



CONDUCTING FAIR AND THOROUGH TRAUMA-INFORMED INVESTIGATIONS

NOVEMBER 2023

MEET YOUR FACILITATOR



Pari Le Golchehreh

Pari Le Golchehreh is a Senior Solutions Specialist at Grand River Solutions and has extensive experience in Title IX and Equity work on college campuses. Prior to joining Grand River, Pari served as the Equity and Title IX Office's Lead Investigator at California Institute of Technology where she developed a deep expertise in leading investigations, trained campus community members, and facilitated mediated conversations and remedy-based resolutions. Pari is a certified mediator and is skilled in aiding parties to resolve disputes in a trauma informed and collaborative manner.

ABOUT US

Vision

We exist to create safe and equitable work and educational environments.

Mission

To bring systemic change to how school districts and institutions of higher education address their Clery Act & Title IX obligations.

Core Values

- Responsive Partnership
- Innovation
- Accountability
- Transformation
- Integrity

DAY ONE AGENDA

● | TITLE IX'S REQUIREMENTS

● | THE PROPER APPLICATION OF
TRAUMA INFORMED PRACTICES

● | THE IMPORTANCE OF
UNDERSTANDING THE POTENTIAL
IMPACT OF TRAUMA

● | DEVELOPING AN
INVESTIGATIVE STRATEGY

● | INVESTIGATIVE INTERVIEWS:
Part 1

TITLE IX'S REQUIREMENTS



01

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Title IX of the Education Amendments Act of 1972

"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."

20 U.S.C. § 1681 (1972).



THE TITLE IX REGULATIONS

SEXUAL HARASSMENT ONLY

1

Narrows the definition of sexual harassment;

2

Narrows the scope of the institution's educational program or activity;

3

Narrows eligibility to file a complaint;

4

Develops procedural requirements for the investigation and adjudication of sexual harassment complaints, only.

TITLE IX APPLICATION REGULATIONS (POST-MAY 2020)

Type of Conduct

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

Ed Program or Activity

- On campus
- Campus Program, Activity, or Building
- In the United States

Required Identity

- Complainant is participating or attempting to participate in the Ed Program or activity
- Institution has control over Respondent

Apply 106.45 Procedures

Required Response:

Section 106.45 Procedures

PROCEDURAL REQUIREMENTS FOR INVESTIGATIONS

Notice to BOTH parties

Equal Opportunity to Present Evidence

An advisor of choice

Written notification of meetings, etc., and sufficient time to prepare

Opportunity to review all directly related evidence, and 10 days to submit a written response to the evidence prior to completion of the report

Report summarizing relevant evidence and 10-day review of report prior to hearing

NOTICE REQUIREMENTS

- Notice of the allegations, including sufficient details known at the time and with sufficient time to prepare a response before any initial interview. Sufficient details include:
 - the identities of the parties involved in the incident, if known,
 - the conduct allegedly constituting sexual harassment under § 106.30,
 - and the date and location of the alleged incident, if known.
- The written notice must include a statement that the respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the grievance process.
- The written notice must inform the parties that they may have an advisor of their choice, who may be, but is not required to be, an attorney, under paragraph (b)(5)(iv) of this section, and may inspect and review evidence under paragraph (b)(5)(vi) of this section.
- The written notice must inform the parties of any provision in the recipient's code of conduct that prohibits knowingly making false statements or knowingly submitting false information during the grievance process

ADVISOR OF CHOICE DURING THE INVESTIGATION

The advisor can be anyone, including an attorney or a witness.

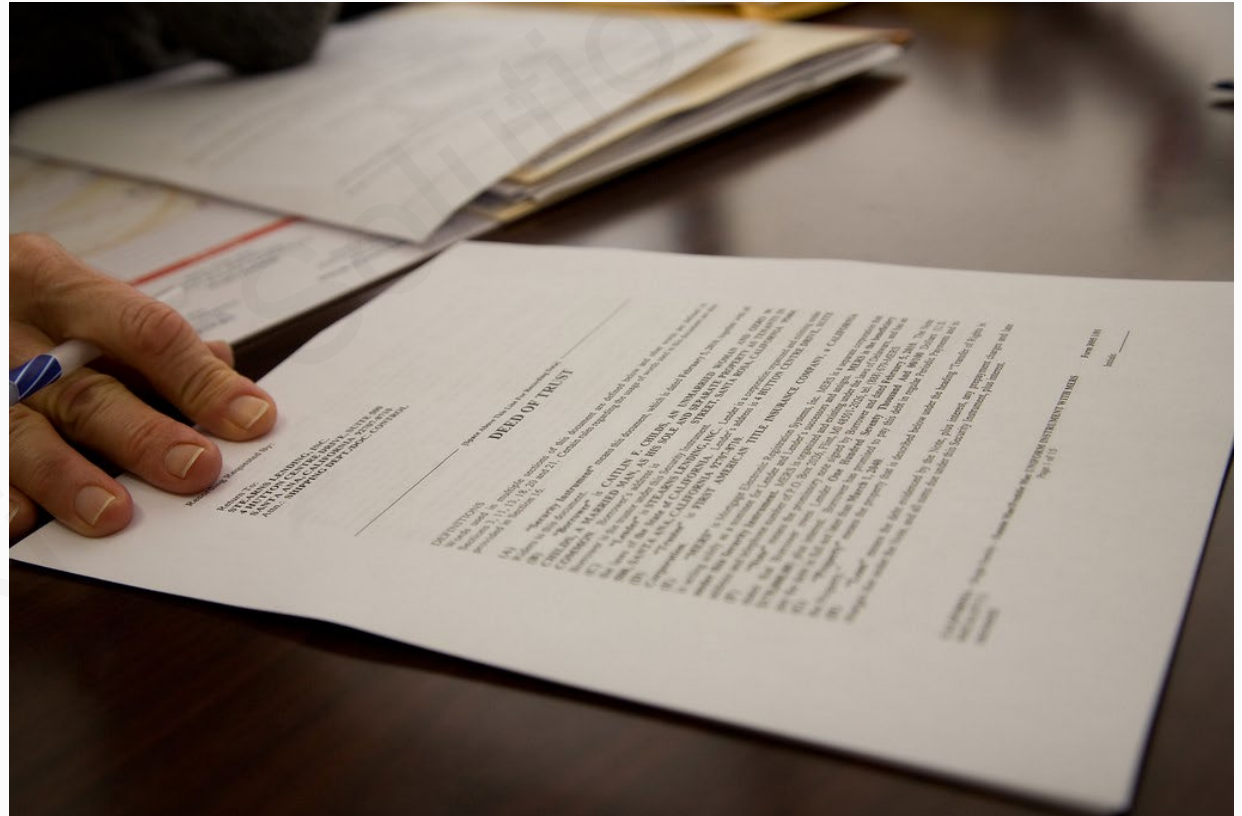
Institutions cannot place restrictions on who can serve.

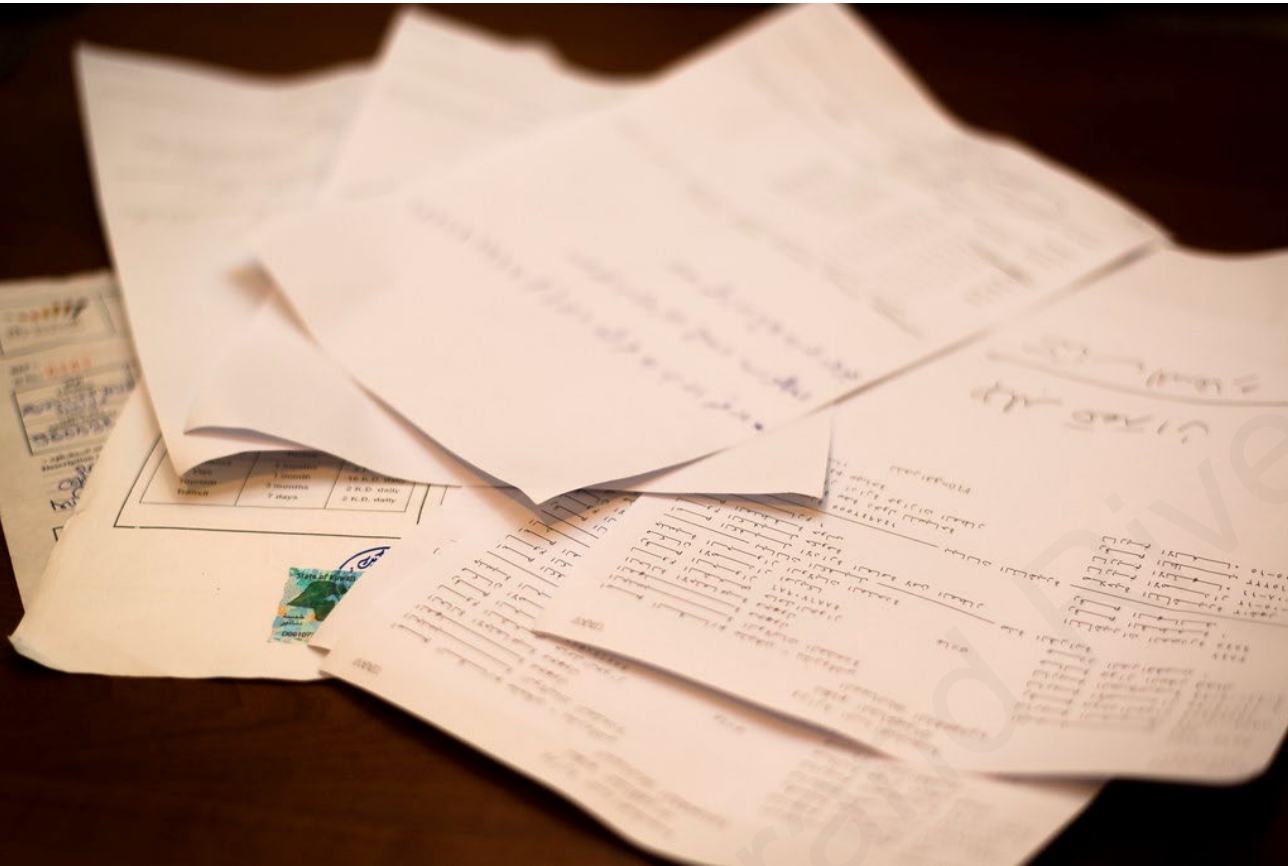
Institutions can create rules and guidelines for participation in the investigation.

No specific training is required.



WRITTEN NOTIFICATION OF MEETINGS AND SUFFICIENT TIME TO PREPARE





EQUAL OPPORTUNITY TO PRESENT EVIDENCE

EVIDENCE REVIEW

Parties must have equal opportunity to inspect and review

RELEVANT &
DIRECTLY RELATED

evidence obtained as part of the investigation into the allegations raised in a formal complaint.

Parties have 10 days to provide a written response.

INVESTIGATIVE REPORT AND REVIEW



After reviewing and considering the comments on the evidence, the investigator will generate a report that summarizes the relevant evidence.



That report will be shared with the parties and the parties will have another opportunity to respond in writing.



The hearing must occur at least 10 days after the release of the final report.

**“RELEVANT”
VS.
“DIRECTLY RELATED”
EVIDENCE**



RELEVANT EVIDENCE

The Department declines to define “relevant”, indicating that term “should be interpreted using [its] plain and ordinary meaning.”

See, e.g., Federal Rule of Evidence 401 Test for Relevant Evidence:

“Evidence is relevant if:

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

DIRECTLY RELATED EVIDENCE

Term is broader than:

- “all relevant evidence” as otherwise used in Title IX regulations, and
- “any information that will be used during informal and formal disciplinary meetings and hearings” as used in Clery Act

NOTE: Includes evidence upon which the school does not intend to rely in reaching a determination regarding responsibility and inculpatory or exculpatory evidence whether obtained from a party or other source.

EVIDENCE THAT IS "NOT RELEVANT"

- “Questions and evidence about the complainant’s sexual predisposition or prior sexual behavior are not relevant ,
 - unless such questions and evidence about the complainant’s prior sexual behavior are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or
 - if the questions and evidence concern specific incidents of the complainant’s prior sexual behavior with respect to the respondent and are offered to prove consent.”
- “require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.”
- EX: Physical and mental health records and attorney-client privileged communications would fit within scope of this prohibition.

WHAT AM I?



?

Statement from a witness that Complainant has a reputation of sleeping around.



?

Request from Respondent to obtain Complainant's mental health records because Respondent heard Complainant lied about going to the hospital.



?

Screenshot text communications provided by Complainant of Witness 1 and Witness 2 discussing what they heard about the incident from others.

WHO DECIDES?

Department emphasizes repeatedly in Preamble that investigators have discretion to determine relevance at this stage of the process, subject to the parties' right to dispute investigators' preliminary assessment of the evidence.

Key points: As Investigators balance discretionary decisions to not summarize certain evidence, keep in mind that:

- Each party's right to argue their case, and
- Final decisions will be made at hearing, not investigation stage.

THE INVESTIGATOR

Can be the Title IX Coordinator, although that is disfavored.

The Investigator may not be a decision maker.

Must be trained in accordance with the requirements in the regulations.

Must conduct the investigation in an impartial manner, avoiding bias/pre-judgment, and conflicts of interest.

THE REQUIREMENT OF IMPARTIALITY



SECTION 106.45(B)(1)(III)

The grievance process must require that any individual designated by the recipient as Title IX Coordinator, investigator, decision maker, or facilitator of informal resolution not to have a conflict of interest or bias.

1. For or against complainants or respondents generally, or
2. An individual complainant or respondent

WHAT CONSTITUTES BIAS?

Conduct a fact-specific, objective inquiry based in common sense to determine bias.

This Includes:

- Decision-making that is grounded in stereotypes
- Different treatment based on a person's sex or other protected characteristic
- A decision based on something other than the facts

IMPERMISSIBLE BIAS

Making a decision, determination, or finding that is based on something other than the evidence and specific facts of the case.

CONFLICT OF INTEREST



AVOIDING PREJUDGMENT OF THE FACTS

Requires that the Title IX professional refrain from making a judgement on individual facts, the allegations, or whether a policy violation occurred until they have had the opportunity to consider all of the evidence.

AN IMPARTIAL INVESTIGATION IS...



Not influenced by bias or conflict of interest.



Committed to decisions based on an objective view of the facts and evidence as you know them and as they evolve.



Truth seeking, not "your truth" confirming.

TRAUMA INFORMED PRACTICES

In the preamble, the Department permits the use of trauma informed practices and recognizes that trauma informed practices can be used in an impartial and non-biased manner.

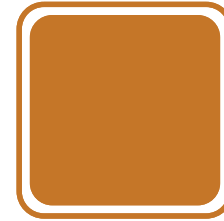
Trauma informed practices must be applied equally to all genders.

THE PROPER APPLICATION OF TRAUMA INFORMED PRACTICES

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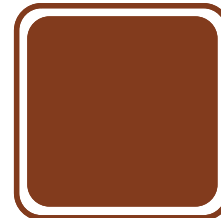
TRAUMA INFORMED
PRACTICES
PROVIDE TOOLS &
TECHNIQUES FOR
INTERVIEWING AND
ENGAGING WITH
THE COMPLAINANT,
RESPONDENT, AND
WITNESSES.



Format/Structure of the
Interview



Format of Questions



Approach to
Clarification

TRAUMA INFORMED PRACTICES ARE DESIGNED TO:

Encourage thorough
and complete
investigations

Assist with
recollection

Assist with
recounting

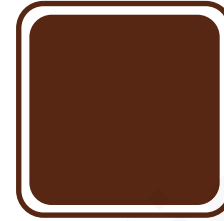
Reduce potential for
false information

Minimize unnecessary
re-traumatization

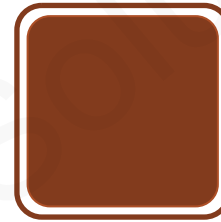
Reduce Bias

MISAPPLICATION OF TRAUMA INFORMED PRACTICES

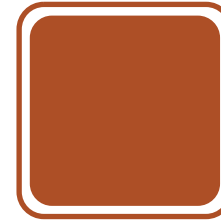
It is a misapplication of trauma informed principles to allow potential evidence of trauma to:



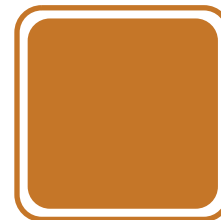
1. Influence the interpretation of a specific item of evidence;



2. Substitute for missing evidence;



3. To serve as a justification for not doing a full and thorough investigation;



4. Cause a biased belief in the veracity of one or more party.

THE IMPORTANCE OF UNDERSTANDING THE POTENTIAL IMPACT OF TRAUMA



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TRAUMA

An event that is experienced as terrifying, horrifying, or threatening and that is coupled with an actual or perceived lack of control.

EXAMPLES OF EVENTS THAT MIGHT TRIGGER A TRAUMATIC RESPONSE

Sexual Assault

Physical Assault by a Stranger

Physical Assault by an Intimate Partner

A Car Accident

Accident that causes serious injury or death

Robbery

Significant medical event

When trauma occurs, there are very real changes in brain function that **may** affect a person's ability to make memory and to recount their experience.

COMMON CHARACTERISTICS OF DISCLOSURES BY A TRAUMA BRAIN

Inconsistent

Non-linear

Fragmented

Lacking in detail

New information
added

Affect is
unexpected

Historically, the seemingly inconsistent behaviors that frequently accompany disclosures of sexual assault and interpersonal violence resulted in the belief that the victim was being dishonest.

Inconsistencies
Lack of Detail
Non-Linear
Fragmented
New Information



Viewed as
Not Credible

THE HISTORICAL CONCLUSION...

False Report
Regretted Sex
Not Provable



Investigation
Closed

WHEN AN INVESTIGATOR
USES “TRAUMA-
INFORMED” TOOLS, THEY
ARE LESS LIKELY TO:



Conclude, without
a thorough
investigation



Act on basis of bias



Retraumatize



Jeopardize future
reporting

THE FUTURE



An understanding of trauma and its potential impact should encourage investigators to keep an open mind, and it should prevent investigators from immediately interpreting seemingly inconsistent behaviors with deception. An understanding of trauma provides another explanation for these seemingly inconsistent behaviors.

This is essential to a fair and thorough investigation.

WHEN PRESENTED WITH THE FOLLOWING CHARACTERISTICS IN A DISCLOSURE,

Inconsistencies
Lack of Detail
Non-Linear
Fragmented
New Information

An investigator who understands trauma will....



CONTINUE THEIR
INVESTIGATION.

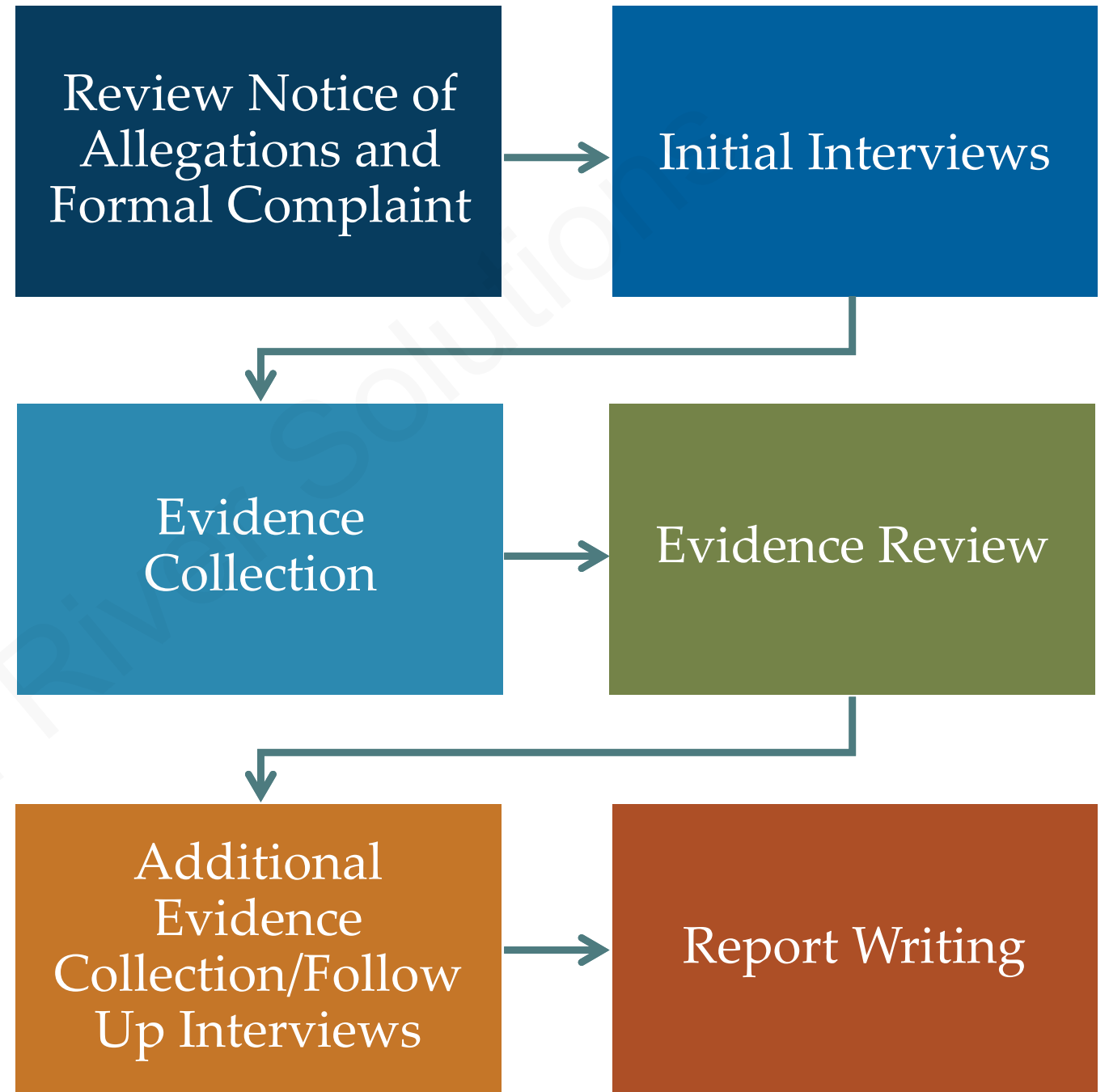
DEVELOPING AN INVESTIGATIVE STRATEGY



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ESSENTIAL STEPS OF AN INVESTIGATION



UNDERSTAND THE SCOPE OF THE INVESTIGATION



Review the Notice of Allegations and the Formal Complaint



Ask questions if unsure

IDENTIFY THE CLAIMS AND WHAT NEEDS TO BE PROVEN

- What will the decision maker be asked to decide?
- What does the formal complaint allege?
- What are the elements of each act of prohibited conduct alleged?

RAPE

Definition: The penetration, no matter how slight, of the vagina or anus, with any body part or object, or oral penetration by a sex organ of another person, without the consent of the Complainant.

Questions to ask:

1. Did Respondent penetrate Complainant's vagina or anus and with what?
2. Without Complainant's consent?
 - a. What constitutes consent?
 - b. Was incapacitation a factor?

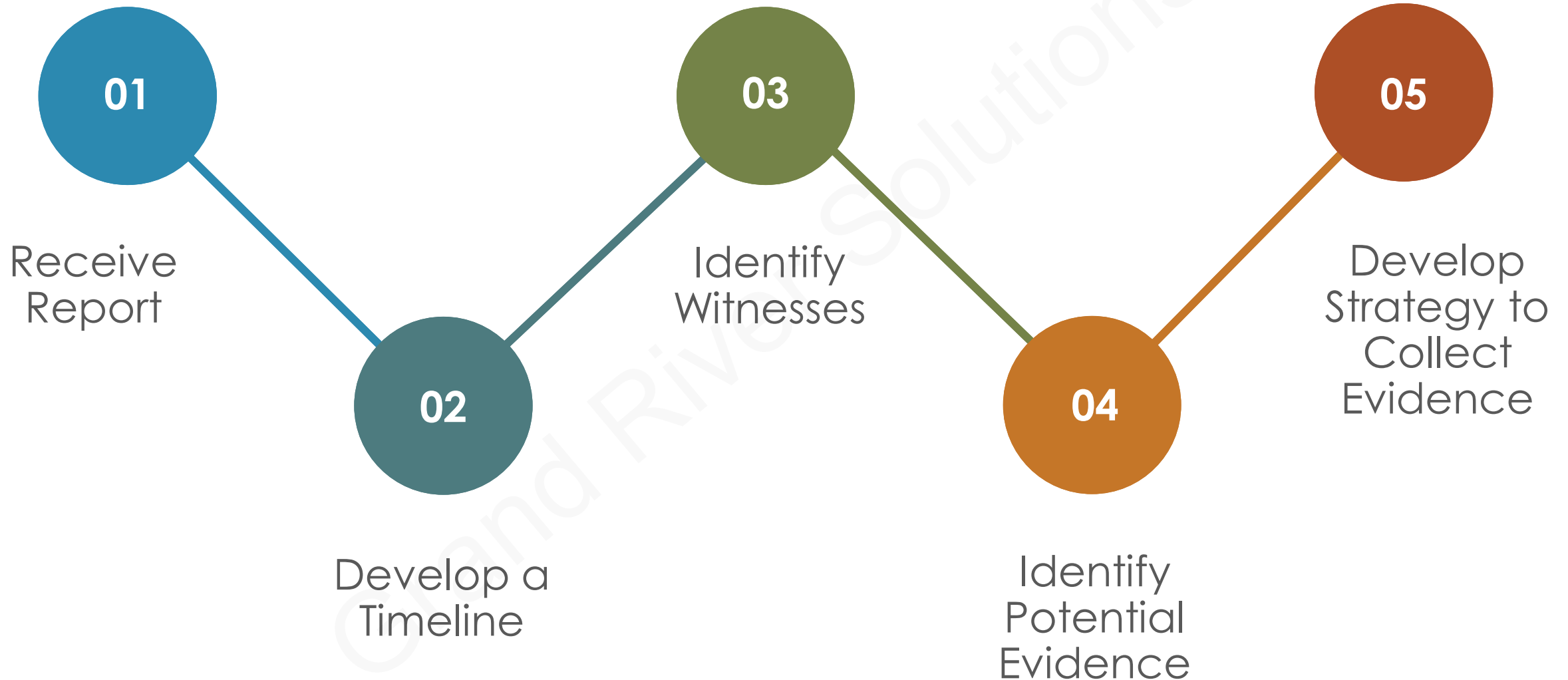
STALKING

Definition: Engaging in a course of conduct directed at a specific person that would cause a reasonable person to:
Fear for the person's safety or the safety of others; or suffer substantial emotional distress.

Questions to Ask:

1. Did Respondent engage in a course of conduct?
2. Was that course of conduct directed at Complainant?
3. Would Respondent's conduct cause a reasonable person to either
 - a. *Fear for their safety or the safety of others, or*
 - b. *Suffer substantial emotional distress?*

THE PROCESS: DEVELOPING AN INVESTIGATIVE STRATEGY



INCIDENT TIMELINE

Prior History

- Between the Parties?
- Of the Parties?

Incident

- Consent?
- Type of Contact?
- Injuries?

Pre-Incident

- Communications?
- Interactions?
- Conduct?

Post Incident

- Behaviors?
- Communications?

The Importance of Organization



INVESTIGATIVE INTERVIEWS

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INTERVIEW OBJECTIVES



Listen

Allow interviewee to share their experience



Evidence Preservation

Text messages

Photographs

Names and contact info for witnesses

Connect

Build rapport

Build trust

Empower



Clarify

Understand what you have heard

Seek additional information



PRIOR TO THE INTERVIEW

- Secure an appropriate meeting location
- Allow for enough time to conclude the meeting
- If interviewing a party, inform them of their right to have an advisor present
- Prepare for the meeting

- Provide written notice of the meeting

EXPECTATIONS

What they should expect of you:

- That you are neutral
- That you will listen, what they are saying is important to you
- That you will keep the information they share private
- What you will do with recording/notes
- That you may have to ask difficult questions
- Patience, respect, and appreciation
- This will not be their only opportunity to speak with you
- Prepare the parties for follow up interviews and the “shift”

EXPECTATIONS

What you expect of them:

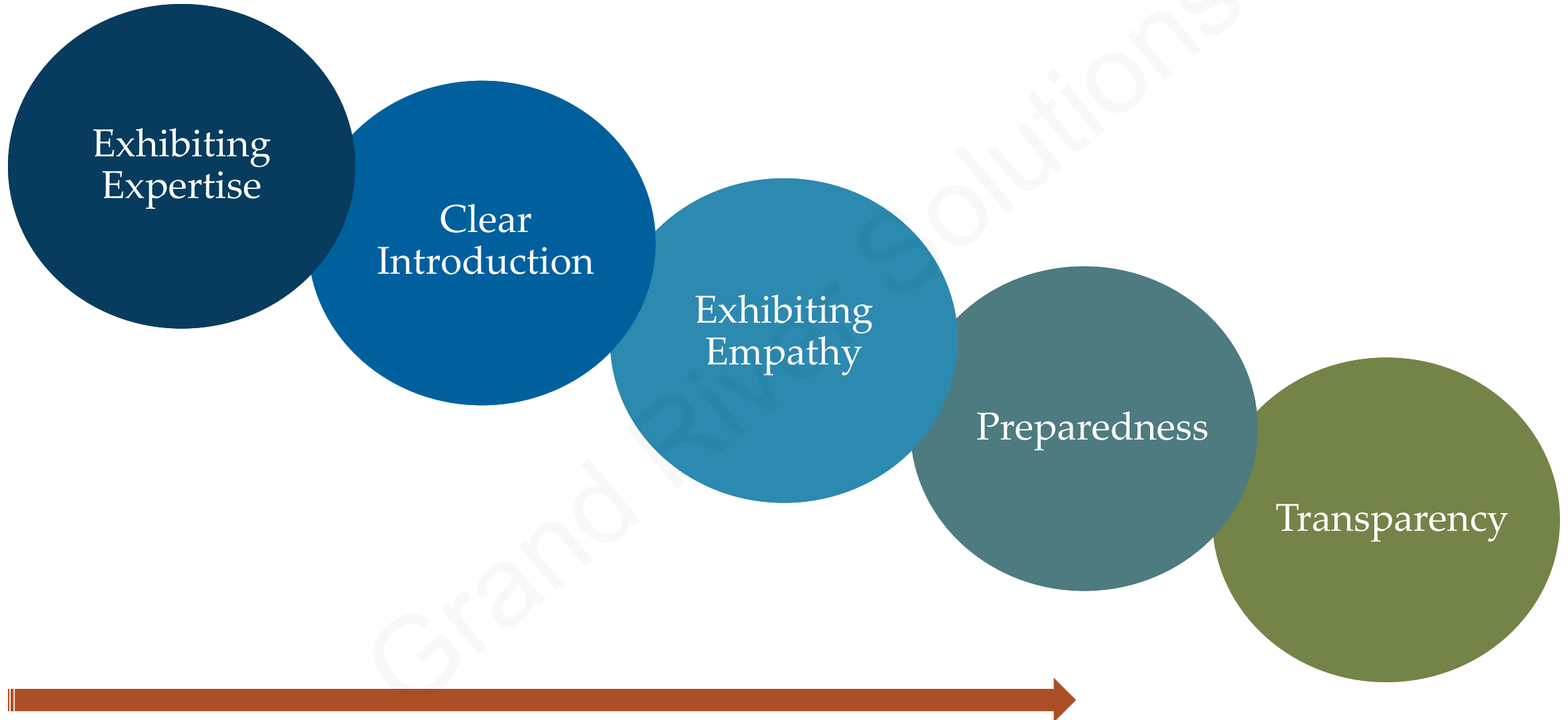
- Honesty
- That they will seek clarity if needed (give them permission to do so)
- That they won't guess or fill in blanks
- That they will maintain the privacy of what is discussed as it protects the integrity of the investigation
- Protections against retaliation
- Amnesty



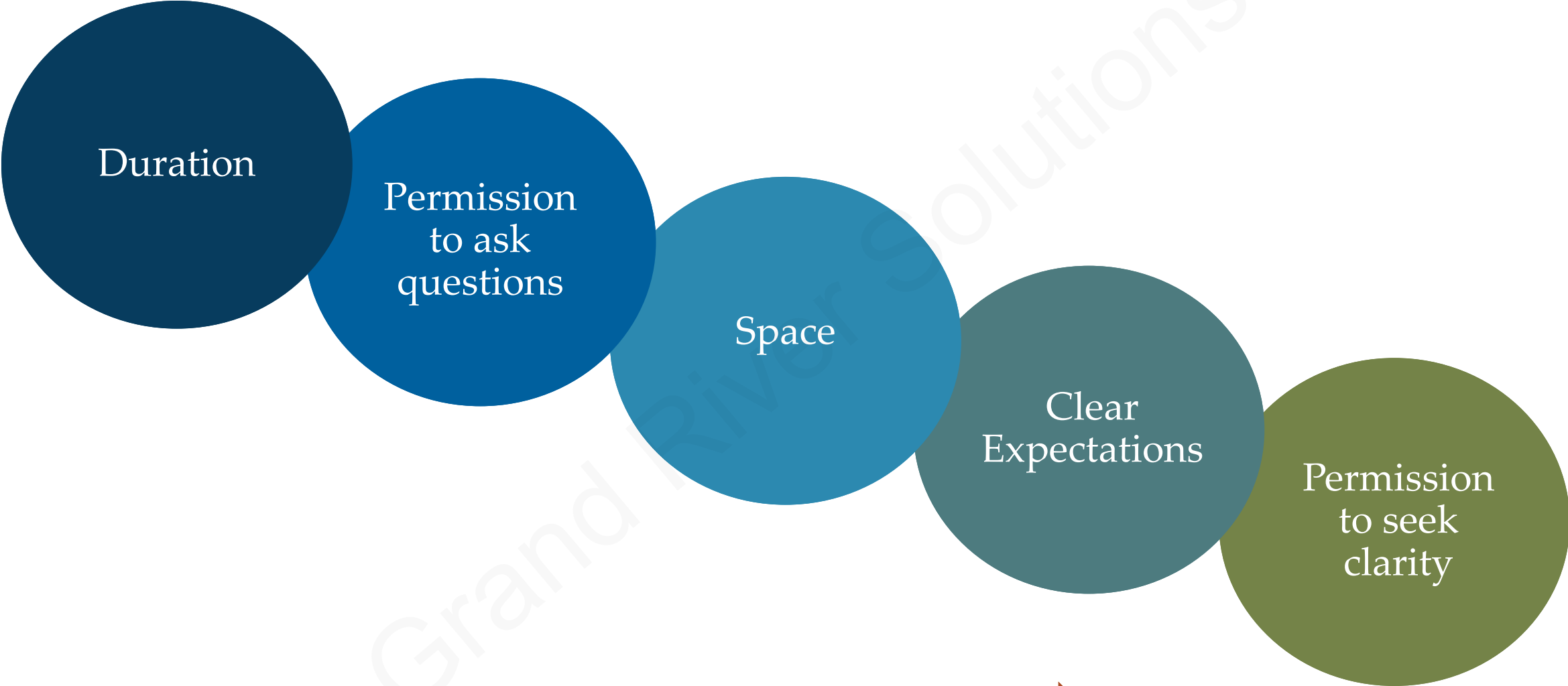
HOW DO WE...

- Build Rapport and Trust?
- Empower?

RAPPORT AND TRUST



EMPOWERMENT



INVESTIGATIVE INTERVIEWS

1. Start by eliciting a narrative

2. Listen

3. Interview for Clarification

4. Listen

5. Avoid leading or blaming questions, interrogation

START INTERVIEW BY ELICITING A NARRATIVE

- “Help me understand your experience?”
- “What are you able to tell me about your experience?”
- “Start where you are comfortable and share what you are able to remember.”

Allow the person to speak uninterrupted. This takes patience.

SEEK CLARIFICATION

Next, ask questions that are intended to clarify and more deeply explore the information and details provided by the person in their narrative.

Do ask:

- Interview for Clarification
- Help me understand?
- Can you tell me more about...?
- Is there anything else you can share about...?

Avoid:

- Interrogation
- Questions that blame
- Questions that imply doubt
- Leading Questions

- Ask about the physical and emotional reactions to the incident.
- Conclude with very open-ended questions:
 - *What was the most difficult part of this experience for you?*
 - *Is there something that stands out/that you just can't stop thinking about?*
 - *Is there anything more that you would like me to know?*

CAPTURE THE ENTIRE EXPERIENCE

THE BEFORE

At some point during the interview, it is also important to explore the prior history, if any, between the complainant and the respondent, and the history of the parties, individually.



AND THE AFTER

It is also important to explore the events following the incident. Often times the best evidence is produced after the incident.

- The parties' psychological reactions
- Changes in behavior
- Witnesses to the psychological reaction;
 “Has anyone expressed concern about you since the assault?”
- Communication/contact between the complainant and respondent

DAY TWO AGENDA

- Investigative Interviews
Continued
- Evidence Collection and
Assessment
- The Investigative Report
and Record



QUICK REVIEW



INVESTIGATIVE INTERVIEWS: CONTINUED



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THROUGHOUT THE INTERVIEW



Explain questions, especially the difficult ones.

Do not ask leading questions.

Watch your tone.

Do not rush.

Listen.

Pay attention to and document information.

Document questions asked.

AT THE CONCLUSION OF THE INTERVIEW

Discussion submission of evidence.

Explain statement review process.

Explain next steps in the process.

Keep the lines of communication open.

Review available support, privacy requirements, and prohibition against retaliation.

AFTER THE INTERVIEW: ACTIONS

Memorialize the interview in writing: notes, summary transcript.

Provide opportunity for the party or witness to review it.

Provide opportunity for party or witness to provide a response.

Incorporate the response.

A NOTE ABOUT WITNESS SUMMARIES

- The reader of any report should not know of the investigator's presence in the report; for example, report should not say "I then asked . . ."
- Use interviewee's words and put the words in quotes if it is their words
- Avoid conclusory words, or words that suggest that the investigator has an opinion about the information offered

AFTER THE INTERVIEW: REFLECTION



Reflect.

Is there something you missed or forgot to ask?



Do you need clarity on any of the information shared?



Has this interview revealed additional evidence that you want to explore or collect?



Has evidence of additional policy violations been shared?

FOLLOW UP INTERVIEWS

- Seek Clarification
- Explore Inconsistencies
- Explore contradictions
- Explore difficult issues
- Opportunity to respond

FOLLOW UP INTERVIEW APPROACH

01

Explain the purpose of the follow up

02

Set the stage for the topics you will be covering

03

Prepare the interviewee for “the shift”

04

Do not avoid asking the hard questions

THE “HARD” QUESTIONS

Details about the sexual conduct

Seemingly inconsistent behaviors

Inconsistent evidence/
information

What they were wearing

Alcohol or drug consumption

Probing into reports of lack of memory

HOW TO ASK THE HARD QUESTIONS

- **Lay a foundation for the questions**
 - Explain why you are asking it
 - Share the evidence that you are asking about, or that you are seeking a response to
- **Be deliberate and mindful in your questions**
 - “Can you tell me what you were thinking when...”
 - “Help me understand what you were feeling when...”
 - “Are you able to tell me more about...”

WHAT QUESTIONS DO YOU HAVE FOR QUINN?

“Casey and I have been friends for a few weeks. On Friday night, we were hanging out alone in my room, watching a movie. We started to make out, and I was ok with that. After making out for a while, Casey started touching me down there. Then Casey tried to have sex with me. Casey knew that I didn’t want to have sex but kept trying anyway. Casey was being really coercive, and so I just went along with it. Casey raped me and I want Casey to be held accountable.”

WHAT QUESTIONS DO YOU HAVE FOR BARRI?

“When I got to the party, I was already lit. I kept letting Marc get me drinks anyway. At some point, I just kinda don’t remember anything. And then I woke up in Marc’s bed and it was morning. I had all my clothes on, but I know someone had sex with me. I could feel it. I just wanted to go, so I did. Before I left Marc woke up and tried to talk to me but I wasn’t hearing it. He looked guilty and I could tell he felt bad.”

WHAT QUESTIONS DO YOU HAVE FOR COLIN?

“Pat and I have been together for about a month and have been intimate for the last two weeks. We went out with my friends on Friday night and Pat got really drunk. At some point we ran into my ex and Pat was really jealous, so we left. When we got back to my place, I thought things were fine. We started hooking up and all of a sudden Pat's mood changed. Pat got really aggressive and choked me. He was so angry and I was so scared.”

EVIDENCE COLLECTION AND ASSESSMENT



02

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EVIDENCE:

“Something (including testimony, documents, tangible objects) that tends to prove or disprove the existence of an alleged fact; anything presented to the senses and offered to prove the existence or non-existence of a fact.”

-Black's Law Dictionary

TYPES OF EVIDENCE

Direct Evidence

Evidence that is based on personal knowledge or observation and that, if true, proves a fact without inference or presumption.

Circumstantial Evidence

Evidence based on inference and not on personal knowledge or observation.

Corroborating Evidence

Evidence that differs from but strengthens or confirms what other evidence shows

EVIDENCE

Testimony

Text
Messages

Social Media
Posts and
Messages

Emails

Surveillance

Videos

Photographs

Police Body
Camera
Footage

Swipe Records

Medical
Records

Phone Records

Audio Recordings

EVIDENCE COLLECTION

- Identify the items of evidence that you would like to obtain.
- Develop an intentional strategy for obtaining that evidence.
- Overcome barriers to evidence collection.
- Considerations about collecting certain types of evidence.

A THOROUGH INVESTIGATION
is more than evidence collection

EVALUATING THE EVIDENCE

01

Is it relevant?

Is the evidence important, or of consequence, to the fact-finding process?

02

Is it authentic?

Is the item what it purports to be?

03

Is it credible/reliable?

Is the evidence worthy of belief and can the decision maker rely on it?

04

What weight, if any, should it be given?

How important is the evidence to the fact-finding process?

A THOROUGH INVESTIGATION PERMITS THE DECISION MAKER TO ASSESS

- Relevance
- Credibility
- Reliability
- Authenticity
- Weight



“RELEVANT” EVIDENCE

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See, e.g., Federal Rule of Evidence 401 Test for Relevant Evidence:

“Evidence is relevant if:

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“require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.”

- Physical and mental health records and attorney-client privileged communications would fit within scope of this prohibition

ASSESSING RELEVANCE

Why Does it Matter?

- Unsure about the relevance about a particular item of evidence? Ask the person who has proffered it.
- Character Evidence
- Polygraph Evidence
- Opinion Evidence

OPINION EVIDENCE

When might it be relevant?

How do you establish a foundation for opinion evidence so that the reliability of the opinion can be assessed?



OPINION EVIDENCE: TRY IT!

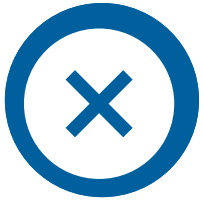
You are investigating an allegation that Casey had sex with Taylor when Taylor was incapacitated. You interview several witnesses, one of whom made the following statement:

“I got to the party pretty late, and Taylor was already lit.”

“Taylor was wasted. Like totally messed up. There is no way they could have given permission for sex”

ASSESSING AUTHENTICITY

Investigating the products of the Investigation



Never assume that an item of evidence is authentic.

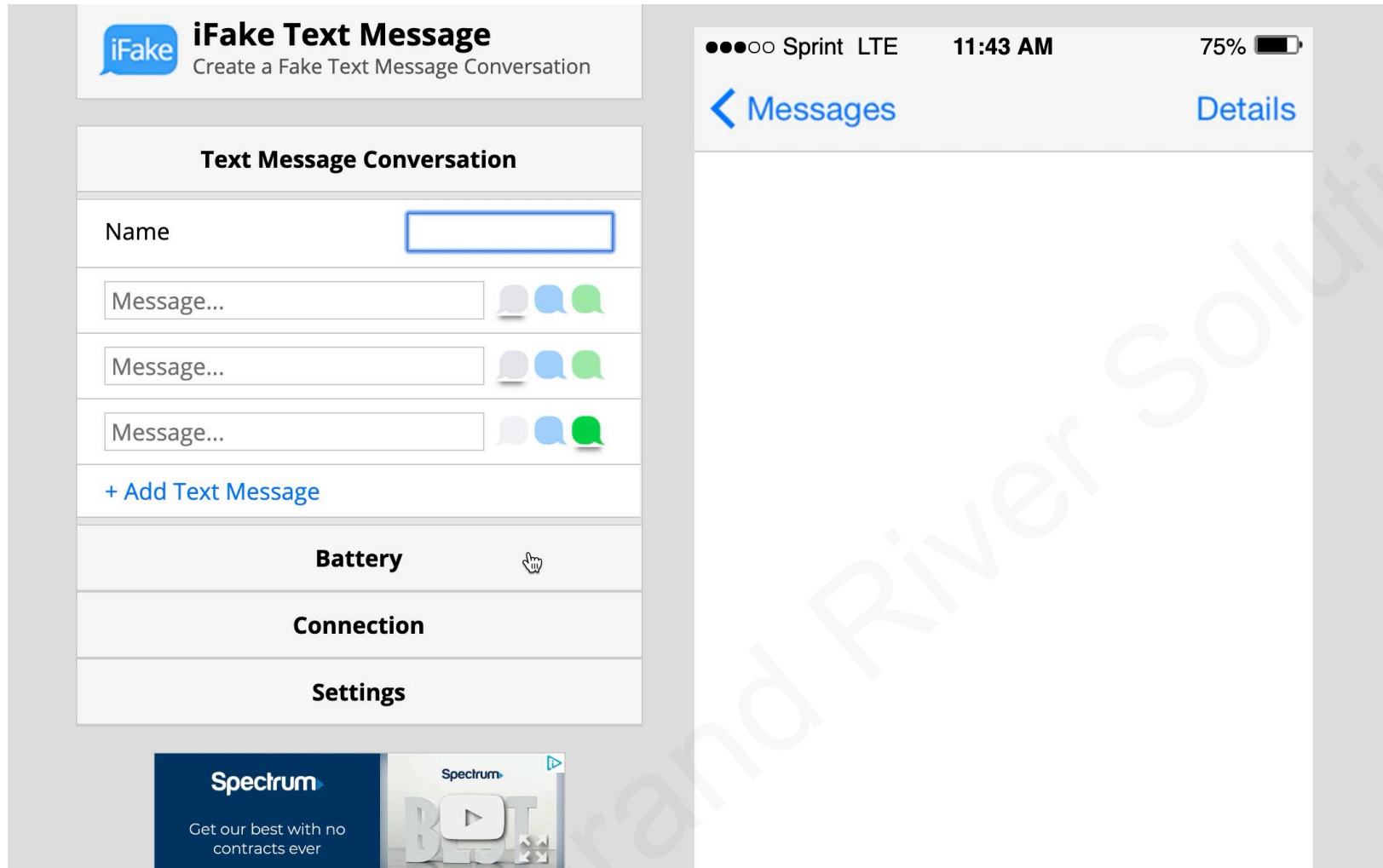


Ask questions, request proof.

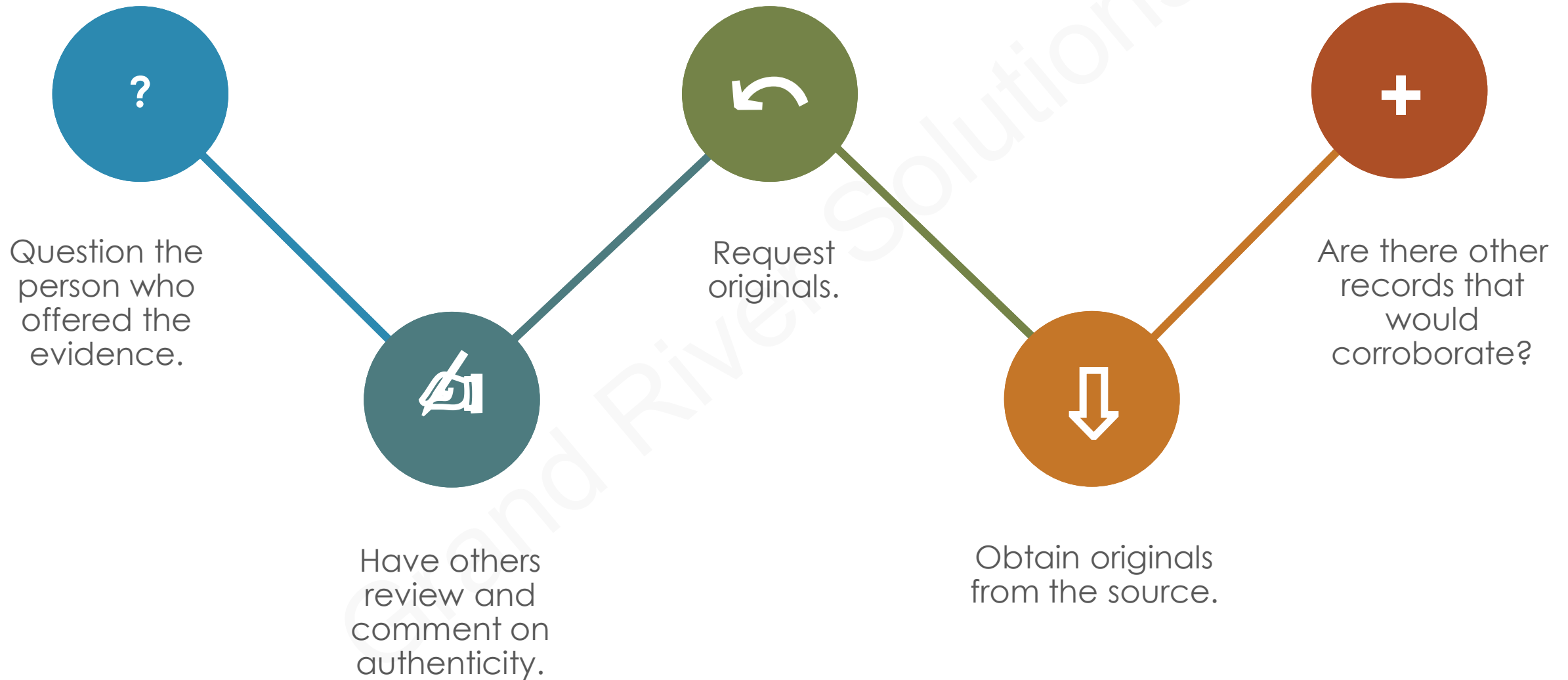


Investigate the authenticity if necessary.

FAKE TEXT MESSAGES



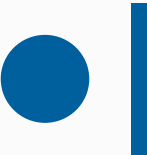
IS IT AUTHENTIC?





ASSESSING CREDIBILITY AND RELIABILITY

No formula exists, but consider the following:

 Opportunity to view

 Ability to recall

 Character, background, experience, and training

 Plausibility

 Bias

 Motive to fabricate

 Consistency

 Coaching

BARRIERS TO EVIDENCE COLLECTION



Non-participating parties

Uncooperative witnesses

Uncooperative advisors

Identity of party or witness unknown

Refusal to share materials

Materials lost or no longer accessible

Difficult topics

THE INVESTIGATIVE REPORT AND RECORD

03

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At the conclusion of the investigation, we must create an investigative report that fairly summarizes relevant evidence.



RELEVANCY STANDARD

Relevant Evidence

- “Evidence is relevant if:
- (a) it has any tendency to make a fact more or less probable than it would be without the evidence; and
- (b) the fact is of consequence in determining the action.”

Irrelevant Evidence

- Prior sexual history of complainant, with two exceptions:
 - Legally recognized and un-waived privilege.
 - Records related to medical, psychiatric, psychological treatment

WHO DECIDES?

- Department emphasizes repeatedly in Preamble that investigators have discretion to determine relevance
 - Subject to parties' right to argue upon review of "directly related" evidence that certain information not included in investigative report is relevant and should be given more weight
- Investigators will have to balance discretionary decisions not to summarize certain evidence in report against:
 - Each party's right to argue their case, and
 - Fact that decisions regarding responsibility will be made at hearing, not investigation stage



REDACTIONS

ADDITIONAL REQUIREMENTS

Share the report with the parties and their advisors

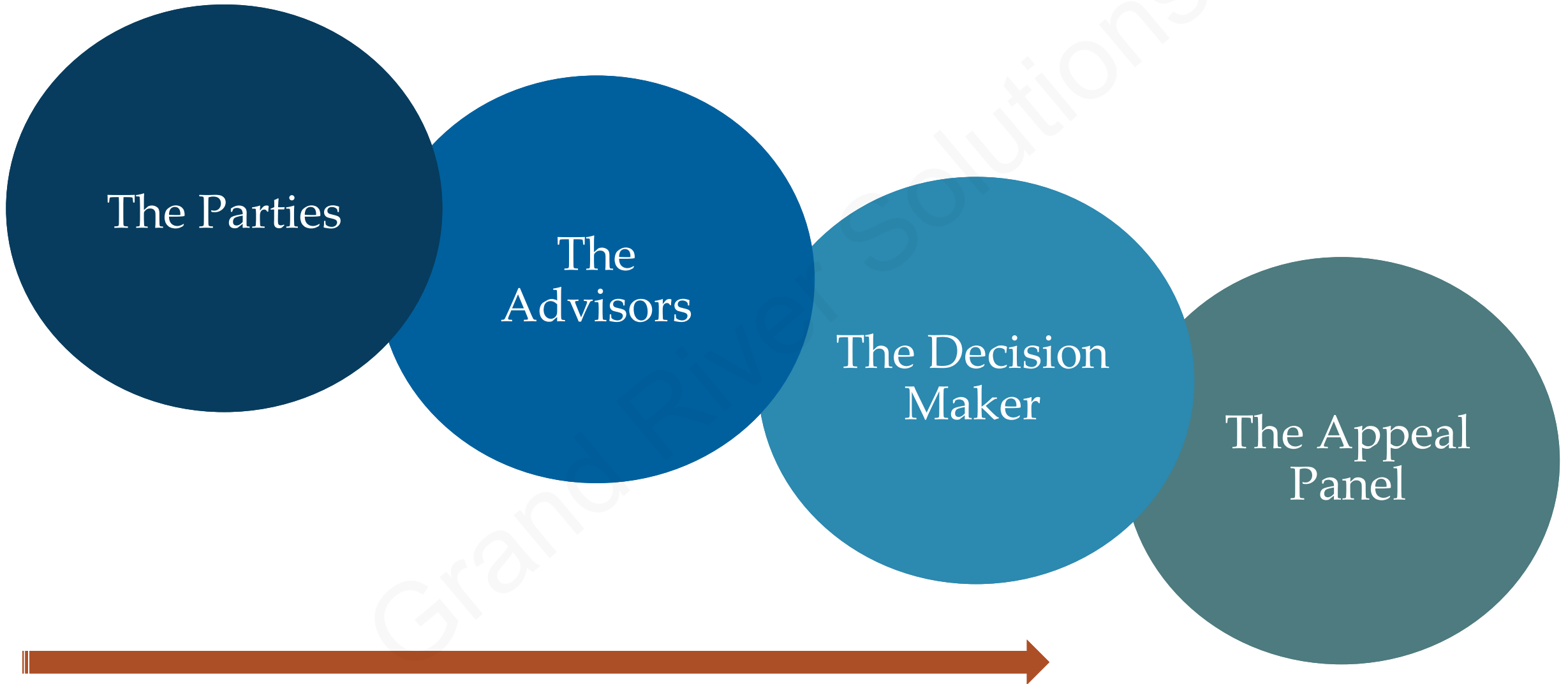
In electronic format or hard copy

At least 10 days prior to the hearing

THE PURPOSE OF THE REPORT

- To allow for advance review
- To allow for advance preparation
 - By the Decision Maker
 - By the Parties
- Reduce likelihood of bias in the final outcome

INTENDED RECIPIENTS



OTHER RECIPIENTS?

- Friends of the parties
- Parents
- Law enforcement
- Attorneys
- Judges
- Media
- Social Media



ESSENTIAL ELEMENTS

Intentionally organized to enhance comprehension

Factually accurate

Concise

Without editorial or opinion

Consistent format

REPORT AND EVIDENCE FILE

Summary of the Evidence



Compilation of the Evidence



THE EVIDENCE FILE

Compiles the
evidence

Organized intentionally and
consistently

Divided into
Appendices

Attached to
the report

Includes a
procedural
timeline

EXAMPLE OF APPENDICES

- Appendix A
 - Contains all of the party/witness testimony (e.g., transcripts, statements summaries, etc.) that the investigator deems relevant
- Appendix B
 - Contains all of the documentary evidence (e.g., text messages, SANE reports, photographs, etc.) that the investigator deems relevant
- Appendix C
 - Contains the remaining evidence deemed irrelevant by the investigator, but that is directly related to the allegations in the formal complaint
- Appendix D
 - The procedural timeline

STRUCTURE OF THE REPORT

- Overview of the Investigation
- Statement of Jurisdiction
- Identity of Investigators
- Objective of the Investigation and the Investigation Report
- Prohibited Conduct Alleged
- Witnesses
- Evidence Collected
- Summary of Evidence
- Conclusion

REPORT STRUCTURE

Overview

In this section, provide a very brief overview of the case. Include:

- the names of the parties,
- the applicable policy(ies)
- the prohibited conduct alleged,
- the date, time, and location of the conduct,
- a brief description of the alleged misconduct

REPORT STRUCTURE

Statement of Jurisdiction

1. Cite Jurisdictional Elements
2. State all grounds for Jurisdiction

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REPORT STRUCTURE

Identify Investigators

1. Identify the investigators by name
2. Investigator's training belongs in file, not in report

REPORT STRUCTURE

Objective of the Investigation & Report

1. This language should mirror the language in your policy or procedures.
2. State the objective of the investigation
3. Briefly state that all procedural steps were followed
4. Describe the purpose of the report.

REPORT STRUCTURE

Prohibited Conduct Alleged

1. List the allegations of prohibited conduct in the formal complaint
2. Include definitions of prohibited conduct from the institution's policy/procedures

REPORT STRUCTURE

List Witnesses

- List those witnesses that were interviewed
- List witnesses that were identified, but not interviewed
- Simple List
- Detailed List

EXAMPLE OF A DETAILED LIST

Witness Name	Witness identified by:	Information offered
John Doe	Reporting Party	Mr. Doe is the Reporting Party's best friend. He was with the Reporting Party the night of the reported incident.
Jane Doe	Investigators	Jane Doe is the Responding Party's roommate. It is believed that she saw the Reporting Party leave the Responding Party's residence immediately following the reported incident.

REPORT STRUCTURE

Evidence Collected

- The final Title IX regulations require that all evidence obtained as part of the investigation that is directly related to the allegations in the formal complaint be shared with the parties and “made available at any hearing to give each party equal opportunity to refer to such evidence during the hearing including for the purposes of cross-examination.”
- In this section, list the Evidence or Refer to Appendices

REPORT STRUCTURE

Summary of Evidence

- In this section, include a summary of all relevant evidence. This section can be organized in several ways. It is important that, however organized, the evidence is summarized clearly and accurately, and without opinion or bias. In this section, the writer should cite the evidence and information in the Appendices.

REPORT STRUCTURE

Conclusion

- In this section, summarize next steps in the process, including any procedural pre-requisites for moving the matter forward to a hearing.

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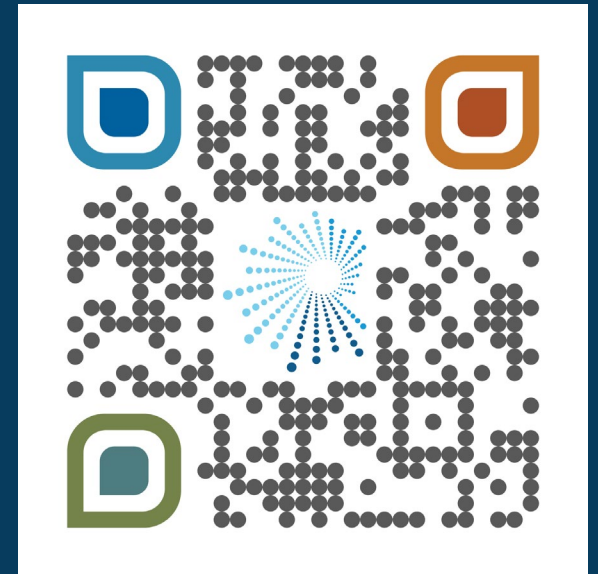


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