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# Title IX/VAWA Sexual Harassment and Sexual Misconduct Training for Investigators and Non-Title IX Adjudication Panels

Johns Hopkins University

September 14, 2021




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## Presenters



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## Agenda

- 1 Introduction and Training Goals
- 2 Legal Updates and Requirements
- 3 The Grievance Process
- 4 Conducting Investigations
- 5 Drafting Investigation Reports
- 6 Decision-making
- 7 Drafting Notices of Determination



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Introduction

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- Welcome
- About us
- About you
- About the work we all do
- Breaks!



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Training Goals: Going Beyond What is Required by Title IX and VAWA

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- Training Requirements for Investigators:
  - Definition of sexual harassment
  - Scope of your programs/activities
  - How to conduct an investigation and grievance process
  - How to serve impartially and without bias and conflict of interest and without prejudice
  - Issues of relevance to draft reports that fairly summarize evidence\*
  - Conducting investigations that protect complainant's safety and promote accountability (impact of trauma)\*

**Maintain training records (7 years) and post on website**

\*VAWA only



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Legal Updates



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## Legal Updates

- Final Regs – effective August 2020
- July 20, 2021 Q&A
- LGBTQ guidance
- *Victim Rights Law Center et al. v. Cardona et al.*, Civil Action No. 20-11104-WGY, 2021 WL 3185743 (D. Mass.)
- **OCR Letter to Students, Educators, and other Stakeholders re *Victim Rights Law Center et al. v. Cardona* (August 24, 2021)**
- Notice and Comment for Final Regs-- May 2022

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## Legal Requirements – Title IX (20 U.S.C. § 1681)

“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”

*and*

On May 6, 2020, the Department of Education released new Title IX regulations, with mandatory implementation date of August 14, 2020.

- Apply to all institutions that receive federal funds, including financial assistance
- Cover students, employees, and third parties
- Include all forms of discrimination based on sex such as sexual harassment and differential treatment
- Enforced by the Office for Civil Rights and courts

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## Legal Requirements – Violence Against Women Act (“VAWA”)

- Amended Clery Act through the Campus Sexual Violence Act (“SaVE Act”) provision, Section 304
- Added domestic violence, dating violence, and stalking to the Clery crimes (which already included sexual assault)
- Requires adoption of institutional policies and procedures to address and prevent campus sexual violence
- Requires training of institutional personnel and students
- Requires prevention and awareness programs
- Clery Act Enforcement

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## General Title IX Regulations & VAWA Requirements

"Recipients" of federal funds must:

- Disseminate a policy that includes a Notice of Nondiscrimination
- Designate a Title IX Coordinator
- Adopt, publish, and follow grievance procedures that are equitable, prompt, and effective and provide for adequate, thorough, reliable, fair, and impartial investigations and adjudications
- Take action to address and prevent sex-based discrimination
- Train individuals serving in specified roles

Legal  
Process  
Investigation  
Reports  
Decision-making  
Notice

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## Other Applicable Laws

- Family Educational Rights and Privacy Act (FERPA)
  - Exceptions under Title IX and VAWA for files shared during the process that permit disclosure of materials the laws require to be shared
  - Remedies are not shared except as necessary to enforce them (Title IX exception is for sharing the fact remedies were provided but not the details)
- Title VII
- Disability and Accommodations
- Mandatory reporting laws requiring the reporting of child abuse and neglect
- State laws

Legal  
Process  
Investigation  
Reports  
Decision-making  
Notice

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## JHU's Policy on Sexual Harassment and Misconduct

- The Johns Hopkins University Sexual Misconduct Policy and Procedures ("SMPP")
  - Appendix G: Procedures for Title IX Sexual Harassment
  - Appendix H: Procedures for Other Sexual Misconduct

Legal  
Process  
Investigation  
Reports  
Decision-making  
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## Legal Requirements: The Fundamental Obligation

Under **Title IX**, an institution is obligated to respond when: it has “**actual knowledge**” of “**sexual harassment**” involving a person who is participating or attempting to participate in an “**education program or activity**” of the institution and when the sexual harassment is directed against a person **in the United States**

### VAWA protections:

- Allegation of sexual assault, dating violence, domestic violence, or stalking
- Involving student or employee
- Regardless of location and participation in program/activity

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## Title IX Response:

Actual Knowledge

Sexual Harassment

Education Program or Activity

In the United States

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## Title IX Response:

Actual Knowledge

Sexual Harassment

Education Program or Activity

In the United States

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### Legal Requirements: Actual Knowledge and Officials with Authority

“means notice of sexual harassment or allegations of sexual harassment to a recipient’s Title IX Coordinator or any official of the university who has the authority to institute corrective measures on behalf of the recipient”

- Notice need not be in the form of a Formal Complaint
- Constructive notice or vicarious liability “are insufficient to constitute actual knowledge”
- Mere ability or obligation (by policy) to report sexual harassment does not make you an official with authority
- Having been trained to report sexual harassment does not make you an official with authority

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### Title IX Response:

- Actual Knowledge
- Sexual Harassment
- Education Program or Activity
- In the United States

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### Legal Requirements: Title IX Sexual Harassment Defined

Conduct on the basis of sex that satisfies one or more of the following:

- (1) **Quid pro quo**: an employee conditions an aid, benefit, or service of recipient on an individual’s participation in unwelcome sexual conduct;
- (2) **Hostile environment**: unwelcome conduct determined by a reasonable person to be so severe, pervasive, **and** objectively offensive that it effectively denies a person equal access to the recipient’s education program or activity; or
- (3) **“sexual assault,” “dating violence,” “domestic violence,” or “stalking”**

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## Legal Requirements: Title IX Sexual Harassment Defined

**Sexual Assault:** any sexual act direct against another person, without the consent of the victim, including instances where the victim is incapable of giving consent. This includes:

- **Rape:** carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.
- **Sodomy:** oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.

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## Legal Requirements: Title IX Sexual Harassment Defined

### Sexual Assault (cont.):

- **Fondling:** The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity
- **Incest:** Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- **Statutory Rape:** Sexual intercourse with a person who is under the statutory age of consent.

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## Legal Requirements: Title IX Sexual Harassment Defined

- **Dating violence:** any act of violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim and where the existence of such a relationship is determined based on a consideration of the length, type, and frequency of interactions between the persons involved in the relationship.
- **Domestic violence:** a felony or misdemeanor crime of 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 a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, 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 jurisdiction.

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### Legal Requirements: Title IX Sexual Harassment Defined

- **Stalking:** 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
- **Course of conduct:** 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:** a reasonable person under similar circumstances and with similar identities to the Complainant
- **Substantial emotional distress:** significant mental suffering or anguish that may but does not necessarily require medical or other professional treatment or counseling

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### Title IX Response:

- Actual Knowledge
- Sexual Harassment
- Education Program or Activity
- In the United States

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### Legal Requirements: Education Program or Activity

- Locations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs
  - On campus or
  - Off campus, when:
    - Part of the recipient's operations
    - Occurs at any building owned or controlled by an officially recognized student organization (e.g., fraternities and sororities)

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**Title IX Response:**

- Actual Knowledge
- Sexual Harassment
- Education Program or Activity
- In the United States

Legal Process Investigation Reports Decision Making Policies

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**Legal Requirements: Response to Sexual Harassment**

If recipient has actual knowledge, Recipient/Title IX Coordinator must:

- Respond promptly in a manner that is not *deliberately indifferent*, meaning the response cannot be clearly unreasonable in the known circumstances
- Follow the Title IX Regulations "Grievance Process"
- Promptly contact the Complainant to discuss availability of *supportive measures*
- Consider Complainant's wishes with respect to the supportive measures
- Inform Complainant of availability of supportive measures regardless of whether a formal complaint is filed
- Explain the process of filing a Formal Complaint
- Provide written notice of rights and options for allegations of sexual assault, dating violence, domestic violence, and stalking (VAWA)
- Notify Complainant of right to report to law enforcement and offer assistance (VAWA)

Legal Process Investigation Reports Decision Making Policies

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**Legal Requirements: Response to Sexual Harassment**

**Framework:**

- Title IX:** actual knowledge, sexual harassment, in education program or activity, directed against someone in the US
- VAWA:** sexual assault, dating violence, domestic violence, or stalking; involving a student or employee; regardless of participation in program/activity
  - Some cases will involve both
- Others cases could be neither (e.g., hostile environment-type sexual harassment that is not severe, pervasive, *and* objectively offensive) and are governed by your Policies

Legal Process Investigation Reports Decision Making Policies

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# The Grievance Process

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## Formal Grievance Process

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## Reports vs. Formal Complaints

**Some** process begins upon the receipt of information containing allegations of sexual harassment, a "report"

- Often made to others outside the Title IX team
  - Faculty, staff, employees, and student employees ("Responsible employees" under your policy?)
  - Confidential resources
  - Friends, fellow students, and family members
- Title IX Coordinator or designee determines the required (and equitable) response and promptly contacts Complainant

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## Title IX “Formal Complaint” Initiates Grievance Process

### Formal Complaint under Title IX (but not required by VAWA):

1. Document;
2. Filed by a Complainant (or parent/guardian with legal right to do so) or signed by the Title IX Coordinator;
3. Alleging Sexual Harassment against a Respondent; *and*
4. Requesting an investigation of an allegation of Sexual Harassment

#### Important!

- Cannot be filed anonymously
- Can be filed in person, by mail, or email using Title IX Coordinator’s contact information or any other method designated (e.g., online reporting form)
- Must have digital signature or other confirmation for Complainant
- Title IX Coordinator who signs a Formal Complaint is not a “party”
- Complainant’s identity, if known, must be disclosed to Respondent (in contrast to a “report”)
- Complainant must be participating/attempting to participate in program or activity
- No statute of limitations
- *Consolidation of Formal Complaints permitted for cases arising out of same facts or circumstances*

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## Supportive/Interim Measures

**Non-disciplinary, non-punitive, individualized** services offered, as appropriate, as reasonably available, and without fee or charge to the Complainant or Respondent before or after the filing of a Formal Complaint or where none has been filed.

- Designed to restore or preserve equal access to the recipient’s program or activity without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the recipient’s educational environment, or deter sexual harassment
- Must maintain as confidential to the extent that doing so would not impair the ability to provide them
- Also known as “interim measures” for sexual assault and VAWA crimes
- *If the action is listed in your policy as a sanction, it is likely disciplinary or punitive*

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## Supportive/Interim Measures

### Title IX Regulations, they may include:

- Mutual restrictions on contact between the parties—**most common**
- Counseling
- Extensions of deadlines or other course-related adjustments
- Modifications of work or class schedules
- Campus escort services
- Changes in work or housing locations
- Leaves of absence
- Increased security or monitoring of certain areas of the campus
- Or other similar measures chosen by recipient
  - Or third parties who can provide services (MOUs)
- **Must consider Complainant’s desires for the options**

### Some examples from JHU Policy:

- Moving residences on-campus;
- Adjusting work schedules;
- Changing academic schedules;
- Changing advisors;
- Parking and/or transportation accommodations;
- Rescheduling examinations;
- Allowing withdrawal from or re-taking classes without penalty;
- Providing access to tutoring or other academic support;
- Prohibiting attendance at group or organizational informal or formal functions overseen by the University;
- Administrative leave for non-student employees;
- Issuing mutual “no contact” orders;
- Assistance connecting with medical and/or mental health services;
- Change in dining location;
- Access to safety escort services;
- Assistance connecting with a supporter.

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## Emergency Removal/Administrative Leave

Emergency removal process is permitted, when:

- after an individualized safety and risk analysis, recipient determines there is an immediate threat to the physical health or safety of any students or other individuals arising from the allegations of sexual harassment
  - Must provide Respondent notice and opportunity to immediately challenge decision
- A recipient may place a non-student on administrative leave during the pendency of a grievance process.

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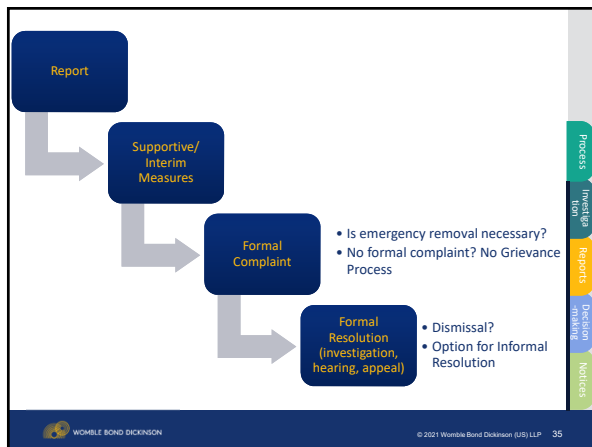
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## Formal Grievance Process

Basic Requirements:

- No bias or conflicts of interest (as to party type generally or individuals)
  - Training required for all roles!
- Treat parties equitably
  - Participation in process and submission of evidence
  - Advisors and limits to participation (cannot limit cross-examination)
  - Access to directly related and relevant evidence
- Follow Grievance Process before imposing sanctions or other non-supportive measures
- Remedies designed to restore or preserve access to education or activity (need not be non-disciplinary or non-punitive) – occurs after a determination of responsibility

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## Formal Grievance Process

### Basic Requirements (cont.):

- Describe range of supportive measures
- Remedies are often extensions of supportive/interim measures  
Complainant received during process
- Presumption of not responsible
- State the standard of evidence and use the same one for all Formal Complaints regardless of who the parties are
  - Preponderance or clear and convincing
- Cannot seek to collect information protected by legally recognized privilege, unless the privilege has been waived
- Same for medical treatment records unless voluntary, written consent

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## Formal Grievance Process

### Basic Requirements (cont.):

- Reasonably prompt timeframes (temporary delays for good cause)
  - For each phase of the process (some are specified in the Regs)
  - With written notice to the parties citing reasons for delay and upon resuming investigation
  - Good cause includes: absence of party, advisor or witness; language assistance/disability accommodation; or concurrent law enforcement activity (brief, for fact gathering, not criminal prosecution)
- Objective evaluation of all evidence, inculpatory and exculpatory
  - Credibility determinations cannot be based on status as Complainant, Respondent, or witness
- Describe range of sanctions and remedies
- Procedures and grounds for appeals
- **Plus any other provisions, rules, or practices adopted by the institution**

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## More about Bias and Conflicts of Interest

- Case-by-case examination of the "particular facts"
- Recipients are encouraged to "apply an objective (whether a reasonable person would believe bias exists), common sense approach to evaluating whether a particular person serving in a Title IX role is biased."
- If someone has a material connection to a dispute, or the parties involved, and a reasonable person would question that person's ability to be impartial
- **Could be** based on a number of factors or connections, including prior or existing relationships, past advocacy (survivor or respondent groups), prior interactions or involvement, professional experience and activities, areas of study, the decision-maker's position on campus, or financial and reputational interests of employee that aligns with the institution
  - "assuming that all self-professed feminists, or self-described survivors, are biased against men, or that a male is incapable of being sensitive to women, or that prior work as a victim advocate, or as a defense attorney, renders the person biased for or against complainants or respondents" is unreasonable"
- Cannot make decisions based on characteristics of the parties—must be based on the facts of the case

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## Formal Grievance Process — Dismissals

Two types:

1. Mandatory dismissal of Title IX Formal Complaint, when:
    - the allegation, even if proved, would not need meet sexual harassment definition;
    - did not occur in education program or activity; or
    - did not occur against a person in the U.S.
  2. Discretionary dismissal (*at any time*), if:
    - Complainant provides written notice to Title IX Coordinator of withdrawal of Formal Complaint or allegations
    - Respondent no longer enrolled or employed by recipient
    - specific circumstances prevent recipient from gathering sufficient evidence to reach a determination as to the Formal Complaint
- In either case, recipient must promptly send a written notice of dismissal and the specific reasons for it, simultaneously to the parties (appealable)*

Process  
Investigation  
Reports  
Decision-making  
Notice

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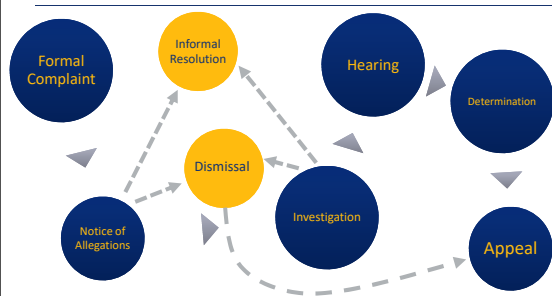
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## Formal Grievance Process



Process  
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Reports  
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## Conducting Investigations

Investigation  
Reports  
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## Overview of Investigation Phases

- 1) Roles and Pre-investigation work (by recipient)
- 2) Investigator Preparation
  - a. Learn JHU Policy Definitions
  - b. Prepare for Interviews
  - c. Trauma-informed practices
- 3) Gather Evidence
- 4) Review and summarize evidence
- 5) Draft/Finalize Investigative Report for Decision-maker(s)

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## Whose Responsibility is it?

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

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## Understanding Roles — Investigator's Obligations

- Undertake "a **thorough search for relevant facts and evidence** pertaining to a particular case, while operating **under the constraints** of conducting and concluding the investigation under designated, reasonably prompt timeframes and without powers of subpoena."
- "Such conditions limit the extensiveness or comprehensiveness of the efforts to gather evidence while reasonably expecting you to gather evidence that is available."

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## Understanding Roles — Staying in Your Lane

### Recipient's Role

- Complying with legal obligations
- Establishing and overseeing grievance process
- Intake
- Notice of rights
- Dismissals and removal
- Clery/timely warnings/ASR
- Supportive/Interim measures
- Providing support resources
- Establishing advisor parameters
- Extending deadlines
- Decision-making

### Investigator's Role

- Participating in required trainings
- Identifying conflicts or bias concerns
- Preparing for investigation
- Drafting notice(s) of meetings??
- Gathering information
  - Equal opportunities for parties to provide information and input
- Compiling and organizing information
- Making credibility determinations?
- Making recommendations??
  - Permitted under Title IX but cannot be the adjudicator/decision-maker
- Packaging materials for decision-maker(s) (investigative report)

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## Understanding Roles — Title IX Regulations' Dividing Lines

- Title IX Coordinator can be an investigator but cannot be a decision-maker
  - Can make recommendations regarding findings
- Investigator cannot be a decision-maker (no single investigator model)
  - Can make recommendations regarding findings
- BUT decision-maker, regardless of recommendations, must independently and objectively evaluate the relevant evidence (no deferential treatment)

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## Understanding Roles — Title IX Coordinator

Directly or through designee:

- Coordinating the recipient's response to discrimination on the basis of sex, including sexual harassment and misconduct
- Ensuring process is free from known or reported conflicts of interest or bias
- Responding to reports alleging sexual harassment
- Determining the appropriate process
- Overseeing the grievance process
- Ensuring the process is user-friendly
- Coordinating the effective implementation of supportive/interim measures
- Overseeing training requirements
- Separating roles and responsibilities
- Ensuring process is compliant and effective

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## Investigation Phases: Pre-investigation Efforts by Others

Prior to commencement of the investigation:

- Receipt of report and/or formal complaint
- Meeting with Complainant
- Safety and risk analysis (Complainant and community)
  - Removal process, if applicable (very rare)
- Written notice of rights to Complainant and preservation of evidence (VAWA compliant)
- Notification of right to contact law enforcement (and note differences)
- Notification of right to obtain medical treatment
- Supportive/Interim measures
- Evaluate availability of informal resolution
- Evaluate potential grounds for dismissal
- Decision to move forward with an investigation
- Determination of which policy/process will be followed

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## Investigation Phases: Pre-investigation Written Notice Requirement

Prior to commencement of the investigation (cont.):

Upon receipt of the Formal Complaint, must send parties **Written Notice**:

- Explaining grievance process
- Containing sufficient details known **at that time** (and supplement later as necessary) and provided with sufficient time to prepare a response before any interview, including:
  - identities of the parties (if known)
  - conduct constituting sexual harassment
  - date and location of alleged incident(s) (if known)
- Stating that respondent is presumed not responsible
- Determination regarding responsibility is made at conclusion of the process
- Informing parties of any policy provision that prohibits participants from knowingly making false statements/submitting false information

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## Investigation Phases: Pre-investigation Written Notice Requirement & Advisors

**Written Notice** (cont.):

- Informing parties of their right to an advisor of their choice and that the advisor may, but need not be, an attorney
- Right of advisor to inspect and review evidence as stated in the applicable policy (most institutions have a branched approach, one for Title IX and one for non-Title IX allegations)

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## More on Advisors

- Both parties have the right to be accompanied by advisor to any meeting or proceeding during the investigation (Title IX and VAWA)
- Recipient may not limit the presence or choice
- But may establish restrictions around advisor participation in meetings or proceedings, as long as applied equally to both parties
  - Gag orders NOT permitted
  - May set parameters through advisor agreements
  - Nondisclosure agreements (NDAs)
  - Potted plant during process and interviews and no direct communication with recipient
  - Avoid direct engagement with advisor, address party and advise party of consequences
  - Involve Title IX Coordinator in decisions about advisor conduct
  - Take the same approach for all advisors, in all cases
- Recipient not required to provide an advisor at any time prior to hearing
  - May not restrict advisor's role in cross-examination

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## Understanding Roles — Coordination between Investigator and Title IX Coordinator

- Have clear understanding about who will:
  - Determine applicable policy and procedures
  - Determine who will (or will not) be interviewed
  - Arrange the interviews
  - Issue timely notice of meetings to the parties
  - Address advisor issues, including any advisor agreements and communications
  - Communicate with the parties about the status of the case
  - Decide whether to delay the investigation for good cause
  - Communicate notices of delay and recommencement of the investigation
  - Send any amended notice of investigation
  - Decide on close of evidence
  - Decide to re-open an investigation to gather more evidence
  - Decide what evidence is going to be included and excluded
  - Ensure compliance with timeframes in policy and required by Title IX

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## Case Study: Celia and Ryan

The Title IX Coordinator has received notification from the University's online reporting system. Celia alleges that Ryan had sexual intercourse with her and had her perform oral sex on him while she was blacked out.

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### The Respondent: Ryan

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The Respondent's name looks familiar to you and you look through your files to find that he was suggested as a witness in a sexual harassment investigation you completed during his freshman year. In that case, you reached out to him but never heard back.

What should you do?



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### Celia and Ryan: Notice of Allegations

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- After your conversation with the Title IX Coordinator, the Title IX Coordinator sent the parties a Notice of Allegations, which identified you as the investigator, and stated, in part:

On August 17, 2021, Celia submitted a complaint alleging that Ryan sexually assaulted her. In her complaint, Celia alleged that Ryan had vaginal sex with her and had her perform nonconsensual oral sex on him while she was blacked out on May 8, 2021.

- No party raised a concern about bias or conflicts with you as the investigator



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### Preparation Phase — Prepare for Investigation

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- Clear conflicts/bias inquiries
- Issue spotting and legwork:
  - Review complaint, statements, documentation, notices to parties
  - Gather available information about parties and witnesses
  - Legwork on locations, geography, and publicly available information, including information, sources of information, and investigation steps
  - Develop plan for sequencing investigation, interviews, and evidence
- Know the policy/policies at issue and the applicable procedures, provisions, and definitions
  - Calendar the timeframes for the phases
- Outline your report and investigation steps



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## Preparation Phase — Prepare for Interviews

Account for the circumstances and surroundings:

- Who will be participating?
  - Investigator(s)? Party? Advisor? Support person?
- By what method?
  - In-person? Video? Other method?
  - Recording?
- From what location(s)?
- Timing and sequencing
- Know applicable policy provisions around these items
- Go with the flow – be fluid and flexible

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## JHU Definition of Title IX Sexual Harassment

- The term "Title IX Sexual Harassment" means conduct on the basis of sex\* that satisfies one or more of the following:
  - An employee conditioning educational benefits on participation in unwelcome sexual conduct (quid pro quo);
  - Unwelcome conduct that a reasonable person would determine is so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the educational institution's education program or activity; and/or
  - Sexual Assault, Dating Violence, Domestic Violence, or Title IX Stalking

*\*including conduct based on sexual orientation and gender identity or expression*

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## JHU Definition of Non-Title IX Sexual Harassment

- The term "non-Title IX sexual harassment," whether between people of different sexes or the same sex, includes, but is not limited to, conduct that does not meet the definition of Title IX Sexual Harassment but otherwise constitutes unwelcome sexual advances, requests for sexual favors, and other verbal, non-verbal, electronic or physical conduct of a sexual nature when:
  - The respondent is a non-employee and submission to such conduct is implicitly or explicitly a term or condition of an individual's participation in an educational program or activity;
  - The respondent is a non-employee and submission to or rejection of such conduct by an individual is used as the basis for academic decisions, evaluation or advancement; or
  - Such conduct creates a non-Title IX hostile environment ("non-Title IX hostile environment").
- Examples include: comments about appearance in a sexually suggestive way; staring/making obscene gestures or noises; repeatedly asking someone on a date; "flashing" or exposing body parts; sexual coercion; intentional sexual touching that does not meet the definition of Title IX Sexual Harassment; disrobing; spreading sexual rumors; rating peers or colleagues with respect to sexual performance; non-consensual observation, photographing, or recording of sexual activity or nudity; non-consensual distribution or dissemination of photographs/recordings of sexual activity/nudity, including photographs/recordings made consensually; allowing a third party to observe sexual activity without the consent of all parties; and prostituting/trafficking another person

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## JHU Definition of Non-Title IX Hostile Environment Harassment

- A "non-Title IX hostile environment" results from unwelcome sexual or sex-based conduct (including sexual orientation-based and/or gender identity/expression-based conduct) that does not meet the definition of Title IX Sexual Harassment but is so severe, pervasive, or persistent that it unreasonably interferes with, limits, or deprives a member of the community of the ability to participate in or to receive benefits, services, or opportunities from the University's education or employment programs and/or activities. A non-Title IX hostile environment can be the result of acts committed by any individual or individuals, including any member of the University community. To assess whether the alleged conduct has created a hostile environment under this definition, the University considers all relevant evidence, weighs a variety of factors, and evaluates the conduct at issue from both a subjective and objective perspective.

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## JHU Definition of Sexual Assault

- The term "**sexual assault**" includes the following actual or attempted acts:
  - **Rape (except Statutory Rape):** The carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

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## JHU Definition of Sexual Assault (cont.)

- **Sodomy:** Oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.
- **Fondling:** The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

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## JHU Definition of Consent

- Sexual activity of any kind requires “consent,” which consists of the following:
  - Consent means clear and voluntary agreement between participants to engage in the specific act.
  - Consent requires a clear “yes,” verbal or otherwise; it cannot be inferred from the absence of a “no.”
  - Consent must be ongoing throughout a sexual encounter and can be revoked at any time.
  - Consent to some sexual acts does not necessarily imply consent to others.
  - Past consent does not mean ongoing or future consent.

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## JHU Definition of Consent (cont.)

- Consent cannot be obtained by pressure, threats, coercion or force of any kind, whether mental or physical. Consent means actually agreeing to the specific sexual activity, rather than merely submitting as a result of pressure, threats, coercion or force of any kind, whether mental or physical.
- Consent cannot be obtained from an individual who is under the legal age of consent.
- Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another.

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## JHU Definition of Consent and Incapacitation

- Consent cannot be obtained from someone who is unconscious, asleep, physically helpless, or **incapacitated** (including, but not limited to, mentally incapacitated). A person is **incapacitated** when they are unable to make a rational decision because the person lacks the ability to understand their decision. A person who is **incapacitated** is unable to consent to sexual activity. A person can become **incapacitated** as a result of physical or mental disability, involuntary physical constraint, being asleep or unconscious, or consumption of alcohol or other drugs. A person can consume alcohol and/or drugs without becoming **incapacitated**. A person who engages in sexual activity with someone that person knows or reasonably should know is **incapacitated** does not have consent and will be found responsible for a Policy violation.

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## JHU Definition of Retaliation

- The term "**retaliation**" means intimidating, threatening, coercing, harassing, taking adverse employment or educational action against, otherwise discriminating against an individual in any way, and/or interfering with any right or privilege secured by Title IX or its implementing regulations, including through online communications and activities such as social media, because the individual made a report or complaint under this Policy or these Procedures, participated in any way in the investigation or resolution of such a report or complaint, opposed conduct that they reasonably believed to be prohibited under this Policy, these Procedures, or applicable law regarding discrimination or harassment, or exercised any right or responsibility under this Policy or these Procedures.

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## JHU Definition of Retaliation (cont.)

- Retaliation includes conduct that is reasonably likely to deter an individual from making a complaint or report under this Policy or from participating in the investigation or resolution of a complaint or report, or from opposing conduct that they reasonably believe to be prohibited under this Policy, these Procedures, or applicable law regarding discrimination or harassment.

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## Preparation Phase — Prepare for Interviews

### Create Opening Script:

- Identify yourself and explain your independent, fact gathering role (and anyone else with you), distinguishing it from others' roles (Coordinator, Decision-makers)
- High level explanation of how the interview fits in the process and how information might be used (written reports and hearing)
- Let them know they will have the opportunity to provide information and evidence throughout the investigation process, beyond the interview (parties)
- Explain reasons for your notetaking/recording, confirm they are not recording
- Acknowledge anyone with them (advisor) and reiterate limited role
- Explain that you may be asking difficult questions about sensitive matters
- Invite/permit them to ask questions
- Ask them not to read anything into the questions
- Tell them they can ask for a break whenever they need one
- Tell them to let you know if any question is unclear, confusing, or difficult to understand

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## Preparation Phase — Prepare for Interviews

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**Opening (cont.):**

- Ask them to distinguish between information they have heard from other sources and information based on personal knowledge or experiences
- Address investigation confidentiality (can request it of witnesses, cannot require it for parties)
- Discuss policy against retaliation (assurance and warning)
- Address any amnesty provision and importance of providing known information
- Provide name and contact information for Title IX Coordinator for questions about the process or retaliation
- Ask that they commit to tell the truth
- For virtual interviews:
  - Confirm they are in a private space and ask about any potential disruptions
  - Pan the room?
  - Explain that institution is trying to replicate the in-person process (video required?)
  - Discuss plan for handling any disconnections


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## Preparation Phase — Prepare for Interviews

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**Closing Scripts:**

- Ask if they think there is any additional information that is important for you to know
  - Anything they thought you would be asking about but you did not?
- Ask if they have talked about it with any others
- Ask if there are other witnesses they believe are important
  - *AND* what each would provide
- Ask if there is any other evidence they believe you should review
  - Texts, social media, emails, videos, journals
- For parties, any questions they would like you to consider asking the other party?
- Opportunity to contact you/Coordinator with any additional information
- Alert them to the possibility of an additional interview (especially parties)
- Reminders: confidentiality, retaliation, questions to Title IX Coordinator
- Ensure they know how to contact you
- Thank them for their time


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## Preparation Phase — Prepare for Interviews

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**Interview *Outline*:**

- This is not a deposition
- List the topics to be covered in the interview
  - Chronology of the "chapters"
- Focus on what must ultimately be determined and list the elements, for example:
  - Alleged sexual activity
  - Consent? Will need the specific details about how it was communicated/understood
  - Incapacity? Need information about the impact of alcohol and indications of incapacity
  - Coercion? Details about the pressure and consequences if refused
  - Chronology of events
- For the most critical questions, work on the wording in advance:
  - E.g.: what were the words or actions that indicated to you that complainant consented to the sexual activity
- Regs require that you not rely on sex stereotypes
- Be mindful of trauma-informed practices


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## Trauma Informed Education

### Experience and research reveal:

- Sexual assault on campus often involves people who know each other
- Complainants frequently blame themselves
- Complainants commonly delay in reporting or do not report
- Cases often involve friendship groups
- Different people respond to trauma differently
- Alcohol is frequently involved
- Appearing to display symptoms of trauma does not mean that trauma was suffered

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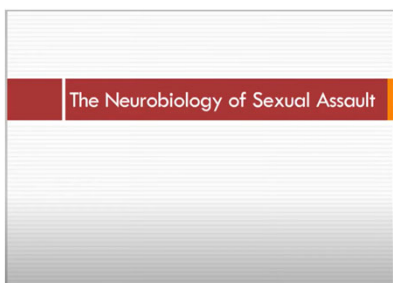
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## Neurobiology of Sexual Assault



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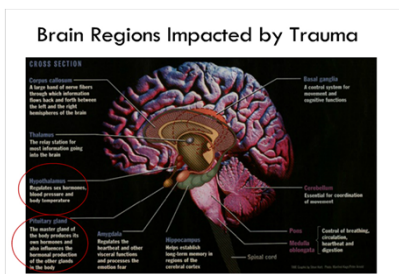
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## Neurobiology of Sexual Assault: Trauma and Impact on the Brain



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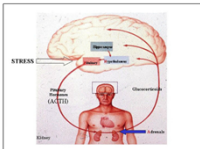
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## Neurobiology of Sexual Assault: Trauma and Impact on the Brain

### Brain-Body Regions Impacted by Trauma

#### HPA Axis

Balances body following stress by releasing of various hormones/chemicals



SOURCE: Southwick et al., 2005

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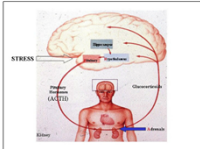
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## Neurobiology of Sexual Assault: Trauma and Impact on the Brain

### Brain-Body Regions Impacted by Trauma

- Catecholamines:** Fight or flight response
- Cortisol:** Energy available
- Opioids:** Prevent pain
- Oxytocin:** Promotes good feelings



SOURCE: Southwick et al., 2005

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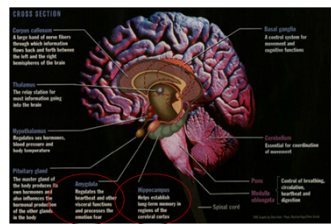
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## Neurobiology of Sexual Assault: Trauma and Impact on Memory

### Brain Regions Impacted by Trauma




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# Neurobiology of Sexual Assault: Trauma and Impact on Memory

## Memory Processes Impacted by Trauma

**Hippocampus** processes information into memories

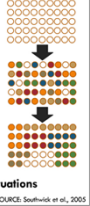
Encoding = Organizing sensory information

Consolidation = Grouping information into memories and storing them

**Amygdala** specializes in the processing of emotional memories (works with the hippocampus)

**Both structures are VERY sensitive to hormonal fluctuations**

SOURCE: Southwick et al., 2005



Investigating  
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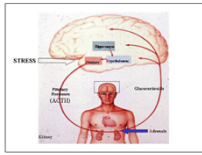
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# Neurobiology of Sexual Assault: Trauma and Impact on Memory

## Like These . . .

- Catecholamines:** Fight or flight response
- Cortisol:** Energy available
- Opioids:** Prevent pain
- Oxytocin:** Promotes good feelings



THESE HORMONES IMPAIR MEMORY CONSOLIDATION

SOURCE: Southwick et al., 2005

Investigating  
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# Neurobiology of Sexual Assault: How Does This Play Out in Sexual Assault?

## What Happens During A Sexual Assault



SOURCE: Boris, 2002; Southwick et al., 2005

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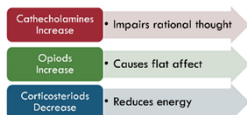
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## Neurobiology of Sexual Assault: How Does This Play Out in Sexual Assault?

### What Happens During A Sexual Assault



SOURCE: Banks, 2002; Southwick et al., 2005

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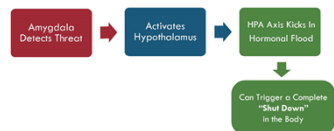
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## Neurobiology of Sexual Assault: How Does This Play Out in Sexual Assault?

### What Happens During A Sexual Assault



SOURCE: Banks, 2002; Southwick et al., 2005

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## Neurobiology of Sexual Assault: How Does This Play Out in Sexual Assault?

### Tonic Immobility (TI)

- AKA: "Rape-induced paralysis"
- Autonomic (uncontrollable) mammalian response in extremely fearful situations
- Increased breathing, eye closure, paralysis
- 12-50% rape victims experience TI during assault
- TI is ~more common in victims who have been assaulted before (childhood, adolescence, or adult)

SOURCE: Foa et al., 2007; Gallone et al., 1993; Hebl et al., 2005

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## Recap of How Trauma Plays Out in Sexual Assault

- Flee – Try to run or get away from the threatening situation
- Fight – Body tries to fight back against the traumatic event
- Limits Rational Thought Process
- Flat Affect
- Freeze – Unable to move or fight back

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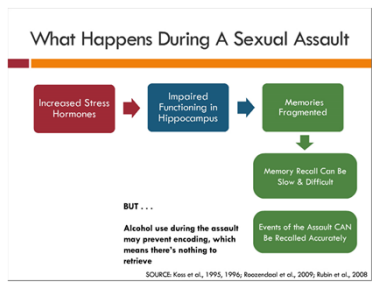
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## Neurobiology of Sexual Assault: What Happens in Terms of Memory?




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## Neurobiology of Sexual Assault: What Happens in Terms of Memory?

### Case Study: Memory Fragmentation

- 25 year-old woman
- Raped by a friend's brother at 4<sup>th</sup> July party
- Filed police report
- Detective interview was when it all went to hell

"He wouldn't let up, prodding me with question after question after question. Trying to trick me, trying to get me to mess up. I wanted to say, 'hold on, give me a minute to think'. No, he kept coming at me."

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Neurobiology of Sexual Assault:  
What Happens in Terms of Memory?

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Case Study: Memory Fragmentation

"It was classic good-cop / bad-cop. He stormed off and another detective sat down next to me. He offered me a cup of coffee.

Coffee? OK fine. How do I take it? WHAT? Why does he care how I take my coffee?

Well, he did.

He made me coffee. He gave me time to just sit, collect my thoughts."

Investigation  
Reports  
Diagnosis  
Treatment

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Neurobiology of Sexual Assault:  
What Happens in Terms of Memory?

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Case Study: Memory Fragmentation

"We talked it through. And I didn't feel rattled and freaked out. I'm sure I was incoherent and he just let it roll. He was patient.

I felt like I was piecing it together, like a puzzle, we were putting together a puzzle together.

And drinking coffee."

Investigation  
Reports  
Diagnosis  
Treatment

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Neurobiology of Sexual Assault:  
What Happens in Terms of Memory?

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Case Study: Memory Fragmentation

I: So, why did you do that? (give her the coffee)

R: It helps. Not the coffee so much, just the moment to let it all come together in their heads.

I: What do you mean?

R: I don't know why it's like that, I've just noticed that over the years. If you give them a few minutes to breathe . . . it starts to make more sense. I don't know why, it just does.

MEMORY CONSOLIDATION  
A DOCUMENTED NEUROBIOLOGICAL CONDITION

Investigation  
Reports  
Diagnosis  
Treatment

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## Neurobiology of Sexual Assault: What Happens in Terms of Memory?

### Case Study: Memory Fragmentation

- I: Were you worried that if you gave her some time, she'd just make something up?
- R: Nah, not really. I mean, some victims lie, but most don't. Besides, if they're lying, we'll catch 'em at it eventually. I think it's just hard for victims to talk about and we just need to have a little patience.

→ **MEMORY CONSOLIDATION**  
A DOCUMENTED NEUROBIOLOGICAL CONDITION

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## Recap of Trauma's Impact on Memory

- Slowed Recall
- Disorganized and Fragmented
- May appear like the story is changing
- If alcohol was involved the memory may not be retrievable

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## Neurobiology of Sexual Assault: What Does This Mean For Practitioners?

### Take Home Lessons

- Neurobiological changes can lead to flat affect or "strange" emotions or emotional swings
  - "Hormonal soup"
  - Misinterpreted as being cavalier about it or lying
  - Wide range of emotions are in fact normal and it can be helpful to normalize those reactions

SOURCE: Campbell & Fehrman, 2011

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## Neurobiology of Sexual Assault: What Does This Mean For Practitioners?

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### Take Home Lessons

- Neurobiological changes can make memory consolidation and recall difficult
  - Story may come out fragmented or "sketchy"
  - Misinterpreted as evasiveness or lying
  - The content of the memory is accurate, just may take some time and patience for it to come together

SOURCE: Campbell & Pedersen, 2011; Kass et al., 1995, 1996



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## Neurobiology of Sexual Assault: What Does This Mean For Practitioners?

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### Take Home Lessons

- Tonic immobility is often frightening to victims
  - Associated with increased self-blame
  - Associated with decreased likelihood of seeking help
  - Friends, family, service providers reactions to a disclosure of TI are often hurtful
  - Helpful to explain what TI is and normalize it

SOURCE: Foa et al., 2007; Gallone et al., 1995; Heith et al., 2005; Marx et al., 2008



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## Related Concepts to Consider

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- Secondary Victimization
  - "the victim-blaming attitudes, behaviors, and practices that exacerbate sexual assault survivors' trauma" or cause them to relive it
  - "made them feel guilty, depressed, anxious, distrustful of others, and reluctant to seek further help"
  - questions about decision-making, alcohol consumption, sending mixed signals, or appearance/clothing
- Use of sensory information to help recall memory affected by experiencing trauma
  - Asking about what the person could see, smell, taste, feel, or hear



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**Thank You**

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Womble Bond Dickinson gratefully acknowledges the U.S. Department of Justice, Office of Justice Programs, National Institute of Justice, for allowing us to reproduce, in part or in whole, Dr. Rebecca Campbell's *The Neurobiology of Sexual Assault*. The opinions, findings, and conclusions or recommendations expressed in this video are those of the speaker(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice.

Investigation  
Reports  
Decision-making  
Notices

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**Phase: Gather Evidence**

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Reports  
Decision-making  
Notices

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**Phase: Gather Evidence — Notice of Meetings**

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**Title IX:**

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

**VAWA:**

Both parties are to receive timely notice of meetings in which either might participate as part of the informal or formal disciplinary process

Investigation  
Reports  
Decision-making  
Notices

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## Putting Training into Practice: Investigation Techniques for Interviews

- Be thoughtful about the time of the interview, time allotted, and location
- Make the party comfortable and develop some rapport
- Be empathetic
- Calm and professional demeanor throughout
- Be patient, do not rush: slow down, give them space to think and answer
- Use open-ended questions, allow for them to answer questions in the narrative (initial interview)
- Do not interrupt
- Do not form judgments based how they are acting/presenting
  - Demeanor or emotions (trauma informed/stressful process)
  - Alcohol can impair memory
  - Avoid secondary victimization (complainant)

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## Putting Training into Practice: Investigation Techniques for Interviews

Beyond **being** impartial and not prejudging, take steps to help **communicate** your impartiality during interviews:

- Avoid confusion: explain and establish your role clearly and early and return to it as needed throughout the interview and process
- Demonstrate impartiality through neutral language
  - Do not use conclusory language about contested or unknown facts
  - Do not appear to take sides or even agree with the party/witness account
  - Do not appear to provide support ("I'm sorry this happened to you") *but* you should be familiar with the resources available and be able to reference them/information about them
  - Use terms "account" or "experience," not "story" or "version"
- Maintain your calm demeanor
  - Do not react or supply energy to the information received or interview generally (words or expressions/body language)
  - Stay engaged
- Stick to your role, any deviation can be confusing, cause mistrust, or create appearance of bias

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## Phase: Gather Evidence — Interviews

### Questioning:

- Start with opening script
- Goal is to collect the full account of the events surrounding the allegation, typically through narratives (take note of new allegations)
  - Try to obtain the information necessary to create a timeline for the events (even if they do not recall the specific time)
  - Want information to recreate the scene: who, what, when, where, and how
  - Start with open-ended questions to obtain account
  - Keep the conversation open-ended and flowing throughout ("And then what happened")
- Listen carefully to the responses to formulate follow up questions
  - Limit follow up questions to information necessary to understand the account
  - If you are not sure, do not ask
- Do not frame questions that in a way that shares information, unless it is truly necessary
- Distinguish personal knowledge and secondhand information

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## Phase: Gather Evidence — Interviews

### Questioning (cont.):

- Do not "confront" them with other accounts or evidence (in *initial* party interviews)
- Ask clarifying questions for descriptions or words with multiple or unclear meanings
  - Clinical terms instead of "did it," "had sex," "oral," "got together," and "hooked up"
  - Do not draw a conclusion because it might seem self-explanatory
- Ask questions seeking all relevant information, even if they are very personal and uncomfortable
- Avoid "why" questions (unnerving, feel and sound judgmental)
- Recap, restate, or summarize what they have said, in the way they said it
  - Do not interpret or change the wording
  - Complete the "chapter"
- Closing script
- Write up your notes as soon as possible afterward (summary/draft report/recording)

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## Gather Evidence — Alcohol

- Incapacitation more extreme than impairment or intoxication
- Varies by person and their personal characteristics, including biological and other factors
- Use 1 (sober) to 10 (passed out) scale with descriptions of impact?
- **Potential** indicators:
  - Slurred speech
  - Bloodshot eyes
  - Trouble standing or walking/lack of equilibrium
  - Vomiting
  - Other extreme or unusual behavior
  - Disorientation
  - Falling asleep
  - Fully or intermittently unconscious
  - Memory loss/"black out"

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## Phase: Gather Evidence — Special Considerations For Witness Interviews

- **Witness Interviews:**
  - Greater sensitivity to not sharing information
  - Early assessment of what they know will help guide your approach
  - If they do not know why they are a witness, start broadly and funnel down?
  - Leading questions often provide less reliable information
  - Give yourself time to consider whether to ask more pointed, detailed questions
  - Confidentiality

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# Celia's Interview




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# Celia's Interview

During Celia's interview, she pulled out a folder and asked you to look at it. When you asked what was in the folder, she told you it contained a copy of her SANE exam.



**How do you respond?**

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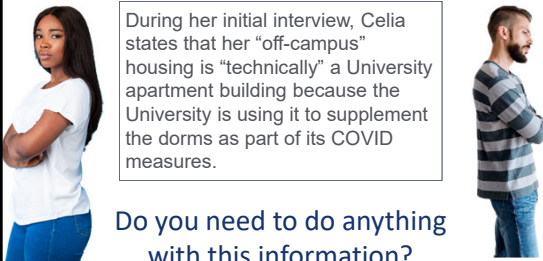
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# Celia's Interview

During her initial interview, Celia states that her "off-campus" housing is "technically" a University apartment building because the University is using it to supplement the dorms as part of its COVID measures.



**Do you need to do anything with this information?**

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## Moving Forward



- The Title IX Coordinator calls you back the next day and tells you that Celia's off-campus apartment was indeed secured by the University and is being used as University housing. The Coordinator has met with the Complainant, who confirmed that she is moving forward with her Formal Complaint, and the Coordinator notified both parties that the case will proceed under the University's Title IX Sexual Harassment Policy.
- The Coordinator tells you that you will receive a copy of the Amended Notice of Investigation sent to the parties earlier in the day.

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## Celia's Interview



Celia stated "tensions have been high" in the marching band following her report, because "everyone is taking sides." Celia stated that Bryce, a leader in the marching band organization and one of Ryan's close friends, came up to her and told her that "it would have been better if she had handled things within the band" and "maybe [Celia] shouldn't come to band parties anymore."



Do you do anything with this information?

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## Ryan's Interview

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### Ryan's Interview



During Ryan's interview, Ryan tells you that he wanted to tell Celia that they had sex but his lawyer told him not to do it because it would make him look guilty.

**What do you do?**

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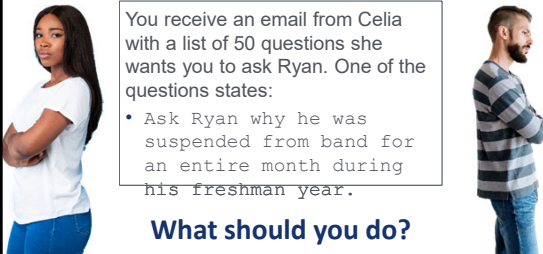
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### Ryan's Interview



You receive an email from Celia with a list of 50 questions she wants you to ask Ryan. One of the questions states:

- Ask Ryan why he was suspended from band for an entire month during his freshman year.

**What should you do?**

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### Ryan's Interview



At the conclusion of Ryan's interview, he tells you his advisor will be sending you witness statements but it is going to take a few weeks to get them together.

**How do you handle it?**

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## Ryan's Witnesses

Ryan sends you an additional list of witnesses to interview. One of the witnesses is his pastor.

Ryan says his pastor will be able to tell you about Ryan's deep sense of fairness and the conflict he has felt during this process between defending himself and trying to ease Celia's pain.

Ryan goes on to explain that he believes he has been too unselfish in this process.



**What should you do?**

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Discovery  
Settlement

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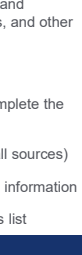
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## Phase: Gather Evidence — Special Considerations For Follow Up Interviews

- Party follow up interviews:
  - Complete draft investigation report prior to follow ups
  - Evaluate all of the evidence to know differences in accounts and inconsistencies or conflicts with own account, other accounts, and other evidence
  - Outline the follow up interview
  - Not a re-examination: collect the information you need to complete the account/fill in any gaps
  - Ask follow up questions based on evidence collected (from all sources)
  - Offer the opportunity to respond, if they wish, to other party's information
  - Ask suitable "cross-examination" questions from other party's list



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Settlement

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## Celia's Follow-Up Interview



During Celia's follow-up interview, you offer Celia the opportunity to respond to Ryan's account of the sexual contact in the bedroom, which included details about the kissing, Celia's rubbing of Ryan's penis, Ryan touching her breasts.

Celia becomes very emotional, tells you she had no memory of any of it, and comments that Ryan completely violated every part of her that night.



**What, if anything, do you do?**

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Reports  
Discovery  
Settlement

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## The Investigation



You talk to the Title IX Coordinator who meets with Celia. The Title IX Coordinator issues an Amended Notice of Allegations.

Celia submitted a formal complaint of alleged nonconsensual sexual penetration (vaginal and oral) with her and nonconsensual fondling of her breasts and Ryan's penis in her room in the University's apartment complex.




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## Phase: Gather Evidence — Interviews

Remember exclusions (evidence that is "not relevant"):

- Do not ask about prior **sexual predisposition** or **sexual behavior** of the **Complainant**, unless:
  - The questions (or evidence) are related to prior sexual contact with the respondent and are offered to prove consent, or
  - Respondent alleges someone else committed the conduct
- Privileged records— do not ask/initiate discussion about:
  - Medical, psychological, or similar treatment records
  - Attorney-client
  - Clergy
  - Spousal
- Privilege can be waived through "voluntary, written consent"


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## Phase: Gather Evidence — Beyond Interviews

Other Common Categories of Evidence:

- Texts, chats, and other electronic messages/communications
- Photos and videos
- Voicemails
- Recordings (thorny)
- Emails
- Social media posts
- Surveillance video
- Access data: Wi-Fi, key card
- Police report
- Medical and treatment records (must have a written waiver)
- Employment/student records
- Diagrams, maps, and drawings


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## Phase: Gather Evidence—Beyond Interviews

- Title IX Regs prohibit categorical exclusion of evidence
- Common examples of evidence institutions previously excluded or deemed not relevant include:
  - Lie detector results
  - Expert reports
  - Medical records, including rape kits
  - Character evidence
  - Prior bad acts
  - Witness statements submitted by party or their advisor
  - *Unduly prejudicial/evidence "whose probative value is substantially outweighed by the danger of unfair prejudice"*

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## Phase: Review and Summarize Evidence

### Title IX (*only*):

- Both parties must be given equal opportunity to inspect and review any evidence obtained during the investigation that is **directly related** to the allegations in the formal complaint, including:
  - evidence upon which recipient does not intend to rely in reaching a responsibility determination
  - inculpatory and exculpatory evidence obtained from a party or other source
  - and all must be available at the hearing as well
- Evidence must be **sent to each party**, and their advisors (if any), in an electronic format or hard copy
  - BUT can require protections: NDAs, limit use to the process, digital encryption, confidentiality stamps, and use of watermarks
- Party must be given ten (10) days to submit a response in writing to the "directly related evidence"
- Investigator must consider any response before finalizing investigative report

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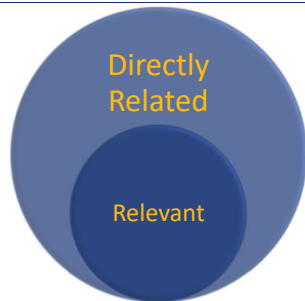
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## "Directly Related" Evidence



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### “Directly Related” Evidence

- May take the form of a **draft** investigative report
- Includes most evidence gathered
- Interviews: interview summaries or rough transcripts for recorded interviews
- Documentary evidence:
  - Employment or student records
  - Text messages, group chats, apps, emails, photos, videos, social media posts
  - Campus police or other law enforcement records
  - Data: key fob, Wi-Fi, surveillance videos
  - Other documents: medical records, diagrams, bank statements, receipts, and maps
- Sexual disposition/history is included **if** directly related (and even if not “relevant”)
- Medical and privileged materials not included without a waiver (may redact)
- Prior to sharing evidence with parties: review final contents with Title IX Coordinator
  - Document the decisions made and reasons for excluding certain evidence

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### Checklist for Closing Investigation Process

- Double-check Title IX compliance with the restrictions
  - prior sexual behavior or predisposition
  - privileged records
  - waivers
  - limits on exclusion of evidence
- Confer with Title IX Coordinator about timing and mechanics of providing to parties **and their advisors** for review (Title IX)
  - *If a VAWA case not proceeding under the Title IX policy or procedures, this probably occurs in conjunction with providing parties access to the final investigative report*

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### Checklist for Closing Investigation Process — Protecting the File

Prior to providing the “directly related” evidence (or the report for VAWA) to the parties, build in protections:

- Remove or redact information that is not directly related
- Require parties and their advisors to use the evidence and any report only for the purposes of the institution’s process
- Prohibit parties and advisors from sharing the documentation or disclosing the information to others
- Non-disclosure agreement?
- Use digital encryption to protect privacy
- Use party-specific watermarks
- **Use the same practices for the final report**

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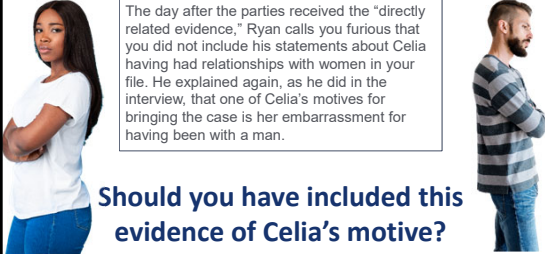
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### Ryan's Call



The day after the parties received the "directly related evidence," Ryan calls you furious that you did not include his statements about Celia having had relationships with women in your file. He explained again, as he did in the interview, that one of Celia's motives for bringing the case is her embarrassment for having been with a man.

**Should you have included this evidence of Celia's motive?**

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### Phase: Finalize Investigative Report

- First:
  - Review and consider any response received
  - Confer with Coordinator about any response received
  - Determine whether further investigation, interviews, or follow up is needed
  - Identify evidentiary or relevance issues
  - Determine whether you need additional expertise
- Then:
  - Draft the final investigative report

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### Celia's Call



A week after Celia receives the "directly related evidence," she leaves you a voicemail saying she has "new information" related to the case and asks that you call her at 5:30 that night.

**What do you do?**

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### Celia's Call



You called Celia, who says she learned from multiple band members that, at a band party a few weeks prior, Ryan had been intoxicated and had told members of the band that "Celia's whole case against me is false because she's just an angry lesbian."

She stated that she heard about Ryan's alleged statements during the investigation period but initially "brushed them off." However, thinking more about it, she decided to report his "blatantly homophobic comments." She wants action and wants it now.

**Now what?**

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### Ryan's Call

After receiving the report, Ryan emailed you and said he needs to talk to you about something important. He stated that you misquoted him in the investigation report and wants to clarify that right away.



**What do you do?**

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## Decision-Making

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### Phase: Finalize Investigative Report

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After the review and response period:

- Title IX
  - Create an investigative report that fairly summarizes **relevant evidence**, and
  - at least 10 days prior to a hearing, send the report to each party **and** their advisor (if any) for their review and written response (in an electronic format or a hard copy)
  - Investigator cannot be the decision-maker
- VAWA:
  - Provide the **party with access** (can used supervised access, no copies)
  - to the information to be used in the decision-making process
  - Investigator can be the decision-maker

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### Phase: Finalize Investigative Report

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**Relevant evidence:**

- “The final regulations do not define relevance, and the ordinary meaning of the word should be understood and applied.”
- “Focus investigations and adjudications on **evidence** pertinent to **proving whether facts material** to the **allegations** under investigation **are more or less likely to be true** (i.e., on what is relevant).”

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### Phase: Finalize Investigative Report

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Preparation:

- Develop a template for the structure
- Know the scope (fact gatherer and reporter, single investigator, credibility assessments, recommendations?)
- Stay organized throughout the process and build the report and evidence as you go
  - Create your interview summaries as you go
  - Compile and organize documentary evidence
  - Include meetings and other case events and timelines in working draft as you go
- Identify “directly related” evidence that is distinct from “relevant evidence”

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**Phase: Finalize Investigative Report — Overview of Report Elements**

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- A. Introduction**
- B. Summary of the Allegations and Complaint**
- C. Documents/Evidence Reviewed**
- D. Interview Methodology**
- E. Witnesses Interviewed**
- F. Factual Summary**
- G. Recommendations (for non-Title IX, if applicable)**
- H. Conclusion**

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**Phase: Finalize Investigative Report — Introduction**

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- Source, recipient, and date of report/complaint
- Date of the notice of allegations/investigation
- Reason for the investigation
- Your appointment as the Investigator (reference policy)
- Your role (investigator, single investigator, credibility, recommendations?)
- Date of the close of evidence
- Date the parties received directly related evidence and description of the form\*
- Date the parties provided responses to directly related evidence\*

*\*for Title IX investigations*

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**Phase: Finalize Investigative Report — Summary of Allegations**

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- A brief summary of the allegations made
  - usually a paragraph or two
  - similar to description in the Notice of Allegations
- Date/timing of the allegations
- Specify the same for amended or additional allegations
- Include allegations made by the other party if the investigations are consolidated

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### Phase: Finalize Investigative Report — Documents/Evidence Reviewed

- List the “relevant” documents item by item (and attach them)
- Describe the evidence, identify the source and time
  - E.g.: May 27, 2021 text messages between Complainant and Respondent provided by Complainant
- Provide a description for documents received but not deemed relevant (and not attached)
- Party responses to the “directly related” evidence or the final report (depending on your process)

Reports  
Discovery  
Interviews  
Witnesses

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### Phase: Finalize Investigative Report — Interview Methodology

- Items from opening script:
  - Role
  - Confidentiality (your treatment and, for witnesses, their adherence)
  - Retaliation policy
- Asked general questions and follow up questions when necessary
- Limitations on sharing of information
- Offered opportunity to provide evidence and suggest witnesses (and basis for suggestions)
- Parties’ opportunities to suggest questions for cross-examination (parties only)

Reports  
Discovery  
Interviews  
Witnesses

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### Phase: Finalize Investigative Report — Witnesses Interviewed

- Names of witnesses and those present (advisors, too)
- Date(s)
- Location
- Note the reasons for the interview (party request?)
- If recorded, include a reference
- For those suggested but not interviewed, note the reasons
- Identify efforts to interview witnesses who did not agree to participate

Reports  
Discovery  
Interviews  
Witnesses

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## Phase: Finalize Investigative Report — Factual Summary

- Determined by your institution's practices
- For most cases:
  - Background section (parties' description of their relationship to each other and to witnesses, witnesses description of relationships to parties)
  - Organize the facts by in chronological order by allegation/event
  - Complainant's account
  - Respondent's account
  - Witness accounts
  - Weave in other evidence provided
- Include facts necessary to decide case, including those related to credibility (and address it if that is part of your role)
- **Separate section for recommendations**

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## Finalize the Investigative Report and Provide it to the Parties

Title IX:

- Similar to access to "directly related evidence," must provide electronic or hard copy to party and advisor
- 10 days prior to any hearing
- Must provide parties opportunity to provide written response
- All evidence subject to review and response by the parties must be available at the hearing
- Can institute same types of protections (NDA, limitations on use of information, encryption, watermarks)

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## Finalize the Investigative Report and Provide it to the Parties

VAWA:

- **Controlled access** to information relied upon by any decision-maker permitted
- Supervised reviews (without smart phones)
- Confidential: no copies, photos, or downloads
- If remote, replicate in-person protections:
  - Controlled and supervised access
  - Secure site, monitored through Zoom
  - Advisor's access through party

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## Celia's Response

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- In her response to the final investigation report, Celia states that no one should believe anything Matt has to say because another band member recently told her Matt had raped her.
- What do you do?



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## Decision-Making

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## Decision-Making

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Similar and identical requirements for decision-makers:

- Process must be prompt and fair
- Impartial: bias and conflict free, avoid prejudgment of facts
- Objective evaluation of all relevant evidence
  - Both inculpatory and exculpatory
  - Address evidence that supports the conclusion
  - Address certain evidence that is contrary to the conclusion (take on material information)
  - Credibility not based on status (complainant, respondent, or witness)
- Make determination independently (no deference to investigative report)
- Reminder about Training
  - On technology to be used at the hearing
  - Issues on relevance of questions and evidence, including sexual predisposition and prior sexual behavior
  - Institution's policies, including definitions

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## Decision-Making — General Requirements of Title IX Hearing

- Live hearing
  - In-person, with separation of parties *or* virtual
- All “directly related evidence” available
- Provide cross-examination: permit each party’s advisor to ask “all relevant and follow-up questions” of the other party and witnesses
  - Institution provides advisor for cross-examination if the party does not have one
  - *Decision-maker determines relevancy for each question and party must be afforded the opportunity to challenge relevancy determinations*
- Cannot require participation of party or witness
- Audio recording or transcript
- Issue a written determination of responsibility

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## Decision-Making — Title IX Hearing

Flexibility (must apply equally):

- To determine advisor role beyond cross-examination
- Choice of decision-makers
- Use of pre-hearings
- Format of hearing beyond cross-examination
  - Openings? Investigator testimony? Direct examination? Closings?
  - JHU: openings, questioning of parties, questioning of witnesses, closings
  - In-person, with separation of parties *or* virtual
- Decorum (to make the process respectful and professional)
- Handling objections
- Time limits for various phases of hearing

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## Decision-Making — Title IX Hearing

- Ensure that you clearly understand your role in the hearing process
  - Testimony?
  - Bring or present evidence?
  - Subject to cross-examination?
  - Provide recommendations or weigh credibility?
- Seek any clarity about your role or the evidence from Title IX Coordinator, not decision-makers
  - No “ex-parte” type conversations with decision-makers
- Same approach to non-Title IX decision-making

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## Decision-Making Framework

- Keep in mind what must be decided:
- Make a decision about whether the policy was violated
  - For sexual harassment: determine what conduct occurred and whether it was welcomed or unwelcomed
  - For sexual contact: what conduct occurred and was it with consent or without consent
- Using the applicable **standard of evidence**
- With rationale for finding on each allegation
- Sanctions (institution-specific)
- Remedies (institution-specific)

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## Decision-Making

### Standard of evidence:

**Preponderance:** more likely than not that respondent violated the policy (50% and a feather) or insufficient evidence to conclude it is more likely than not

**Clear and convincing:** “highly probable” or insufficient evidence to conclude it is “highly probable”

- Under Title IX, must apply the same **standard of evidence** to all Formal Complaints of sexual harassment

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## Decision-Making — Evidentiary Issues

Always irrelevant under **Title IX**:

- Complainant’s sexual predisposition or prior sexual behavior (unless one of the two exceptions apply)
- Medical, psychological, or treatment records (without voluntary, written consent)
- Information protected by legally recognized privilege without a waiver
- **Party or witness statements that have not been the subject of cross-examination at a live hearing**
  - *Know your policy and procedures*

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## Decision-Making —Evidentiary Issues

Determine **weight** to be given to relevant evidence:

- Regs require consideration of both inculpatory and exculpatory—what does that mean?
  - Address evidence that supports the finding/conclusion
  - Address certain evidence that does not support the finding/conclusion—acknowledge and address it (including witness or party statements)
- Explain factors for some evidence “outweighing” other evidence—what are the reasons?
- What about matters that feel like one person’s word versus another’s? How do you evaluate **credibility**?

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## Decision-Making —Evidentiary Issues

### Credibility:

- Credibility cannot be based on status (complainant, respondent, or witness)
- Is there corroborating evidence and information
  - Objective documentation
  - Contemporaneous accounts and information
- Is it based on firsthand knowledge—how did the person obtain the information
- Is the information “plausible”
- How strong is their recollection or confidence in the accuracy of the information
- Was the person forthcoming with the material information

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## Decision-Making — Evidentiary Issues

### Credibility (cont.):

- Does the person have a reason to not be truthful about that information
  - In both directions: self-serving statements and statements against interest (if the fact is harmful to the person but they disclose it anyway)
- Relationship of person providing information to each of the parties
- Other factors impacting believability?
  - Prior bad acts or pattern of this conduct
  - Substantially similar and distinct conduct? Allegations or determinations?
  - Timing?
- **Demeanor?**

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Making a Determination:  
Decide Whether Ryan  
Violated the Policy

Decision-making

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Decision-Making Phase:  
Draft Notice of Determination

Notices

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Decision-Making — Written Determination

Elements:

1. Identification of the allegations alleged to constitute sexual harassment;
2. Procedural steps taken from receipt of the Formal Complaint through the determination regarding responsibility (writings, meetings, interviews, reviews, hearings, evidence collected);
3. Findings of fact supporting the determination;
4. Conclusions regarding the application of the recipient's code of conduct to the facts;
5. Decision-maker's rationale for the result of each allegation, including rationale for the determination regarding responsibility;
6. Any disciplinary sanctions imposed on the respondent, and whether the recipient will provide remedies to the complainant; and
7. Information regarding the appeals process

*\* Only one notice (re: responsibility with sanctions/remedies) and must be provided to the parties simultaneously*

Notices

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## Phase: Decision-Making — Draft Notice of Determination

Title IX and VAWA require a written Notice of Determination (policy determines whether it is required for non-Title IX sexual harassment)

Sample format of Notice of Determination (which aligns with both):

- Summary of allegations
- Summary of procedures
- Policy Provisions Section
- Findings of Fact
- Decision and Rationale
- Sanctions and Rationale
- Remedies
- Appeal Information

NOTICE

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## Phase: Decision-Making — Draft Notice of Determination

Title IX requires that it include:

- **Identification of allegations potentially constituting sexual harassment**
  - Summarize the allegations contained in the Formal Complaint
  - All allegations, for both parties, in a factual and concise manner
- **Description of the procedural steps from formal complaint through determination, including all:**
  - notifications to parties,
  - Interviews with parties and witnesses,
  - site visits,
  - methods used to gather other evidence,
  - any hearing held
- Include information about who was present and their roles

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## Phase: Decision-Making — Draft Notice of Determination

Policy Provision Section:

- Identify the policies at issue
- Include applicable definitions
  - Regarding conduct (e.g., sexual assault, consent, incapacitation) and the elements
  - Standard of proof
  - Burden of proof
  - Presumption of not responsible
  - Retaliation, if applicable

NOTICE

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## Phase: Decision-Making — Draft Notice of Determination

- Findings of fact supporting the determination
- Conclusions regarding application of policy to the facts
- Statement of, and rationale for, the result as to each allegation, including determination regarding responsibility, sanctions, and whether remedies designed to restore or preserve equal access to education program/activity to complainant

In practice:

- Discuss all material facts
- Apply the policy definition and standard of proof to the facts
- To reach conclusions that are
- Explained through the evidence available, how it was *weighed*, and how it supports, or does not support, the outcome (including credibility)

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## Phase: Decision-Making — Draft Notice of Determination

Findings and Rationale (cont.)

- Sanctions and rationale
  - And procedure for failing to abide by them
- Remedies provided

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## Phase: Decision-Making — Draft Notice of Determination

- Procedures and basis for appeal
  - Explain the process, general requirements, roles, and the timeframes
  - Permissible grounds for appeal
  - How to file it
  - On what timeline
  - To be decided by whom (by name, title, or otherwise)
- Appeal bases must include:
  - Procedural irregularity that affected the outcome
  - New evidence that was not reasonably available at the time the determination regarding responsibility (or dismissal) was made, that could affect the outcome
  - Title IX Coordinator, Investigator, or decision-maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual complainant or respondent that affected the outcome
- Plus any other grounds listed in the policy

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## Phase: Decision-Making — Draft Notice of Determination

### Delivery of the Notice of Determination (Title IX):

- Know in advance who is responsible for delivering the notice to the parties
- Must be a written notice
- Must be provided to the parties simultaneously

### Sexual Assault and VAWA crimes:

- Simultaneous notice, when the decision becomes final
  - AND for any change to the results prior to it becoming final

### Effective Date (Title IX Regs):

- Final at conclusion of appeal or, if no appeal is filed, on the date on which the appeal would no longer be considered timely

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## Phase: Decision-Making — Sanctions and Remedies

- Know your role
- Separate the finding on responsibility from the sanctions and remedies
  - If credibility is part of the sanctions determination, whomever makes credibility determinations should decide sanctions
- Know your process
  - Based solely on the investigation and hearing files?
  - Parties to submit impact statements?
- Sanctions and remedies should align with the determination
  - "close evidentiary calls" do not warrant lesser sanctions
  - evidentiary standard should not be raised because of the severity of the sanctions
- Designed to stop the discriminatory conduct, prevent its recurrence, and address its effects

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## Phase: Decision-Making — Sanctions and Remedies

- Range of possible sanctions should be listed in your policy (required by VAWA)
  - Requires the sanctions to be specific, including the type and length of suspension and reinstatement requirements
  - Must be included in notice of determination
  - Any information relied upon by decision-makers must be available to parties
- Sanctions must be included in the singular Notice of Determination (Title IX)
- ***JHU Policies list the range of sanctions and sanctioning considerations***

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## Decision-Making — Appeals

### Pertinent Title IX Requirements (not exhaustive):

- Equitable
  - offered to both parties from: decision and from dismissal of Formal Complaint
- Required Grounds:
  - Procedural irregularity that affected the outcome
  - New evidence that was not reasonably available at the time the decision was made and could affect the outcome
  - *Bias or conflict by Title IX Coordinator, investigator, or decision-maker*
- Permitted to provide additional bases for appeal, as long as equally
- Additional written and notice requirements as well

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## Phase: Decision-Making — Appeals

### VAWA:

- No appeal requirement but, if provided, it must be offered equally to the parties with the same procedural protections as provided throughout the process

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## Recordkeeping — Title IX

### Must maintain certain records for seven years, including:

- For each sexual harassment investigation including any determination regarding responsibility and any audio or audiovisual recording or transcript required by the Regulations, any disciplinary sanctions imposed on the Respondent, and any remedies provided to the complainant designed to restore or preserve equal access to the education program or activity
- Any appeal and the result
- Informal resolution
- Supportive measures
- Training materials for Title IX Coordinators, Investigators, decision-makers, and those who facilitate informal resolution (and post on website)
- Actions taken in response to a report or formal complaint sufficient to document why the response was not deliberately indifferent

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## **2021 Title IX/VAWA Investigator Training**

### **Excerpt from Complaint**

The Title IX Coordinator has received notification from the University's online reporting system. Celia alleges that Ryan had vaginal sex with her and had her perform nonconsensual oral sex on him while she was blacked out on May 8, 2021.

### **Excerpt from Notice of Allegations**

On August 17, 2021, Celia submitted a complaint alleging that Ryan sexually assaulted her. In her complaint, Celia alleged that Ryan engaged in nonconsensual sexual penetration with her and had her perform nonconsensual oral sex in her room in her off-campus apartment.

### **Excerpt from Amended Notice of Allegations**

Celia submitted a formal complaint of alleged nonconsensual sexual penetration (vaginal and oral) with her in her room in the University's apartment complex.

### **Excerpt from Amended Notice of Allegations**

Celia submitted a formal complaint of alleged nonconsensual sexual penetration (vaginal and oral) with her and nonconsensual fondling of her breasts and Ryan's penis in her room in the University's apartment complex.

## **Definitions**

### **Definition of Sexual Assault:**

The term "sexual assault" includes the following actual or attempted acts:

***Rape (except Statutory Rape):*** The carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

***Sodomy:*** Oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

***Fondling:*** The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of

giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

#### Definition of Consent:

Sexual activity of any kind requires “consent,” which consists of the following:

- Consent means clear and voluntary agreement between participants to engage in the specific act.
- Consent requires a clear “yes,” verbal or otherwise; it cannot be inferred from the absence of a “no.”
- Consent must be ongoing throughout a sexual encounter and can be revoked at any time.
- Consent to some sexual acts does not necessarily imply consent to others.
- Past consent does not mean ongoing or future consent.
- Consent cannot be obtained by pressure, threats, coercion or force of any kind, whether mental or physical. Consent means actually agreeing to the specific sexual activity, rather than merely submitting as a result of pressure, threats, coercion or force of any kind, whether mental or physical.
- Consent cannot be obtained from an individual who is under the legal age of consent.
- Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another.

#### Definition of Incapacitation:

Consent cannot be obtained from someone who is unconscious, asleep, physically helpless, or **incapacitated** (including, but not limited to, mentally incapacitated). A person is **incapacitated** when they are unable to make a rational decision because the person lacks the ability to understand their decision. A person who is **incapacitated** is unable to consent to sexual activity. A person can become **incapacitated** as a result of physical or mental disability, involuntary physical constraint, being asleep or unconscious, or consumption of alcohol or other drugs. A person can consume alcohol and/or drugs without becoming **incapacitated**. A person who engages in sexual activity with someone that person knows or reasonably should know is **incapacitated** does not have consent and will be found responsible for a Policy violation.

#### Definition of Retaliation:

The term “retaliation” means intimidating, threatening, coercing, harassing, taking adverse employment or educational action against, otherwise discriminating against an individual in any way, and/or interfering with any right or privilege secured by Title IX or its implementing regulations, including through online communications and activities such as social media, because the individual made a report or complaint under this Policy or these Procedures, participated in any way in the investigation or resolution of such a report or complaint, opposed conduct that they reasonably believed to be prohibited under this Policy, these Procedures, or applicable law regarding discrimination or harassment, or exercised any right or responsibility under this Policy or these Procedures.

Retaliation includes conduct that is reasonably likely to deter an individual from making a complaint or report under this Policy or from participating in the investigation or resolution of a complaint or report,

or from opposing conduct that they reasonably believe to be prohibited under this Policy, these Procedures, or applicable law regarding discrimination or harassment.

## **Excerpts from Final Investigative Report**

### ***Background Information***

Celia and Ryan (each age 20) both recently started their junior year at My State University (MSU). Both stated that they have known each other through the marching band since their first weeks at MSU during the Fall 2019 semester during “band camp.” They agree that spent a lot of time together at band parties after football games with their friends Bryce, Matt, Sophie, and Emma. Celia and Ryan agree that in the fall of 2019, Ryan and Emma became involved in a short-lived romantic relationship that fell apart because of the pandemic. Celia stated she and Ryan continued to see each other through virtual meetings during the COVID lockdown these interactions continued for the fall 2020 semester, which was also conducted virtually as a result of the pandemic. The parties agree that they started to spend more time together in spring 2021 and had sex on a couple of occasions before the night of May 8, 2021.

### ***The Parties’ Interactions early in the Spring Semester (2021)***

The parties agreed that during the first week back they spent a lot of time together. The agreed that they attended a band party at an off-campus apartment where they danced together most of the night before going back to Ryan’s apartment and having consensual sexual intercourse. Celia stated “we were not boyfriend/girlfriend or dating or anything like that,” and Ryan stated they were “just having fun.” Ryan stated he “liked hanging out with Celia” but “never wanted it to be much more than that.” The parties agree that they also had sex after another party prior to the instant conduct. Ryan stated that he felt Celia “really pushed” for those to happen, although he is “never going to say no to a good time.”

### ***Allegation of Sexual Assault on May 8, 2021***

#### **The Off-Campus Party**

##### ***Celia’s Account***

Celia stated that she pre-gamed with Sophie for an hour or two at their apartment before going to a big band senior sendoff party. Celia stated she believed they started pre-gaming while eating pizza around 7:00 or 7:30 PM. Celia stated she had three vodka-cranberry drinks during the pre-game, while Sophie had two. Celia stated that Sophie poured the drinks, so she was not sure how much alcohol she consumed, but she could taste the vodka and she was “buzzed and feeling relaxed.” Celia stated that she and Sophie walked to the party around 9:00 PM.

Celia stated that, when she and Sophie arrived at the party, they both grabbed a solo cup of jungle juice, which is made with some secret band formula. Celia stated that, later when she and Sophie went for a second cup of jungle juice, she noticed Ryan was talking and laughing with Emma, who had not been at a band party all semester. Celia stated that it was “strange” to see Ryan with Emma. She stated that refilled her cup with jungle juice, made eye contact, and thought he was signaling for help. She stated that she then slowly walked over to Ryan and asked him to dance. Celia stated that the two of

them began dancing, and Emma left. Celia said she and Ryan continued to dance “for a while.” Celia said that, at the beginning of their time dancing, she was “upset” at Ryan for talking with Emma, so she told Ryan “We can dance, but we’re not doing anything after that.” Celia said that Ryan asked “why” and she responded “not until I know where we stand.” Celia stated that Ryan pulled her close but her recollections were starting to get “a bit hazy” at that point and she felt like she was having a hard time keeping up with the movement. Celia stated she remembered watching others playing beer pong after they danced but only has “flashes” after that.

Celia stated she drank at least four cups of jungle juice at the party, but she does not recall drinking any additional drinks. Celia stated she was probably a nine on a 10-point scale and that she was “blacked out” for most of the night after that point.<sup>1</sup> When asked why a 9, Celia stated that she remembers feeling “woozy,” having trouble with her thoughts, slurring her words, and stumbling around at the party before she later lost her memory.

### *Ryan’s Account*

Ryan stated that he and Bryce had a few beers and tacos at their apartment before the party. He stated that, according to his app, they took an Uber to the party around 8:15 PM.

Ryan stated that Emma had told him she would be at the party that night, and when he arrived at the party, he and Bryce went to talk to her. Ryan stated that he and Emma had dated for a while but broke up because he “wasn’t feeling the whole distance thing.” Ryan stated that he and Emma were laughing and getting along “really well” during their conversation until Celia came over and interrupted them. Ryan stated that, upon Celia’s arrival, Emma told them to “go ahead and talk” and walked away. Ryan stated that Celia then said “aren’t you going to ask me to dance now?” and they walked to the area where others were dancing. Ryan said he was “at first a little frustrated” by how Celia treated Emma.

Ryan stated that, while dancing, Celia asked a lot of questions about Emma and seemed jealous, which surprised him because he and Celia were not in a relationship. Ryan stated that once they started dancing, they quickly “got into the groove,” even grinding at one point after Celia kept holding onto to him and pressing against him. Ryan stated that, after he and Celia had danced a while, they each grabbed another cup of jungle juice and resumed dancing. Ryan stated it was becoming too difficult for them to dance because Celia kept spilling her drink so they went over to watch the group play beer pong. Ryan stated that he noticed Celia was starting to doze off and asked her if she was okay. Ryan stated Celia responded by saying “let’s go back to my place.” Ryan stated that he remembers seeing Celia fumble over her phone in her purse and trying to send a text.

In his initial interview, Ryan stated that he did not know how many drinks Celia had at the party but she “definitely put down a few.” In a subsequent interview, Ryan stated that he did not see Celia finish any drink at the party. He stated Celia spilled her first drink while they were dancing and “put down” the drink they got together on a table right after she got it. When asked to rate Celia, Ryan stated there were both probably a five or six because they were laughing and having a good time. When asked, he

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<sup>1</sup> The investigator asks the person to rate themselves on a scale of 1 (sober) to 10 (passed out). The scale is used for comparison purposes to help understand how that person rated their own intoxication level, how it relates to others’ accounts, and what impact they associated with the rating. How a person is rated is determinative of whether that person or someone else is intoxicated.

stated she was talking a little louder than normal and slurred her words a little but was “totally understandable.”

#### *Sophie’s Account*

Sophie agreed that she and Celia have been best friends since they met and have been roommates all year. She stated that, on the night in question, they pre-gamed more than usual for the party with fruity vodka drinks in solo cup. Sophie stated she thought Celia had two or three drinks, while Sophie said she “definitely” had two. Sophie stated that they each had a slice or two of pizza before walking to the party around 9:00 PM. Sophie said that Celia was “happy” and “pretty normal” on the walk to the party.

Sophie stated that they each grabbed a jungle juice when they arrived and then wound up talking with different friends. Sophie stated that later in the evening she noticed Ryan and Celia dancing “really closely” and remembered seeing Ryan getting another jungle juice for Celia.

Sophie stated that, later, Celia and Ryan came over to her, Bryce, and Matt, and Sophie noticed that Celia was red in the face and sweating a lot, and Ryan “had his hands all over” Celia. Sophie stated that Celia looked “drunker than usual,” although still “not the drunkest I’ve seen her.” Sophie stated that she has seen Celia black out on at least three previous occasions. Sophie stated that Celia was being “loud” and “over the top” when she talked but was still conversing. Sophie stated that Celia might have been a “7ish” on a 1 to 10 scale because of how she looked and how she was acting. As for herself, Sophie said she was “getting drunk” at that point – maybe a “6 or so” on a 1 to 10 scale, because she was “definitely tipsy” but “not drunk.”

Sophie stated that she did not notice Celia and Ryan leave the party but later saw a text from Celia that was sent around 11:02 PM that said, “DONit wait fur m3. Goinj wit Ryeen.” When asked whether it was common for Celia to send a text like that, Sophie stated, “no, not at all, she’s a journalism major, her texts are always perfect, even when we are out drinking.” Sophie stated that she responded to the text and called Celia right away because she was worried, but Celia did not respond.

#### *Bryce’s Account*

Bryce stated that he and Ryan are best friends and roommates and pre-gamed with a few beers together before taking an Uber to the party around 8:30 PM. Bryce stated that, after he and Ryan got to the party, Ryan went straight to the jungle juice. Bryce stated that Ryan was “nervous” to see his ex Emma for the first time since they had broken up. Bryce stated that Emma met up with them while they were drinking jungle juice. Bryce stated that, after they had been talking and drinking multiple cups Celia came up to them in “a flurry” and “pulled Ryan away.” Bryce stated he noticed Celia and Ryan were “really getting down” on the dance floor and Ryan looked like he was “out to score” with Emma or Celia that night. Bryce stated that, since breaking up with Emma, Ryan had developed “a bit of reputation” over the past semester for sleeping around the band.

Bryce stated that Celia and Ryan came over to them later in the night while he was talking with Sophie and Matt. Bryce stated he remembered thinking that both Ryan and Celia seemed “pretty drunk,” but could not remember specifics besides both of them “kind of swaying” as they walked shoulder to shoulder. Bryce stated he didn’t even finish his cup at the party because he had to work in the morning.

### *Matt's Account*

Matt stated that he was at the party and “was already pretty gone” when Celia came up to him, Ryan, Bryce, and Emma. Matt said he thought Celia “kind of got in Emma’s face” and “dragged” Ryan onto the dance floor. Matt said he thought he later remembered seeing Ryan and Celia dancing and thinking that Celia was “all over the place”; he said it was “hard to miss her on the dance floor.” He said he “doesn’t remember a ton” from that night but thinks he talked to them as part of a group.

### *Emma's Account*

Emma stated that she reached out to Ryan because she “missed him” and asked that they talk at the party. Emma stated that, after arriving at the party, she went over to get some jungle juice and saw Ryan and Bryce. Emma stated that she, Bryce, and Ryan talked for “a good while” and were having “a lot of fun” and drinking jungle juice. Emma stated that Matt also joined the three of them at some point and that he looked like he had pre-gamed “a little too much.”

Emma stated the night “took a turn for the worse” when Celia came rushing up at some point and “literally pushed herself between Ryan and me,” and began “pulling” Ryan onto the dance floor, which really upset her. Emma stated she left the party shortly after because seeing them grinding on each other was too painful.

### The Walk to Celia's Apartment

Celia stated that her apartment is about a two-minute walk from the party. Celia stated that the apartment complex is privately owned, and MSU placed her there when COVID precautions required the University to find additional student housing options. Celia stated that she does not have a clear recollection of leaving the party. Celia stated that she did not recall the walk home or entering her apartment.

Ryan stated that Celia was “acting a little weird” on the walk home by “mumbling more than talking.” Ryan stated could not hear everything Celia was saying, but he said that he sometimes has hearing issues when he is drunk. Ryan stated that Celia was clinging to him and kept “nuzzling up” against his arm so they walked pretty slowly. Ryan stated that Celia tripped on the stairs up to her apartment and scrapped her knee when she fell. When asked how it happened, Ryan stated it was because of the lack of light in the stairwell and Celia’s notorious “clumsiness.” Ryan stated that Celia unlocked the door to her apartment without having any issues using her key.<sup>2</sup> Ryan stated that he had a clear memory of the walk and evening. Ryan said that Celia was “definitely on the far side of tipsy,” but he didn’t think it was more than at previous parties. Ryan stated he thought Celia was “probably a 7” on a 1 to 10-point scale because she was louder than normal, laughing a lot, and swaying a little when she walked and that he was at a similar level of intoxication.

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<sup>2</sup> Surveillance footage obtained by the investigator from the apartment complex shows Celia walking arm in arm with Ryan up the stairs, fumbling to find her keys in her purse, and dropping the keys on the ground twice while trying to unlock the door. The footage also shows that, after Celia dropped the keys the second time, Ryan picked up the keys and opened the apartment door for her.



## The Events in Celia's Apartment

Ryan stated that, once inside Celia's apartment, they walked to the kitchen together. He stated there was a pizza box on the counter with some pizza in it, and he began to eat a piece of pizza. Ryan stated Celia said "something like I'll be back" and "sort of ran down the hallway." He stated that a few minutes later, he went to see what she was doing. He stated that he went into Celia's room and she was standing there in a towel with wet hair. He stated that she smiled at him as she removed the towel and put on a bra and underwear. Ryan stated that she fell down while pulling her sports bra over her head and then stuck her hand out towards him as if to indicate she was fine. Ryan said that Celia then put a robe on over her underwear.

Ryan stated that he then turned off the light and got into her bed wearing only his boxers. Ryan said that, after he got into bed, Celia leaned over and began kissing him and things "progressed from there." Ryan stated that she "initiated the hook up." When asked what he meant, Ryan stated that she removed her robe, smiled at him while standing there with just her bra and underwear on, got into bed, and kissed him on the lips.

Celia stated that she had a "flash" of memory of them kissing. Celia stated she remembered Ryan pulled off her bra and then tried to remove her underwear, but she pushed his hands away. After that "flash," Celia doesn't remember what happened in the bedroom. When asked whether there was any conversation at that time, Celia stated none that she could remember.

Ryan stated that he removed his own underwear and Celia removed her bra, but when he went to remove Celia's underwear, she said "uh-uh" and moved his hands around her body. Ryan stated that Celia had removed her robe in a way that indicated she wanted to "hook up" looked at him while she was getting into bed, and then started kissing him when they were in the bed. Ryan also stated that, while they were cuddling and still kissing, Celia started to rub his penis up and down. Ryan stated that he had guided Celia's hand down to his penis until Celia began moving her hand. In a subsequent interview, when asked what words or actions indicated to him that Celia was consenting to Celia touching his penis, Ryan stated "all of the stuff leading up to it" and "that she started moving her hand up and down." Ryan stated that next Celia rolled over and was on her back on the bed and he was on his side. Ryan stated he was kissing Celia and touching her breasts. When asked what words or actions indicated to him that Celia was consenting to him touching her breasts, Ryan stated it was because Celia had moved his hands there earlier when he went to take off her underwear. Ryan stated that he did not think Celia would have placed his hands there earlier if she was not okay with her breasts being touched. Ryan stated that he moved his groin area up to Celia's mouth and positioned his penis at her lips. He stated that Celia then put his penis in her mouth and began performing oral sex on Ryan. When asked what words or actions indicated to him that Celia was consenting to performing oral sex on him, Ryan said that Celia began rubbing his penis on her own earlier and that, when Ryan moved his groin closer to Celia's mouth, she grabbed his penis and put her mouth around it on her own.

Ryan stated that after a couple of minutes, Celia put both hands on his shoulders before she "pushed the front of my shoulders straight ahead and scooted her body down the bed." Ryan stated that Celia stated something like "you know I don't want that right now," which meant to him that she wanted to have sex. Ryan stated that he said, "sure, let's do it." Ryan stated that he started kissing Celia again. Ryan stated he was positioned on his knees between Celia's legs and as she moved her body down, he moved his knees toward the foot of the bed. Ryan stated that he guided Celia fully onto her back and put his penis near Celia's vagina. Ryan stated that he asked "now?", and Celia "'moaned mmm -

mmmm,” which Ryan thought meant “yes,” so he inserted his penis into her vagina. When asked what words or actions indicated to him that Celia was consenting to sexual intercourse, Ryan said that Celia’s moan and her response indicated to him that she wanted to have sex. Ryan said that Celia also “would have said no” if she didn’t want to. Ryan noticed that Celia arms were on the sides of the bed as they were having sex and she was occasionally moving her head and tilting her chin back. Ryan stated that Celia was “about as active” as normal, until at one point when things picked up, they slipped off the bed. When asked what happened, Ryan said Celia “sort of slipped off the side” and they “both went down to the floor.” Ryan stated that he asked Celia if she was okay and she said “fine or something like that” before she crawled back up on the bed, first with her hands and then with her knees. Ryan stated that he was tired and assumed Celia was tired. Ryan stated it seemed like the sex was over and so he helped Celia put her underwear on. Ryan stated that it was “like dressing a child—I did all the work for her while she lay there.” Ryan stated that he and Celia then fell asleep spooning each other, with him behind Celia until they woke up the next morning.

Celia stated that she did not remember sleeping with Ryan at all. When asked in a subsequent interview, Celia stated that she did not know that they had engaged in the other sexual activity. Celia stated her next memory was waking up in the morning.

In a subsequent interview, Ryan stated that he went to the bathroom in the middle of the night. He stated that the shower was running in the bathroom and there was a strong smell. He stated that he followed the odor and saw vomit between the toilet and the shower. In his initial interview, Ryan said that after noticing the vomit, he turned off the shower and returned to bed. In a subsequent interview, he stated that, when he saw the vomit, he “freaked out.” He said he “had no idea” Celia had thrown up and had tried to call Bryce. When asked why he did not reveal this information earlier, Ryan said that he “had been told by his attorney” not to tell the investigator those details because they were not important and made him look guilty.

### The Parties’ Interactions the Next Morning

#### *Celia’s Account*

Celia stated that her next memory was waking up when it was light out. She stated she was not sure where she was and she still felt drunk and sick to her stomach. Celia stated that she told Ryan did not remember much of anything about the night and asked Ryan what happened. She stated that Ryan told her that she invited him back to her place, where she did a “striptease,” kissed him in bed, and then “you did some stuff to me.” Celia stated that she asked Ryan what that meant and he said “you basically asked if you could give me a blowjob.” Celia stated she had a memory of them kissing in bed, but she did not think she could have given Ryan a blowjob because she doesn’t like to do that. Celia stated that before she could ask Ryan more, he was up, dressed, and hurrying out the door. Celia stated that she found her phone on the floor near her dresser right after Ryan left and it was 9:44 AM. She stated that she also saw her “indecipherable” text to Sophie at 11:02 PM and had no memory of sending it.

Celia stated that she got up to go take a shower and noticed that she had some pain in her vaginal area and felt her skinned knee. She stated she realized Ryan had not told her everything. She stated that the smell of the vomit triggered a memory of her getting sick there after coming home.

Celia stated that, after cleaning up, she woke up Sophie. She stated she told Sophie she was still drunk and hardly remembered anything after dancing at the party. She stated she told Sophie about Ryan saying that she gave him oral sex, and Celia being pretty sure they did more than that.

Celia stated that, after her headache had cleared up, she texted Ryan, “can we talk?” to which Ryan responded a few hours later with, “sorry about everything. we were too drunk.” Celia stated that she thought this message was Ryan’s “cowardly way” apologizing for taking advantage of her while also blaming her for having too much to drink. Celia stated that she responded to Ryan by saying, “that doesn’t cut it Ryan—did you have sex with me?” but he never responded to the text. Celia stated that because Ryan did not respond, she went and had a SANE exam that night and the nurse told her there was evidence that sexual intercourse has occurred.

Celia stated that she talked to Sophie about the text exchange later that evening. She stated that Sophie asked about Ryan and she told Sophie that “Ryan apologized for everything he did to me.” Celia stated, “to be clear, I was way too drunk to have consented to anything that night and Ryan knew it.”

#### *Ryan’s Account*

Ryan said that when he and Celia woke up the next morning, Celia said she didn’t remember what they did in bed. Ryan said that Celia asked what happened and Ryan said “we did a bunch of the same stuff we always do when we are drunk.” Ryan initially said that he didn’t tell Celia everything that had happened because he “didn’t want her to feel guilty for coming on so strong.”

Ryan stated that as soon as he got home, he told Bryce that he slept with Celia, but “now she says she doesn’t remember anything.” Ryan stated that Bryce told him to “not worry about it.”

Ryan stated that he started feeling “bad” when he got a text from Celia asking to talk. Ryan stated he responded with “sorry about everything. we were way too drunk.” Ryan stated that Celia then asked him directly, via text, whether they slept together, but Ryan did not respond. Ryan stated that he was too embarrassed and scared to talk about it. Ryan stated he was hoping that, with finals approaching, everything would “blow over.” Ryan stated that he did not have any interactions with Celia for the rest of the school year after that.

#### *Sophie’s Account*

Sophie stated she next remembered Celia waking her up sometime the next morning. Sophie stated that Celia told her she was still drunk and smelled of alcohol. Sophie stated that Celia was upset and talked about not remembering the party the previous night. Sophie stated that Ryan had “vaguely” told Celia he and Celia had “done things,” when Celia was “pretty confident” they had slept together. Sophie stated she remembers being “worried” about Celia. Sophie stated that, later that evening, Celia said that “Ryan had apologized for everything he did.” Sophie stated Celia “didn’t want to talk about it” and “needed to think about what she wanted to do.” Sophie stated that they did not talk about that night again for the rest of the school year.

#### *Bryce’s Account*

Bryce stated that, the next morning when Ryan got back to the apartment, Ryan was “fidgety.” He stated Ryan told him that Celia was “all over him,” at her apartment so they had sex. He stated that

Ryan said he woke up to go to the bathroom in the middle of the night and saw that she had thrown up in the bathroom. Bryce stated that Ryan was “totally freaking” and talking about how he “had no idea she was that drunk.” Bryce stated that Ryan kept repeating “she seemed okay.” Bryce stated he was surprised because Celia “did not seem to the point of throwing up.” Bryce stated that his immediate concern, though, was to calm Ryan down. Bryce stated that he told Ryan to “try not to think about it for now” and to “focus on getting through finals.” Bryce stated that they talked about it a few more times but basically had the same conversation each time.

### The Parties’ Subsequent Interactions

#### *Celia’s Account*

Celia stated that she and Ryan did not interact over the summer that followed. Celia stated she was convinced that Ryan had sexually assaulted her but “wasn’t sure” if she “wanted to ruin Ryan’s life” by reporting it, and she didn’t want “to be labeled a victim.” She stated that the next time she saw Ryan was at a band party in early August. She stated he came up to her and starting talking about how excited he was for the school year and how great it was that he was back together with Emma. Celia stated that she was shaking the entire time and wanted to get away but she froze. She stated she realized that she was no longer comfortable being around him and that “something needed to happen.” Celia stated that on August 17, 2021, she filed an online Title IX report, alleging that Ryan had engaged in non-consensual sexual intercourse with her when she was “black out drunk.” Celia said that she has not spoken to anyone about the incident since the investigation started, except “to warn” Emma. Celia said that she told Emma “to watch out” because she “didn’t want to see anyone else get hurt,” but Emma “kind of blew [her] off.”

#### *Ryan’s Account*

Ryan stated that he did not speak with Celia again until they returned to school in August for the current semester. Ryan stated that they “avoided each other” during band camp and rehearsals. Ryan stated that, during the first band party, Celia approached him. Ryan stated that Celia asked when he and Emma got back together but seemed “shaky.” Ryan stated they had “small talk” for a few minutes before Celia left with Sophie. Ryan stated the “whole thing was weird” and Celia seemed “angry” and “out of sorts.” Ryan stated that he believes Celia’s report was fabricated because she was mad at him for getting back together with Emma.<sup>3</sup> Ryan also stated that he knew Celia had a history of dating women, so he wondered whether Celia was embarrassed that she had been “all over a guy” in public.

#### *Emma’s Account*

Emma stated that she and Ryan got back together over the summer when they were both interning in the same city. Emma stated that when she and Ryan began talking about dating again, Ryan had told her “all about” the incident with Celia. Emma said that Ryan told her that, after the band party in May, Ryan slept with Celia in Celia’s apartment, because Celia was “all over him” and “told him how she wanted to have sex.” Emma stated Ryan also told her that Celia was “really drunk” and had “thrown up in the

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<sup>3</sup> In response to Ryan’s statement that she filed the complaint to get back at him, Celia stated that she learned during band camp that Ryan was dating Emma again but that “didn’t impact her decision to report.” Celia stated “I filed the report because I could not stand to be around that lying rapist.”

bathroom.” Emma stated that Ryan said he “felt guilty afterward” because he knew that he “really wanted to be with Emma.” Emma stated that she believed Ryan, especially because she saw how much Celia “was throwing herself at Ryan during the party” – “even before she was drunk.”

Emma stated that her relationship with Ryan was “going well,” other than when Celia “accosted” her on campus by blurting out, “I don’t know what you’re doing with that rapist. If I were you, I would get away as fast as you get.” Emma stated that she was “taken aback” by Celia’s words but still believed Ryan had not done anything wrong. Emma stated that she told Celia “that’s not your concern” and walked away. Emma said she has been avoiding Celia since.

## **Excerpts from the Parties’ Response to the Investigative Report**

### Excerpt from Celia’s Response:

I cannot believe that Ryan would tell the investigator that I have relationships with women. That is absolutely untrue and is blatant retaliation against me. He thinks he can say these things to get me to give up my case. As everyone said, I was obviously too drunk to consent to any sexual activity that occurred that night. Consent is not about guessing. He makes it sound like I was doing all of these things but his own words prove that he did not have my consent.

### Excerpt from Ryan’s Response:

It should be clear by now that I was worried about everything that happened with Celia. I was not afraid of what happened but I was trying to avoid causing her any more pain. I felt bad for her and the situation but I did not do anything wrong. I did not rape her as she told Emma and anyone on campus that could hear her. Notice that Celia did not deny the words she said, the striptease, the kissing, or her touching of me and all but asking for sex. That is because when we were there, in the moment, she was consenting to them.

I know Emma tried to be as truthful as possible because she told me so. She confused some of the things I said to her and mixed up the words a little but the point she makes is true. She knows me better than anyone and knows I would never have sex without clear consent. Speaking of which, I am furious that the investigator included Bryce’s inaccurate statement about me “sleeping around” with band members. What would my past have to do with anything? The investigator never asked me about it and it is not true. Maybe I exaggerated a little during drunken guy talk but I have only slept with Emma and Celia.