

# Title IX Requirements

FAME 2022 Financial Aid & School  
Management Conference

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MAY 11, 2022

MARGARITAVILLE RESORT

HOLLYWOOD BEACH, FL



# Overview

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# Before we get too far . . .

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## Letter to Stakeholders (April 6, 2021)

OCR is undertaking a comprehensive review of the Department's existing regulations, orders, guidance, policies, and any other similar agency actions, including the amendments to the Department's Title IX regulations that took effect on August 14, 2020

- Public hearings held June 7 to 11, 2021
- OCR issued a 67-page question-and-answer document in July 2021
- At this time, the Title IX regulations as amended in 2020 remain in effect
- **Expect NPRM for new Title IX regulations** (maybe???) in May 2022
  - 60-day (???) public comment period
  - Current Title IX regulations – Proposed November 2018 – Finalized May 2020 – Effective August 2020
  - Over 124,000 public comments to last proposed Title IX regulations



# Transgender Students

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Joint Dear Colleague Letter issued by DOJ & ED on 5/13/16

- Treated a student's gender identity as the student's sex for Title IX purposes
- School could not treat a transgender student differently from the way it treated other students of the same gender identity
- A school's failure to treat students consistent with their gender identity may have created or contributed to a hostile environment in violation of Title IX

JOINT DOJ & ED LETTER WITHDRAWN BY TRUMP ADMINISTRATION 2/17/17

## **Executive Order 14021, 86 Fed. Reg. 13,803 (March 11, 2021)**

[A]ll students should be guaranteed an educational environment free from discrimination on the basis of sex, including discrimination in the form of sexual harassment, which encompasses sexual violence, and including discrimination on the basis of sexual orientation or gender identity.



# Transgender Students

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## **OCR Notice of Interpretation - Published in Federal Register June 22, 2021**

In 2020, the Supreme Court in *Bostock v. Clayton County*, 140 S. Ct. 1731, 590 U.S. \_\_\_\_ (2020), concluded that discrimination based on sexual orientation and discrimination based on gender identity inherently involve treating individuals differently because of their sex.

It reached this conclusion in the context of Title VII of the Civil Rights Act, which prohibits sex discrimination in employment.

The Department issued this Interpretation to make clear that the Department interprets Title IX's prohibition on sex discrimination to encompass discrimination based on sexual orientation and gender identity



# Transgender Students

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## **OCR Letter to Educators on Title IX's 49th Anniversary (June 23, 2021)**

OCR will fully enforce Title IX to prohibit discrimination based on sexual orientation and gender identity in education programs and activities that receive Federal financial assistance from the Department.

## **OCR/DOJ published Fact Sheet: Confronting Anti-LGBTQI+ Harassment in Schools**

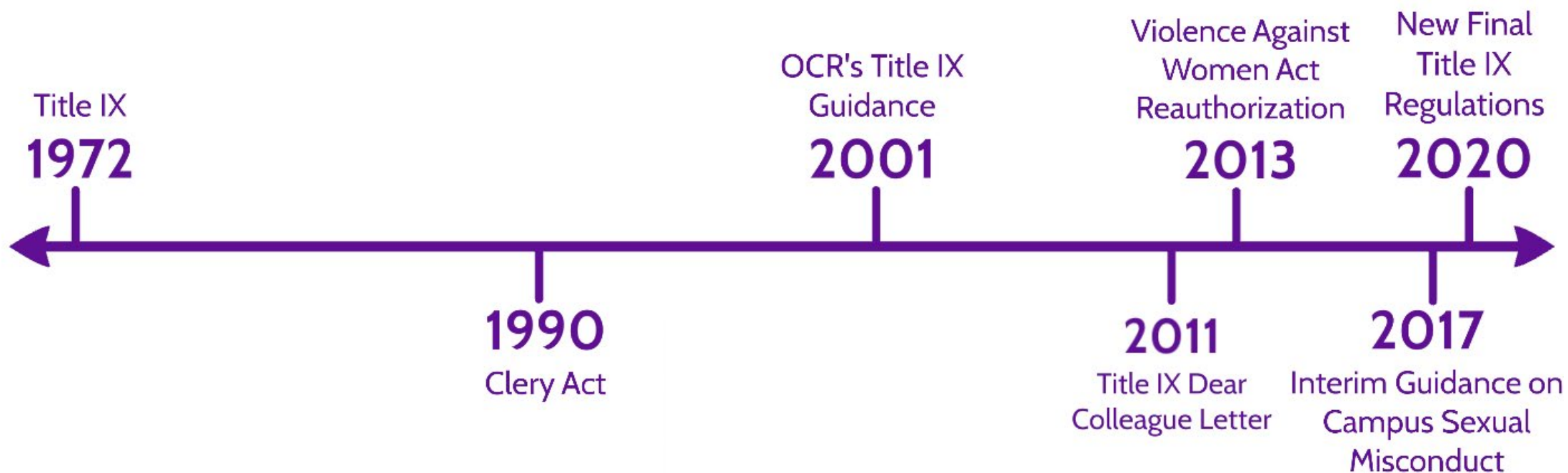
➤ [ed.gov/about/offices/list/ocr/lgbt.html](https://ed.gov/about/offices/list/ocr/lgbt.html)

## **Additional information and resources for LGBTQI+ students:**

➤ [ed.gov/about/offices/list/ocr/docs/ocr-factsheet-tix-202106.pdf](https://ed.gov/about/offices/list/ocr/docs/ocr-factsheet-tix-202106.pdf)



# Title IX - Clery Act Timeline





# Title IX of the Education Amendments of 1972

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Prohibits sex discrimination in education programs that receive federal funding.

- Sexual harassment, including sexual assault, is a type of sex discrimination that is banned by Title IX.





# Clery Act:

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## Every institution must:

- **Collect, classify and count crime reports and crime statistics.**
- Issue a **timely warning** for any *Clery Act* crime that represents an ongoing threat to the safety of students or employees;
- Issue an **emergency notification** upon the confirmation of a significant emergency or dangerous situation involving an immediate threat to the health or safety of students or employees occurring on the campus.
- **Publish an annual security report** containing safety- and security-related policy statements and crime statistics and distribute it to all current students and employees. Schools also must inform prospective students and employees about the availability of the report.
- **Submit crime statistics to ED.** Each year in the fall schools must participate in a Web-based data collection to disclose crime statistics by type, location and year.
- ED can issue civil **fines of up to \$59,017 per violation** for a substantial misrepresentation of the number, location or nature of the crimes required to be reported or for a violation of any other provision of the safety- and security-related *HEA* regulations.



# 2001 OCR Title IX Guidance

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Provides the principles that a school should use to recognize and effectively respond to sexual harassment of students in its program as a condition of receiving Federal financial assistance.

- Describes the regulatory basis for a school's compliance responsibilities under Title IX
- Outlines the circumstances under which sexual harassment may constitute discrimination prohibited by the statute and regulations
- Provides information about actions that schools should take to prevent sexual harassment or to address it effectively if it does occur



# 2011 Dear Colleague Letter

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- Was deemed a “significant guidance document” by ED
- Detailed schools’ obligations and the appropriate response to sexual harassment and violence
- Guidance was repealed by Secretary DeVos in September 2017



**The Second Report of the White House Task Force  
to Protect Students from Sexual Assault**

January 5, 2017

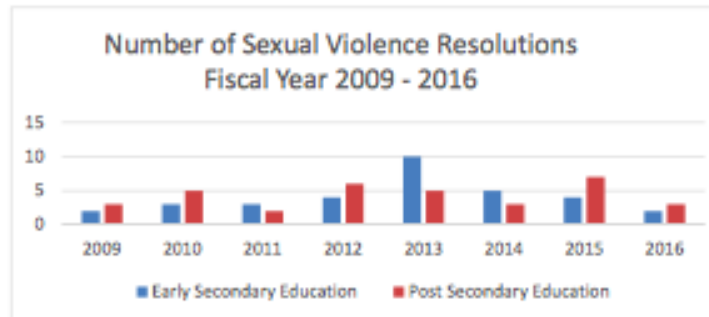
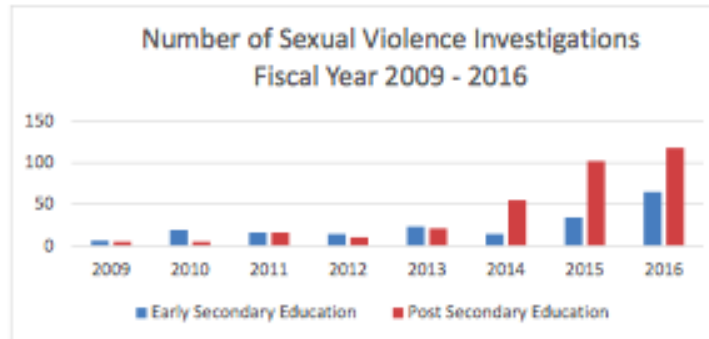
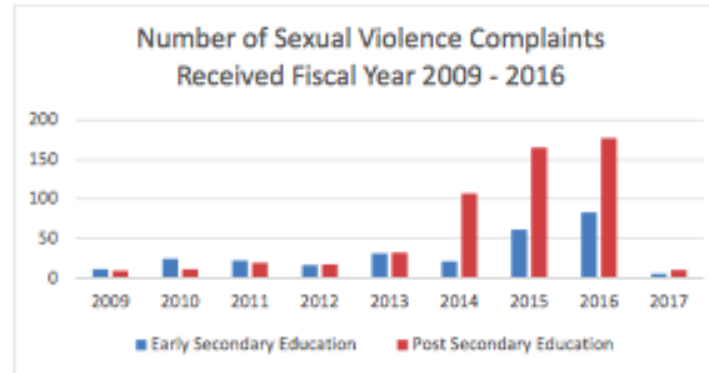


<https://www.whitehouse.gov/sites/whitehouse.gov/files/images/Documents/1.4.17.VAW%20Event.TF%20Report.PDF>

## Appendix D: Number of Title IX Complaints, Investigations, and Resolutions

2009-2016

Source: Department of Education, Office for Civil Rights



“The Second Report of the White House Task Force to Protect Students from Sexual Assault,” January 5, 2017, (retrieved from <https://www.whitehouse.gov/sites/whitehouse.gov/files/images/Documents/1.4.17.VAW%20Event.TF%20Report.PDF> [retrieved January 18, 2017])

# Violence Against Women Reauthorization Act (2013)

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Amended the Clery Act to require that schools compile statistics for incidents of:

- domestic violence,
- dating violence,
- sexual assault; and
- stalking

**NOTE: VAWA crimes also included in Title IX definition of Sexual Harassment**

# Violence Against Women Reauthorization Act (2013)

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Updated requirements for school's Annual Security Reports. The ASR must now include:

- The school's ***educational programs*** to promote awareness of sexual misconduct;
- Possible ***sanctions*** school may impose regarding sexual misconduct;
- ***Procedures that victims should*** follow if an incident of sexual misconduct has occurred;
- The school's procedures for conducting a ***disciplinary proceeding*** in cases of alleged sexual misconduct;

# Violence Against Women Reauthorization Act (2013)

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School's Annual Security Report must also include:

- Information about how the school will protect ***confidentiality*** of a victim;
- Written notification to students and employees about ***counseling, health, victim advocacy, legal assistance*** and other services available for victims;
- Written notification to victims about available ***accommodations*** to academic and living arrangements if requested by the victim.



# VAWA Challenges - Non-Traditional Schools

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The VAWA requirements present particular challenges to non-traditional trade and career schools.

- These schools typically do not have on-campus police or dedicated security forces.
- The Title IX coordinator at these schools is often the director or another administrator whose primary job functions pertain to school operations.
- Given the size of the student body, lack of residential student housing and limited school-sponsored extracurricular activities, incidents of sexual misconduct may be infrequent at these types of institutes.

# VAWA Challenges – Non-Traditional Schools

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During the proposed regulations' public comment period, a number of commenters noted the significant compliance burden that the regulations place on small institutions.

- For example, the commenters referenced the requirement for institutional disciplinary proceedings in the case of alleged dating violence, domestic violence, sexual assault or stalking.
- In response, the Department noted that institutions are not making determinations of criminal responsibility but are determining whether the institution's own rules have been violated.
- The Department further noted that students at smaller institutions should have the same protections as their counterparts at larger institutions.



# 2014 White House Task Force – First Report Findings:

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- One in five women is sexually assaulted in college
- Most often by someone she knows
- Most often not reported
- Many survivors feel isolated, ashamed or to blame
- Although less often, men also victims

Source: Not Alone, The First Report of the White House Task Force to Protect Students From Sexual Assault, April, 2014, accessed December 5, 2017, <https://www.justice.gov/ovw/page/file/905942/download>



# BJS 2016 Campus Climate Survey

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The Bureau of Justice Statistics developed a pilot campus climate survey to address key Task Force goals and key issues related to the measurement of rape and sexual assault in self-report surveys .

- Completed surveys were collected from more than 23,000 undergraduate students at nine schools
- Data collection occurred March through May 2015
- The overall prevalence rate for completed sexual assault experienced by undergraduate females, averaged across the nine schools, was 10.3%

"Campus Climate Survey Validation Study Final Technical Report," (January 2016). Bureau of Justice Statistics, accessed January 21, 2016 (<http://www.bjs.gov/content/pub/pdf/ccsvsfr.pdf>)

# 2017 Interim Guidance on Campus Sexual Misconduct

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Whether or not a student files a complaint of alleged sexual misconduct or otherwise asks the school to take action, where the school knows *or reasonably should know* of an incident of sexual misconduct, the school must take steps to understand what occurred and to respond appropriately.

United States Department of Education, Office for Civil Rights, Q&A on Campus Sexual Misconduct, September 2017,  
<https://www2.ed.gov/about/offices/list/ocr/docs/qa-title-ix-201709.pdf>



# New Title IX Regulations

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Final Rule Published May 6, 2020

Effective date August 14, 2020

"This new regulation requires schools to act in meaningful ways to support survivors of sexual misconduct, without sacrificing important safeguards to ensure a fair and transparent process. We can and must continue to fight sexual misconduct in our nation's schools, and this rule makes certain that fight continues."

- *U.S. Secretary of Education Betsy DeVos, Press Release May 6, 2020*



# § 106.8 (b) Dissemination of Policy

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Each recipient (i.e., Title IV institution) must:

- Provide notice that it does not discriminate on the basis of sex in the education program or activity that it operates;
- Prominently display the Title IX Coordinator contact information and grievance policy on its website, if any, and in each handbook or catalog

# § 106.8 (c) Adoption of Grievance Procedures

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A recipient must adopt and publish grievance procedures that provide for the prompt and equitable resolution of student and employee Title IX complaints

A recipient must provide notice of the recipient's grievance procedures and grievance process, including how to report or file a complaint of sex discrimination, how to report or file a formal complaint of sexual harassment, and how the recipient will respond





# § 106.30 Definitions

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- *Actual knowledge* means notice of sexual harassment or allegations of sexual harassment to a recipient's Title IX Coordinator or any official of the recipient who has authority to institute corrective measures on behalf of the recipient, or to any employee of an elementary and secondary school
  - Imputation of knowledge based solely on vicarious liability or constructive notice is insufficient to constitute actual knowledge. The mere ability or obligation to report sexual harassment or to inform a student about how to report sexual harassment, or having been trained to do so, does not qualify an individual as one who has authority to institute corrective measures on behalf of the recipient
- *Complainant* means an individual who is alleged to be the victim of conduct that could constitute sexual harassment
- *Consent*. The Department will not require recipients to adopt a particular definition of consent with respect to sexual assault,



## § 106.30 Definitions

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- *Formal complaint* means a document filed by a complainant or signed by the Title IX Coordinator alleging sexual harassment against a respondent and requesting that the recipient investigate the allegation of sexual harassment
  - At the time of filing a formal complaint, a complainant must be participating in or attempting to participate in the education program or activity of the recipient with which the formal complaint is filed
- *Respondent* means an individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment



# § 106.30 Definitions

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*Sexual harassment* means conduct on the basis of sex that satisfies one or more of the following:

- (1) An employee of the recipient conditioning the provision of an aid, benefit, or service of the recipient on an individual's participation in unwelcome sexual conduct;
- (2) Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the recipient's education program or activity; or
- (3) "Sexual assault," "dating violence," "domestic violence," or "stalking" as defined for VAWA purposes

# 106.44 (a) General Response to Sexual Harassment

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**A recipient with actual knowledge of sexual harassment in an education program or activity of the recipient against a person in the United States, must respond promptly in a manner that is not deliberately indifferent**

**A recipient is deliberately indifferent only if its response to sexual harassment is clearly unreasonable in light of the known circumstances**

- “Education program or activity” includes locations, events, or circumstances over which the recipient exercised substantial control over both the respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled by a student organization that is officially recognized by a postsecondary institution.
- A recipient’s response must treat complainants and respondents equitably

# 106.44 (a) General Response to Sexual Harassment

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**Title IX Coordinator must promptly contact the complainant to discuss:**

- i. the availability of supportive measures,
- ii. consider the complainant's wishes with respect to supportive measures,
- iii. inform the complainant of the availability of supportive measures with or without the filing of a formal complaint, and
- iv. explain to the complainant the process for filing a formal complaint



# Response to a Formal Complaint

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**In response to a formal complaint, a recipient must follow a grievance process that complies with § 106.45. With or without a formal complaint, a recipient must comply with § 106.44(a)**

- *Emergency removal.* Recipient may remove a respondent from the recipient's education program or activity on an emergency basis, provided that the recipient undertakes an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment justifies removal, and provides the respondent with notice and an opportunity to challenge the decision immediately following the removal
- *Administrative leave.* Recipient may place a non-student employee respondent on administrative leave during the pendency of a grievance process

# § 106.45 (b)(1) Basic Requirements for Grievance Process

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- (i) Treat complainants and respondents equitably;
- (ii) Require an objective evaluation of all relevant evidence;
- (iii) Require that any individual designated by a recipient as a Title IX Coordinator, investigator, decision-maker, or any person designated to facilitate an informal resolution process, not have a conflict of interest or bias. Title IX Coordinators, et. al. must receive proper training;
- (iv) Include a presumption that the respondent is not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the grievance process;
- (v) Include reasonably prompt time frames for conclusion of the grievance process;

# § 106.45 (b)(1) Basic requirements for Grievance Process

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- (vi) Describe the range of possible disciplinary sanctions and remedies that the recipient may implement following any determination of responsibility;
- (vii) State the standard of evidence to be used to determine responsibility (preponderance of the evidence or clear and convincing evidence);
- (viii) Include the procedures and permissible bases for the complainant and respondent to appeal;
- (ix) Describe the range of supportive measures available to complainants and respondents; and
- (x) Not 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



# § 106.45 (b)(2) Notice of Allegations upon Receipt of Formal Complaint

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(A) Notice of the recipient's grievance process

(B) Notice of the allegations of sexual harassment, including:

- Sufficient details with sufficient time to prepare a response before any initial interview
- A statement that the respondent is presumed not responsible and that a determination regarding responsibility is made at the conclusion of the grievance process
- 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, and may inspect and review evidence
- 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

# § 106.45 (b)(3) Dismissal of a Formal Complaint—

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The recipient must dismiss a formal complaint if:

- The conduct alleged in the formal complaint would not constitute sexual harassment under Title IX even if proved,
- Did not occur in the recipient's education program or activity, or
- Did not occur against a person in the United States, then the recipient must dismiss the formal complaint;
- **Such a dismissal does not preclude action under another provision of the recipient's code of conduct.**

# § 106.45 (b)(3) Dismissal of a Formal Complaint—

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(ii) The recipient may dismiss the formal complaint if:

- A complainant notifies the Title IX Coordinator in writing that the complainant would like to withdraw the formal complaint;
- The respondent is no longer enrolled or employed by the recipient; or
- Specific circumstances prevent the recipient from gathering evidence sufficient to reach a determination as to the formal complaint or allegations therein

# § 106.45 (b)(5) Investigation of a Formal Complaint

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When investigating a formal complaint and throughout the grievance process, a recipient must—

- i. Ensure that the burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rest on the recipient and not on the parties;
- ii. Provide an equal opportunity for the parties to present witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence;
- iii. Not restrict the ability of either party to discuss the allegations under investigation or to gather and present relevant evidence;
- iv. Provide the parties with the same opportunities to have others present during any grievance proceeding, including an advisor of their choice;

# § 106.45 (b)(5) Investigation of a Formal Complaint

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When investigating a formal complaint and throughout the grievance process, a recipient must—

- v. Provide, to a party whose participation is invited or expected, written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time for the party to prepare to participate;
- vi. Provide both parties an equal opportunity to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in a formal complaint; and
- vii. Create an investigative report that fairly summarizes relevant evidence and, at least 10 days prior to a hearing or other time of determination regarding responsibility, send to each party and the party's advisor, if any, the investigative report, for their review and written response.



# § 106.45 (b)(6) Hearings

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**For postsecondary institutions, the recipient's grievance process must provide for a live hearing**

- At the live hearing, the decision-maker(s) must permit each party's advisor to ask the other party and any witnesses all relevant questions and follow-up questions, including those challenging credibility
- Such cross-examination at the live hearing must be conducted directly, orally, and in real time by the party's advisor of choice and never by a party personally
- At the request of either party, the recipient must provide for the live hearing to occur with the parties located in separate rooms with technology enabling the decision-maker(s) and parties to simultaneously see and hear the party or the witness answering questions



# § 106.45 (b)(6) Hearings

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## **Only relevant cross- examination and other questions may be asked of a party or witness**

- Before a complainant, respondent, or witness answers a cross-examination or other question, the decision-maker(s) must first determine whether the question is relevant and explain any decision to exclude a question as not relevant
- If a party does not have an advisor present at the live hearing, the recipient must provide without fee or charge to that party, an advisor of the recipient's choice, who may be, but is not required to be, an attorney, to conduct cross-examination on behalf of that party
- 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



## § 106.45 (b)(6) Hearings

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- **Regulations state:** If a party or witness does not submit to cross-examination at the live hearing, the decision-maker(s) must not rely on any statement of that party or witness in reaching a determination regarding responsibility
- **BUT: July 28, 2021 - U.S. District Court in Massachusetts issued a decision in *Victim Rights Law Center et al. v. Cardona*, No. 1:20-cv-11104, 2021 WL 3185743 (D. Mass. July 28, 2021) ruling that the prohibition on all statements not subject to cross-examination is arbitrary and capricious**
  - Prevents previous written or oral statements from police officers, nurses or other witnesses from being considered in the event that individual is unable to attend a hearing
  - Also means an accused student's own admission of guilt could not be used if the student chose not to testify at the hearing
  - Decision upheld challenges to other provisions of the 2020 Title IX regulations





## § 106.45 (b)(6) Hearings

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- Live hearings may be conducted with all parties physically present in the same geographic location or, at the recipient's discretion, any or all parties, witnesses, and other participants may appear at the live hearing virtually, with technology enabling participants simultaneously to see and hear each other
- Recipients must create an audio or audiovisual recording, or transcript, of any live hearing and make it available to the parties for inspection and review

# § 106.45 (b)(7) Determination Regarding Responsibility.

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- The decision-maker(s), who cannot be the same person(s) as the Title IX Coordinator or the investigator(s), must issue a written determination regarding responsibility
- The written determination must include—
  - Identification of the allegations potentially constituting sexual harassment;
  - A description of the procedural steps taken from the receipt of the formal complaint through the determination;
  - Findings of fact supporting the determination;
  - Conclusions regarding the application of the recipient's code of conduct to the facts;
  - A statement of, and rationale for, the result as to each allegation; and
  - The recipient's procedures and permissible bases for the complainant and respondent to appeal.
- The recipient must provide the written determination to the parties simultaneously
- The Title IX Coordinator is responsible for effective implementation of any remedies.



## § 106.45 (b)(8) Appeals

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A recipient must offer both parties an appeal from a determination regarding responsibility, and from a recipient's dismissal of a formal complaint or any allegations therein, on the following bases:

- Procedural irregularity that affected the outcome of the matter;
- New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter; and
- The Title IX Coordinator, investigator(s), or decision-maker(s) had a conflict of interest or bias that affected the outcome



## § 106.45 (b)(9) Informal Resolution

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At any time prior to reaching a determination regarding responsibility the recipient may facilitate an informal resolution process, such as mediation, that does not involve a full investigation and adjudication, provided that the recipient:

- Provides to the parties a written notice disclosing the allegations and the requirements of the informal resolution process;
- Notifies parties that any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the grievance process with respect to the formal complaint;
- Obtains the parties' voluntary, written consent to the informal resolution process; and
- Does not offer or facilitate an informal resolution process to resolve allegations that an employee sexually harassed a student



# § 106.45 (b)(10) Recordkeeping

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## **A recipient must maintain for a period of seven years records of:**

- Each sexual harassment investigation including any determination regarding responsibility and any audio or audiovisual recording or transcript required, any disciplinary sanctions imposed on the respondent, and any remedies provided;
- Any appeal and the result therefrom;
- Any informal resolution and the result therefrom; and
- All materials used to train Title IX Coordinators, et. al.
  - These training materials must be publicly available on the recipient's website, or if the recipient does not maintain a website then upon request.

In response to receipt of actual knowledge of sexual harassment, a recipient must create, and maintain for a period of seven years, records of any actions, including any supportive measures, taken in response to a report or formal complaint of sexual harassment.



# § 106.71 – Retaliation Prohibited

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- No recipient or other person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX or, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in a Title IX investigation, proceeding, or hearing
- Except as otherwise noted in the regulations, the recipient must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any complainant, any individual who has been reported to be the perpetrator of sex discrimination, any respondent, and any witness.
- Charging an individual with a code of conduct violation for making a materially false statement in bad faith in the course of a grievance proceeding does not constitute retaliation, provided, however, that a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith.



# QUESTIONS???

# Presenter: Christopher DeLuca

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Founder of DeLuca Law LLC

Of Counsel, Rouse Frets White  
Goss Gentile Rhodes, P.C.



**Chris has served as in-house legal counsel and chief financial officer for a multi-state school group.**

**Chris has 30 years of experience providing legal, financial and management services to business owners and career school operators**

Contact Chris at: [Chris@DeLucaLawLLC.com](mailto:Chris@DeLucaLawLLC.com)