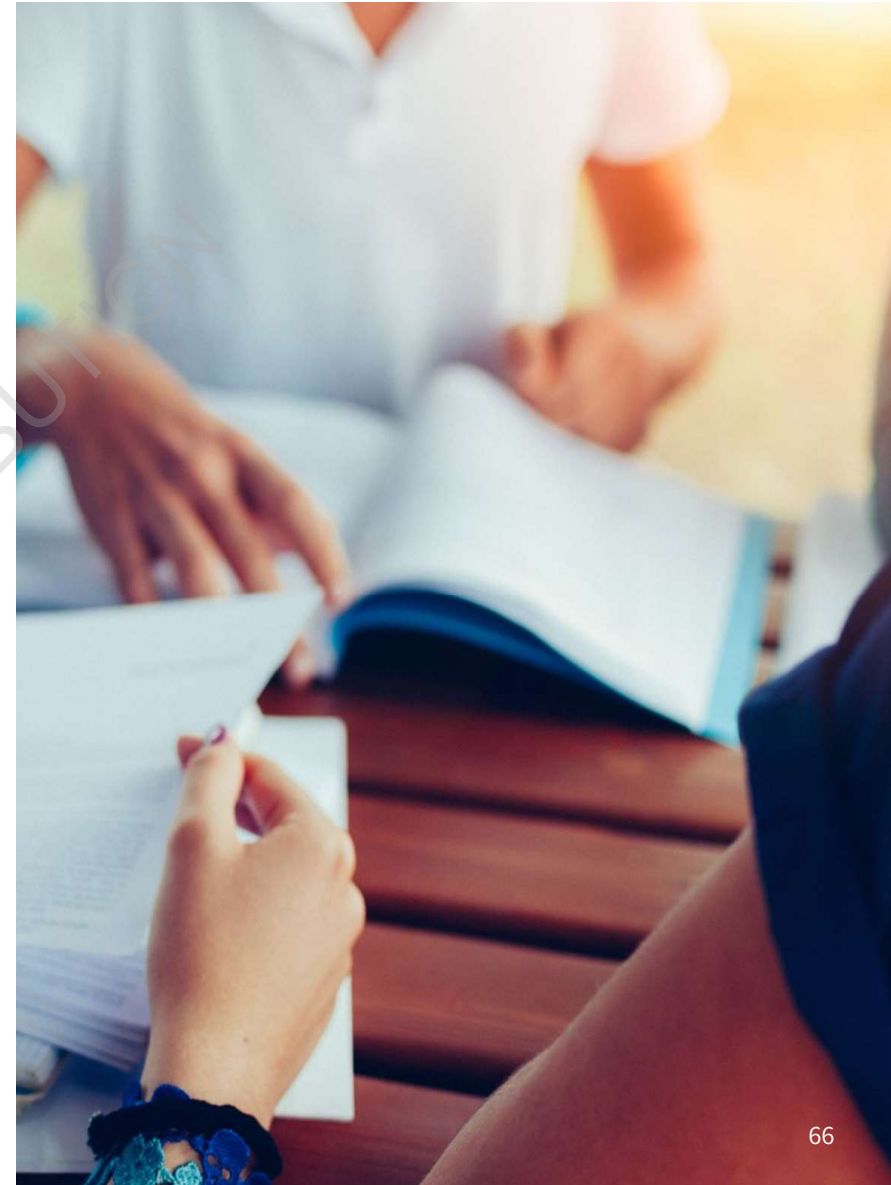


# Evidence Authentication

- Authenticating evidence seeks to prove that the evidence is genuine and credible
  - Investigator should authenticate evidence, but sometimes DM will
- Examples of authentication:
  - Verifying text messages by collecting texts from all involved parties
  - Collecting photographic evidence after it is referenced in an interview
  - Establishing chain of custody for a piece of physical evidence

# Party and Witness Credibility

- **Credibility** impacts likeliness
  - Would a reasonable person do the same?
  - Are there more likely alternatives?
- **Credibility Assessment** involves evaluating whether evidence is believable and reliable
  - Refrain from focusing on irrelevant inaccuracies and inconsistencies
- **Note:** Memory errors alone do not necessarily diminish witness credibility, nor does some evasion



# Credibility Factors

## Corroboration

- Aligned testimony and/or physical evidence

## Inherent Plausibility

- “Does this make sense?”
- Be careful of bias influencing sense of “logical”

## Motive to Falsify

- Do they have a reason to lie?

## Past Record

- Is there a history of similar behavior?

## Demeanor

- Do they seem to be lying or telling the truth?



# **Skills: Analyzing Consent Evidence using the Consent Construct**

# Definition: Consent

- **Consent** is not defined by the Title IX regulations, but institutions are required by law to provide a definition (some states prescribe a definition applicable in that state)
- ATIXA's Definition:
  - Informed, knowing, and voluntary (freely given)
  - Active (not passive)
  - Creates mutually understandable permission regarding the conditions of sexual activity
  - No means no, but nothing also means no; silence and passivity do not equal consent
  - To be valid, consent must be given immediately prior to or contemporaneously with the sexual or intimate activity
  - Consent can be withdrawn at any time, so long as it is clearly communicated verbally or non-verbally
  - Consent to one form of sexual activity does not necessarily imply consent to other forms of sexual activity

# The Consent Construct

1. **Force:** Did the Respondent use force to obtain sexual or intimate access?
2. **Incapacity:** Was the Complainant incapacitated?
  - a. If so, did the Respondent know, or
  - b. Should the Respondent have known that the Complainant was incapacitated
3. **Consent:** What clear words or actions by the Complainant gave the Respondent permission for each specific sexual or intimate act that took place as it took place?

# Force

## Did the Respondent use force to obtain sexual or intimate access?

### Physical Violence:

- Hitting, restraint, pushing, kicking, etc.

### Threats:

- Objective and subjective analysis of the viability of the threat

### Intimidation:

- Implied threat that menaces and/or causes reasonable fear

### Coercion:

- Unreasonable amount of pressure for sexual access  
(Consider: isolation, frequency, intensity, and duration)

# Incapacity

## Was the Complainant incapacitated?

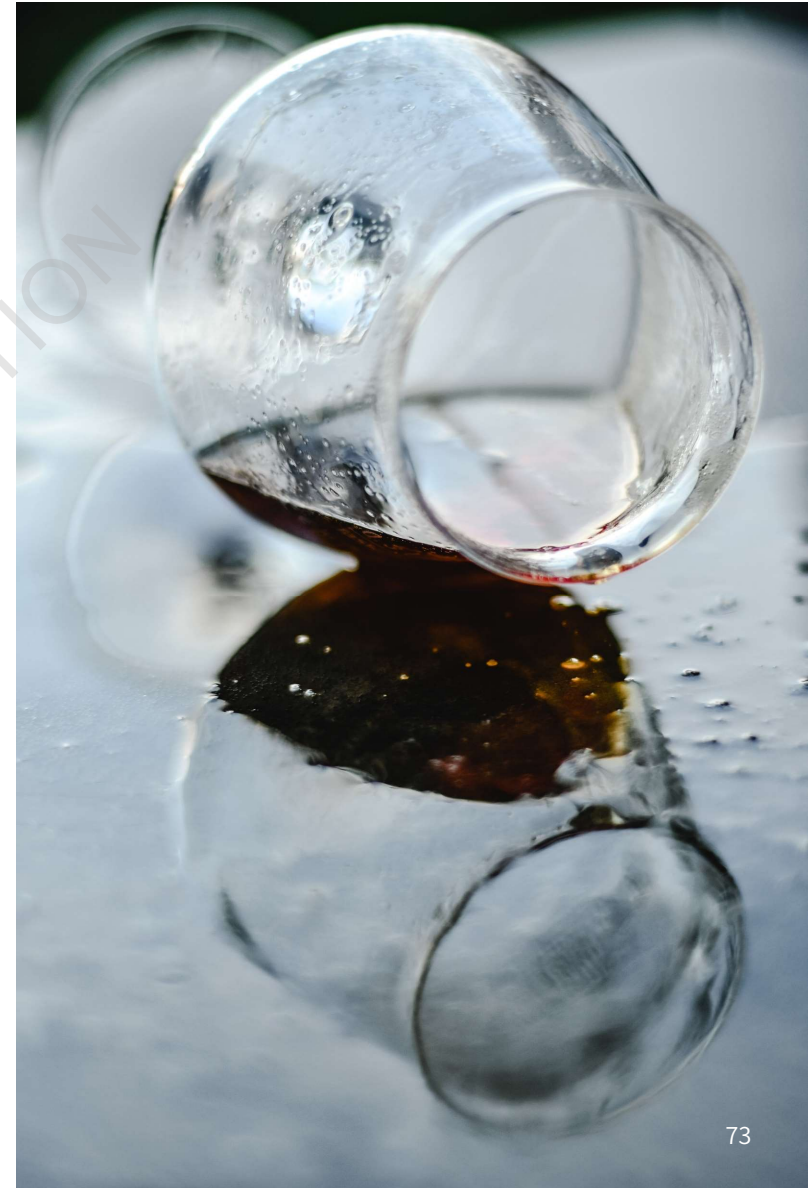
- **Incapacitation:** a state where an individual cannot make rational, reasonable decisions because they **lack the capacity** to give knowing consent:
  - Unable to understand who, what, when, where, why, or how
  - Incapacity ≠ impaired, drunk, intoxicated, or under the influence
  - Insufficient situational awareness
  - Lack of consequential awareness
  - Blackout and incapacity are **not** synonymous:
    - Blackout means memory is not formed
    - Incapacitation is about decision-making capacity



## Evidence of Incapacity: Potential Context Clues

- Slurred speech
- Scent of alcohol on the breath
- Shaky equilibrium; disorientation
- Passing out/unconsciousness
- Throwing up
- Known blackout
- Outrageous or unusual behavior (requires prior knowledge)

**Incapacitation determination is made contextually, in light of all the available relevant evidence**



# Incapacity Analysis

- If the Complainant **was not** incapacitated, move to the Consent Analysis
- If the Complainant **was** incapacitated, but:
  - The Respondent did not know, **AND**
  - The Respondent would not have reasonably known of the Complainant's incapacity = no policy violation, move to Consent Analysis
- If the Complainant **was** incapacitated, and:
  - The Respondent **knew it or caused it** = policy violation
  - The Respondent **should have known it** = policy violation

**Note:** The Respondent's own intoxication can not be used as a reason they did not know of the Complainant's incapacity

# Prior Knowledge Construct

- Did the Respondent previously know the Complainant?
  - If so, was the Complainant acting differently than in previous similar situations?
- Evaluate what, if anything, the Respondent observed the Complainant consuming or ingesting
  - Use a timeline analysis
- Determine if the Respondent provided any substances to the Complainant
- Pace of consumption and amount of consumption can both be relevant

# Consent Analysis

What **clear words or actions** gave the Respondent permission for each specific sexual or intimate act that took place as it did?

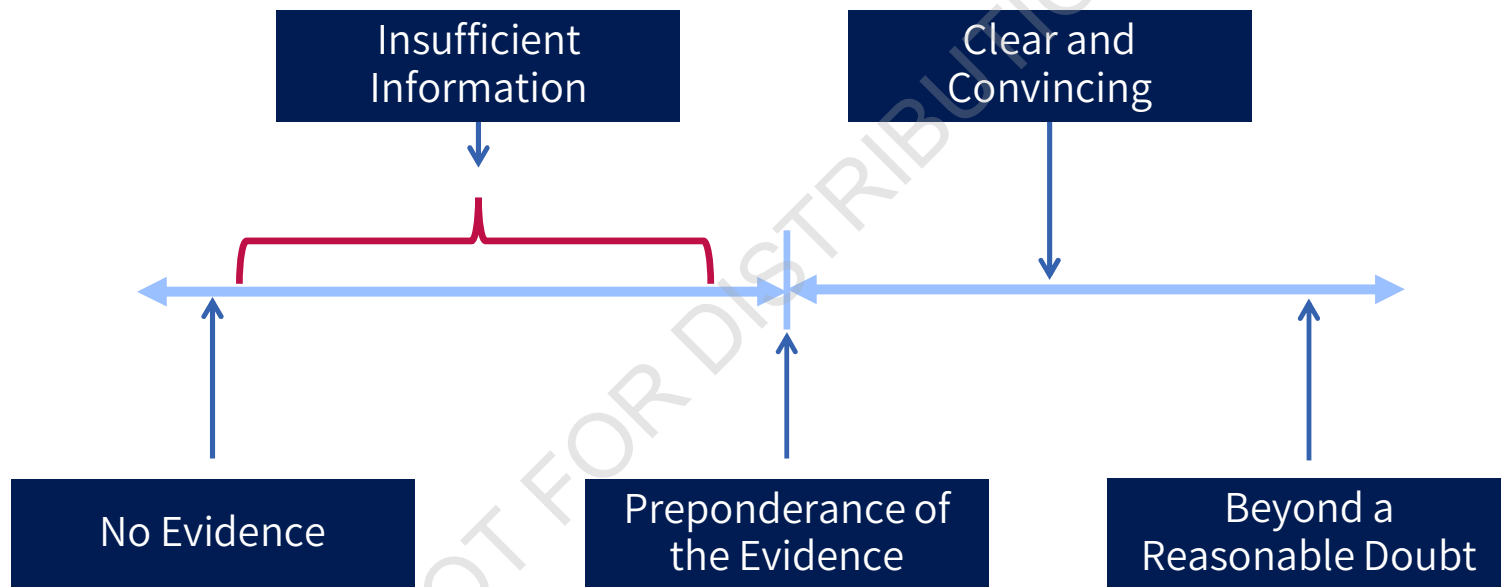
- Evaluate relevant sexual or intimate pattern or history between the parties
- Consider whether verbal and/or non-verbal cues were present during any acts or portion of the encounter that the parties agree were consensual
  - Contemporaneous communication
- Critical to gather evidence regarding detailed and specific intimate behaviors
- Analysis has objective and subjective elements

# Skills: Weighing and Analyzing Evidence

# Applying Facts to Policy

- DM must presume the Respondent is not in violation unless and until the standard of evidence is met
- The DM analyzes facts against each policy element to determine whether the Respondent violated policy
  - Written rationale will have to cite to specific evidence supporting conclusion
- Assess credibility of evidence and evidentiary weight
  - Assess statements as factual, opinion-based, or circumstantial
- Apply evidentiary standard to determine if policy has been violated
- Based only upon evidence in the investigation report or presented at the hearing

# Standard of Evidence



- **Preponderance of the Evidence** is the most common industry standard
- Standard of Evidence must be consistent for **all** formal complaints of sexual harassment

# Step One: Parsing the Policy

A key part of weighing and analyzing evidence is identifying the elements of each policy provision:

- **Stalking:**

- Engaging in a course of conduct,
- On the basis of sex,
- Directed at the Complainant,
- That would cause a reasonable person to:
  - Fear for their safety or the safety of others; or
  - Suffer substantial emotional distress



# Step Two: Applying Facts to Policy

Map relevant and credible facts to the applicable policy element

## Policy Element:

- Engaging in a course of conduct

## Facts:

- Complainant asserts Respondent followed Complainant to an off-campus party on October 1
- Respondent came to Complainant's residence hall room three times between October 5 and October 12
- Respondent denies following Complainant on October 1
- Witness corroborates Respondent knocked on Complainant's door several times in one week

# Step Two: Applying Facts to Policy

Map relevant and credible facts to the applicable policy element

## Policy Element:

- Directed at the Complainant:
  - That would cause a reasonable person to **fear for their safety**

## Facts:

- Complainant alleged Respondent pounded on his door and yelled until an RA told her to leave
- Complainant alleged Respondent sent texts suggesting she was following him, and he should fear her
- Respondent produced texts that do not support Complainant's characterization
- RA witness asserts "pounded on her door and yelled" is an exaggeration

# **Skills: Making Findings, the Final Determination, and Sanctioning**

# Written Determinations

## Finding

Whether the conduct occurred, by the standard of evidence

## Final Determination

Whether the conduct proven to have occurred violates policy

# Making a Finding and Final Determination

- Finding(s) must be based upon information gathered during the investigation and decision-making phases only
  - No outside information should influence decision-making
- **Separate the “Determination” from the “Sanction”:**
  - Do not use impact-based rationales for policy violation findings and determinations
  - Use impact-based rationales for sanctions only
    - Impact is **not** relevant to the policy violation question
  - Same with prior misconduct, unless a pattern is alleged/proven
- Institutions can identify a separate individual to determine sanctions **OR** permit the DM to determine sanctions, if any

# Written Determinations

## Written Determination

- Authored by Decision-maker(s)
- TIXC/Legal counsel reviews
- TIXC communicates to the parties simultaneously in writing
  - No FERPA concerns

## Finality

- On the date the Recipient provides a written appeal determination
  - OR the date when an appeal would no longer be timely

## Written Determination Elements

- Applicable policy
- Procedural steps from complaint through determination
- Statement of and rationale for the result of each specific allegation
- Finding and Final Determination
- Sanctions imposed (if any) and rationale for chosen sanctions or deviation from precedent
- Whether remedies will be provided to Complainant
- Procedures and bases for appeal

# Determining Sanctions and Remedies

After making a determination of responsibility, decide sanctions and remedies

- Nexus between sanctions and misconduct
- Sanctions must be proportionate to the severity of the violation, taking progressive sanctions/history into account

**1**

**STOP** discriminatory conduct

**2**

**PREVENT** recurrence, on both individual and institutional levels

**3**

**REMEDY** the effects of discrimination, for both the individual and the community

# Sanctions and Remedies

## Sanctions

- Only implemented after a determination of responsibility
- Nexus between sanctions and misconduct
- Goal: stop, prevent, and remedy
- TIXC does not issue sanctions but oversees the process
- TIXC assures sanction compliance
  - Failure to comply could lead to discipline

## Remedies

- May be implemented before or after a determination
- TIXC determines remedies that are equitable and not clearly unreasonable given the circumstances
- Goal: preserve or restore access to education program and activity
- TIXC ensures remedies are implemented for both Complainant and community



# Determining Sanctions

- Primary purpose should focus on ensuring equity and providing remedies
  - Each sanction should have a rationale
- DM may consider:
  - Nature and severity of the conduct, including the circumstances surrounding the violation
    - Aggravating or mitigating circumstances
    - Precedent, prior misconduct, proven pattern (if alleged), acceptance of responsibility, collateral violations, or multiple violations
  - The Respondent's disciplinary history
  - The need for sanctions or other responsive actions to stop, prevent, and remedy the discrimination, harassment, and/or retaliation
  - The impact on the parties
  - Any other information deemed relevant by the Decision-maker(s)

# Common Student Sanctions

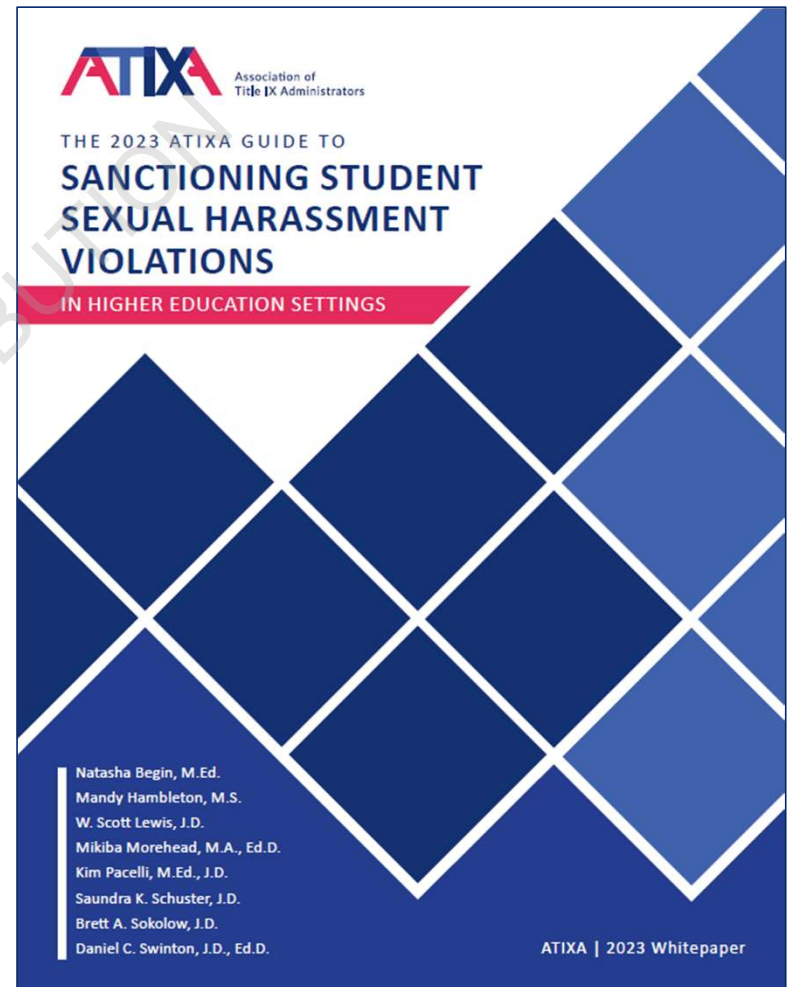
- Warning (preferably written)
- Probation
- Loss of privileges
- Counseling
- No contact order
- Residence hall relocation, suspension, or expulsion
- Limited access to campus
- Service hours
- Online education
- Alcohol and drug assessment and counseling
- Discretionary sanctions
- Parental notification
- College suspension
- College expulsion

# Common Employee Sanctions

- Warning (preferably written)
- Probation
- Performance improvement/management process
- Training
- Counseling
- Loss of privileges
- Reduction in pay
- Loss of annual raise
- Discretionary sanctions
- Loss of supervisory or oversight responsibilities
- Paid or unpaid leave
- Suspension
- Termination

# Sanctioning Pitfalls

- Failure to stop, prevent, and remedy
- Conflating the finding, the determination, and the sanctioning
- Unwillingness to expel, suspend, or terminate
- Inconsistent or disparate sanctions for similar behavior
- Failure to consider aggravating or mitigating circumstances
- Lockstep or prescribed sanctioning; failing to address incident-specific circumstances



# Additional Considerations

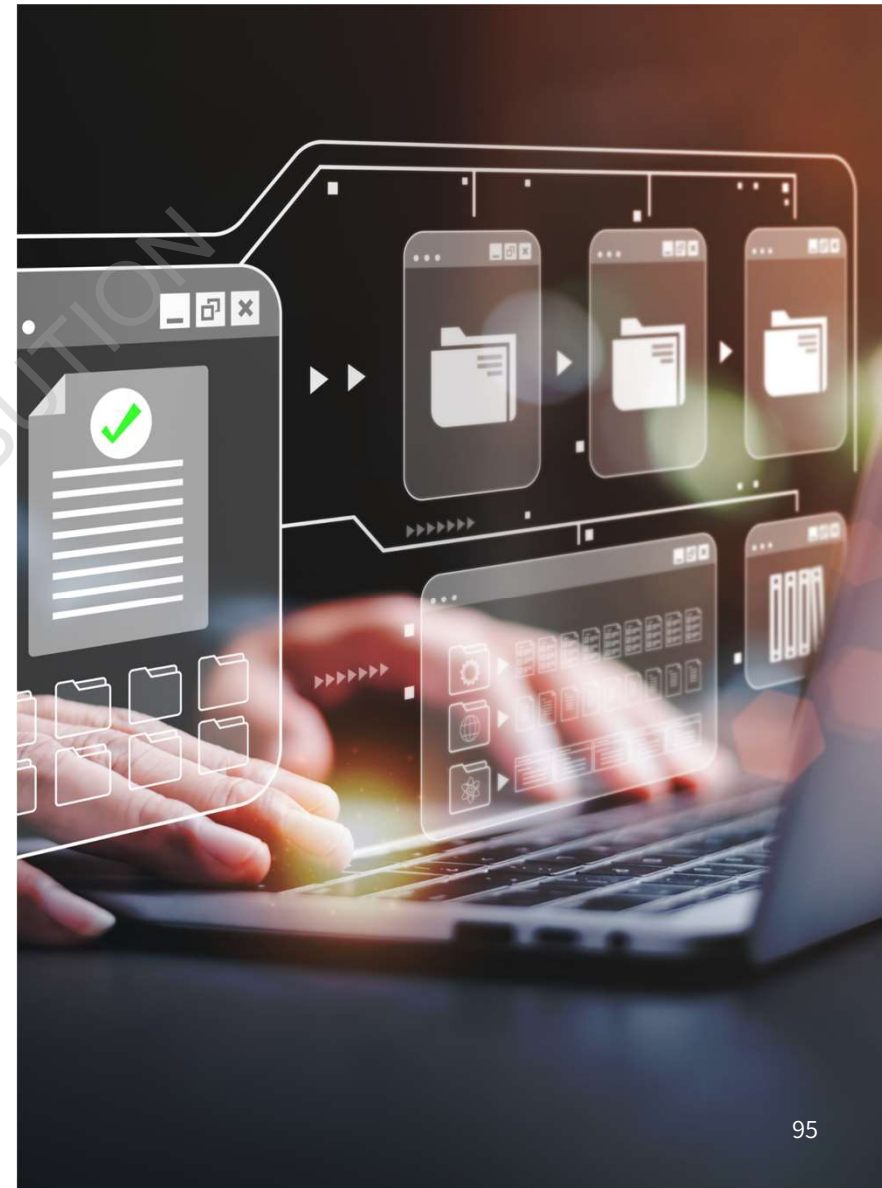
- Separate the “Finding” from the “Sanction”
  - Do not use impact-based rationales for findings
  - Use impact-based rationales/evidence for sanctions only
  - Same with prior misconduct, unless a pattern is charged/proven
- Do not “heighten” the evidentiary standard when anticipating a severe sanction



# Recordkeeping and Documentation

# Recordkeeping

- DM must compile all documentation related to the decision-making process, typically with the TIXC, including:
  - **Timeline** of decision-making process
  - **Interactions** and pre-hearing meetings with parties, other DMs, TIXC, etc.
  - **Determination** with any associated sanctions and/or remedies
  - **Rationales** for all determinations
  - **All work product** from the DM process
- TIXC is responsible for maintaining complaint files for a minimum of seven years



# Decision-Maker Notes and Drafts

- Decision-making creates opportunities to generate paperwork and paper trails
- Be judicious with notetaking, annotating, draft writing, and communication
- Anticipate that the parties could see DM work product:
  - Student FERPA inspection and review rights
  - Employee rights to personnel records
  - Litigation
- TIXC should provide guidance and clear expectations about saving work product, including personal notes





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**Questions?**

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