



## Review of the Interim Sexual Misconduct Faculty Procedures

**PRESENTED BY** Daniel Lathrop, Chair

**REVIEW DATES** SEC – November 20, 2019 | SENATE – December 4, 2019

**VOTING METHOD** In a single vote

**RELEVANT POLICY/DOCUMENT** [VI-1.60\(A\) – University of Maryland Sexual Misconduct Policy & Procedures](#)

**NECESSARY APPROVALS** Senate, President

### ISSUE

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As a result of changes in state law, the University System of Maryland (USM) revised its Policy on Sexual Misconduct ([VI-1.60](#)) in June 2019. The University of Maryland Sexual Misconduct Policy & Procedures (VI-1.60[A]) were revised to align with the changes to USM Policy and were approved on an interim basis on June 24, 2019, pending University Senate review. The Policy covers all members of the University community; the Procedures provide specific detail on the process for reviewing complaints against faculty, staff, and students, and are applied depending on the constituency of the individual against whom a complaint is made.

In August 2019, the Senate Executive Committee (SEC) charged four Senate committees with consideration of the interim University of Maryland Sexual Misconduct Policy & Procedures. The Equity, Diversity, & Inclusion (EDI) Committee was given responsibility for reviewing the Policy itself to ensure alignment with the revised USM policy and state law ([Senate Document #19-20-03](#)). The Faculty Affairs Committee was charged with reviewing the interim Faculty Sexual Misconduct Complaint Procedures to ensure they accurately reflect the changes in state law and USM policy.

### RECOMMENDATIONS

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The Faculty Affairs Committee recommends that the Faculty Sexual Misconduct Complaint Procedures be revised as indicated in the document immediately following this report.

The Faculty Affairs Committee recommends that it be charged to conduct a comprehensive review of the Faculty Sexual Misconduct Complaint Procedures in order to address concerns raised in the course of its review of the interim Procedures.

### COMMITTEE WORK

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The Faculty Affairs Committee (FAC) began its review at its meeting on September 20, 2019. It reviewed the interim University of Maryland Sexual Misconduct Policy & Procedures, the USM Policy on Sexual Misconduct, Senate Bill 396 (Higher Education – Legal Representation Fund for Title IX Proceedings), and Senate Bill 607 (Higher Education – Sexual Assault Policy – Disciplinary Proceedings Provisions). The FAC received feedback from representatives from the Office of Civil Rights & Sexual Misconduct (OCRSM) and the Office of General Counsel (OGC). The FAC also

worked in close consultation with the EDI, Staff Affairs, and Student Conduct Committees, which were tasked with reviewing the Policy and the Staff and Student Procedures, respectively.

The FAC revised the Faculty Sexual Misconduct Complaint Procedures to align with the EDI Committee's revisions to the Sexual Misconduct Policy and to ensure that certain rights established in the Policy were included in the Procedures. The FAC's charge was narrowly focused on the interim revisions, but the FAC identified a few additional items related to the Procedures that should be considered more fully in the future, and made an administrative recommendation to that effect.

The Faculty Affairs Committee voted to approve the revised Procedures on November 13, 2019.

## **ALTERNATIVES**

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The Senate could choose not to approve the recommendation and revisions to the University of Maryland Sexual Misconduct Policy & Procedures. However, the interim Procedures would not adequately describe the rights and responsibilities of participants in misconduct proceedings.

## **RISKS**

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There are no known risks to the University.

## **FINANCIAL IMPLICATIONS**

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There are no known financial implications.



## Review of the Interim Sexual Misconduct Faculty Procedures

### 2019-2020 Committee Members

**Daniel Lathrop** (Chair)  
**Deanna Barath** (Graduate Student)  
**Caryn Bell** (Faculty)  
**John Bertot** (Ex-Officio Provost’s Rep)  
**Caroline Boules** (Faculty)  
**Michele Eastman** (Ex-Officio President’s Rep)  
**Mark Fuge** (Faculty)  
**Ashley Hixson** (Graduate Student)  
**Agisilaos Iliadis** (Faculty)  
**Nicole LaRonde** (Faculty)  
**Shevaun Lewis** (Faculty)  
**Benjamin Lin** (Undergraduate Student)  
**Lexxie Monahan** (Staff)

**Jessica O’Hara** (Faculty)  
**Marc Pound** (Ex-Officio CUSF Rep)  
**Janice Reutt-Robey** (Faculty)  
**Jacqueline Richmond** (Ex-Officio Director of HR’s Rep)  
**Kevin Roy** (Faculty)  
**Ellin Scholnick** (Ex-Officio Ombuds Officer)  
**Donald Webster** (Faculty)

### Date of Submission

November 2019

## BACKGROUND

As a result of changes in state law, the University System of Maryland (USM) revised its Policy on Sexual Misconduct (VI-1.60) in June 2019. The University of Maryland Sexual Misconduct Policy & Procedures (VI-1.60[A]) were revised to align with the changes to USM Policy and were approved on an interim basis on June 24, 2019, pending University Senate review. The Policy covers all members of the University community; the Procedures provide specific detail on the process for reviewing complaints against faculty, staff, and students, and are applied depending on the constituency of the individual against whom a complaint is made.

In August 2019, the Senate Executive Committee (SEC) charged four Senate committees with consideration of the interim University of Maryland Sexual Misconduct Policy & Procedures. The Equity, Diversity, & Inclusion (EDI) Committee was given responsibility for reviewing the Policy itself, to ensure alignment with the revised USM policy and state law ([Senate Document #19-20-03](#)). The Faculty Affairs Committee was charged with reviewing the interim Faculty Sexual Misconduct Complaint Procedures and ensuring they accurately reflect the changes in state law and USM policy (Appendix 2). The SEC separately charged the Student Conduct Committee and the Staff Affairs Committee with reviewing the Student and Staff Procedures.

## UNIVERSITY OF MARYLAND SEXUAL MISCONDUCT POLICY & PROCEDURES

The University’s Sexual Misconduct Policy & Procedures outline the University’s approach to addressing all forms of sexual misconduct involving University faculty, staff, and students, in alignment with federal and state discrimination laws. The Policy defines specific conduct that is prohibited, provides information on resources for victims of sexual misconduct, and outlines broad principles that govern the process for handling reports of sexual misconduct. The Procedures detail the specific processes faculty, staff, and students will go through during a Sexual Misconduct investigation and explain the process from the receipt of a complaint through investigation and adjudication. The Procedures outline possible sanctions or disciplinary action that may come as a

result of a Finding of responsibility, as well as provide a process for appealing a finding and/or sanctions, depending on the case.

In 2018, the Maryland General Assembly passed [Senate Bill 607](#) (Higher Education - Sexual Assault Policy – Disciplinary Proceedings Provisions). The law affected disciplinary proceedings for sexual misconduct cases at state higher education institutions, and required that institutional policies include an enumeration of specific student rights. It also established a framework for current or former students to access counsel paid for by the Maryland Higher Education Commission (MHEC) through a list of attorneys willing and able to represent students in Title IX cases. In spring 2019, the Maryland General Assembly passed [Senate Bill 396](#) (Higher Education – Legal Representation Fund for Title IX Proceedings). The legislation provided funding to MHEC to establish and administer the representation program to provide support in covering reasonable costs and attorney’s fees for current or former students involved in Title IX proceedings.

MHEC is in the process of implementing the attorney program developed by the recent changes in state law. MHEC has developed a website with information on the attorney program as a resource for current and former students. As it moves forward with implementing the program, MHEC will update the website with additional information and will publish a list of attorneys who have agreed that they are willing and able to represent students at low cost or on a pro bono basis. While current and former students will be able to use this list to help them retain an attorney, attorneys on the list will not be obligated to take any individual case.

On June 24, 2019, the University of Maryland Sexual Misconduct Policy was revised to incorporate provisions required by the new state laws from 2018 and 2019, and to align with the recent related changes to the USM Policy. The interim Policy incorporated two additional Sections: XI, Student Rights, and XII, Student Rights to an Attorney. These sections outline rights afforded to student parties throughout the process, including the right to an Advisor who may be an attorney. The sections also describe the new MHEC program through which current and former students may access counsel paid for by MHEC. The interim Procedures incorporated a statement indicating that parties who are students retain the rights outlined in the Policy throughout the process detailed in the Student, Faculty, and/or Staff Procedures.

## COMMITTEE WORK

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The Faculty Affairs Committee (FAC) began its review at its meeting on September 20, 2019. It reviewed the interim University of Maryland Sexual Misconduct Policy & Procedures, the USM Policy on Sexual Misconduct, Senate Bill 396 (Higher Education – Legal Representation Fund for Title IX Proceedings), and Senate Bill 607 (Higher Education – Sexual Assault Policy – Disciplinary Proceedings Provisions). The FAC received feedback from representatives from the Office of Civil Rights & Sexual Misconduct (OCRSM) and the Office of General Counsel (OGC) during its review. The FAC also worked in close consultation with the EDI, Staff Affairs, and Student Conduct Committees, which were tasked with reviewing the Policy and the Staff and Student Procedures, respectively. The committees worked collaboratively to ensure that any revisions to the Policy were aligned with the corresponding information in the Procedures, and to ensure that the Procedures for each constituency articulated the same rights and responsibilities for all Complainants and Respondents.

At its meetings on October 14 and October 31, 2019, the FAC reviewed the EDI Committee’s recommended revisions to the Sexual Misconduct Policy. The FAC revised the Faculty Sexual Misconduct Complaint Procedures to align with the EDI Committee’s revisions to the Sexual

Misconduct Policy and to ensure that certain rights established in the Policy were included in the Procedures.

The FAC noted that its charge was narrowly focused on ensuring the Faculty Sexual Misconduct Complaint Procedures reflect recent changes in state law and USM policy. However, the FAC identified a few additional items related to the Procedures that should be considered more fully in the future. Members noted concerns with how the Procedures are applied to those with a Junior Lecturer faculty title who are also graduate students. Members also raised questions about the process detailed in the Faculty Procedures and what role the Associate Provost for Faculty Affairs should have during an investigation process. The committee agreed to make an administrative recommendation that the Faculty Procedures be reviewed at a future date to consider issues such as these in more detail.

After due consideration, the Faculty Affairs Committee voted to approve the revised Faculty Sexual Misconduct Complaint Procedures and an administrative recommendation through an email vote ending on November 13, 2019.

## **RECOMMENDATIONS**

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The Faculty Affairs Committee recommends that the Faculty Sexual Misconduct Complaint Procedures be revised as indicated in the document immediately following this report.

The Faculty Affairs Committee recommends that it be charged to conduct a comprehensive review of the Faculty Sexual Misconduct Complaint Procedures in order to address concerns raised in the course of its review of the interim Procedures.

## **APPENDICES**

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Appendix 1 — Past Senate Action on University of Maryland Sexual Misconduct Policy & Procedures

Appendix 2 — Charge from the Senate Executive Committee

## **APPENDIX C: FACULTY SEXUAL MISCONDUCT COMPLAINT PROCEDURES**

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  - C. Party Obligations
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## APPENDIX C: FACULTY SEXUAL MISCONDUCT COMPLAINT PROCEDURES

### I. OVERVIEW

These procedures (“Faculty Procedures”) set forth in Appendix C accompany the University of Maryland (UMD) Sexual Misconduct Policy (the “Policy”) and are the exclusive procedures that govern the handling of all reports or complaints of Sexual Misconduct against UMD faculty. Key terms used herein are defined in the Policy. For example, Sexual Misconduct is an umbrella term defined in the Policy that encompasses Dating Violence, Domestic Violence, Sexual Violence, Sexual Coercion, Sexual Harassment, Sexual Assault, Sexual Exploitation, Sexual Intimidation, Relationship Violence, and Stalking.

For purposes of the Policy and these Faculty Procedures, faculty include all University employees with faculty rank as described in II-1.00(A) University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty at <http://president.umd.edu/administration/policies/section-ii-faculty/ii-100a>.

Employees other than those with faculty rank are governed by the Staff Sexual Misconduct Complaint Procedures (*see Appendix B*). These Faculty Procedures replace all procedures previously in effect pertaining to the investigation and resolution of Sexual Misconduct complaints against faculty at UMD.

**Student Rights set forth in Sections XI and XII of the Policy apply throughout the process set forth in these Faculty Procedures.**

### II. RIGHTS TO SUPPORT PERSON AND ADVISOR

Throughout the process, any party may be accompanied to any meeting related to an investigation and resolution of a complaint by up to two (2) other people: (1) a Support Person, and/or (2) an Advisor. Meetings include, but are not limited to, meetings with the Office of Civil Rights & Sexual Misconduct (OCRSM), investigative interviews, document reviews, and Alternative Resolutions.

~~All Student Rights set forth in Sections XI and XII of the Policy apply to parties who are students through the process set forth in these Faculty Procedures.~~

#### A. Support Person

A party may choose to be accompanied by a Support Person of their choice, at their own initiation and expense. A Support Person is someone who can provide emotional, logistical, or other kinds of assistance. The Support Person cannot be a witness or provide evidence in the case. The Support Person is a non-participant who is present to assist a Complainant or Respondent by taking notes, providing emotional support and reassurance, organizing documentation, or consulting directly with the party in a way that does not disrupt or cause any delay. A Support Person shall not be an active participant and the parties must speak for themselves.

#### B. Advisor

## APPENDIX C: FACULTY SEXUAL MISCONDUCT COMPLAINT PROCEDURES

A party may choose to be assisted by an Advisor of their choice, **including who may be** an attorney, at their own initiation and expense. The Advisor is a non-participant who is present to provide advice and consultation to a party. An Advisor cannot be a witness or provide evidence in a case. If necessary, a party may request a recess in order to speak privately with an Advisor. An Advisor shall not be an active participant. The parties must speak for themselves. An Advisor may not delay, or otherwise interfere with, the University's process.

**Student Complainants and Respondents may elect to retain an attorney to serve as their Advisor, though assistance by an attorney is not required. The Maryland Higher Education Commission (MHEC) has developed resources to assist current and former students in retaining an attorney to serve as an Advisor at no or low cost to the student. MHEC will provide a list of licensed attorneys who have indicated that they may represent students in Title IX proceedings on a pro bono basis or for reduced legal fees. A student's attorney may seek reimbursement of certain legal costs and fees from MHEC's Legal Representation Fund for Title IX Proceedings, subject to the availability of funding.**

### C. Party Obligations

Throughout the process, the Title IX Officer or designee, Investigators, and other University representatives will communicate and correspond directly with the parties, not through a Support Person or Advisor. Parties are responsible for ensuring that Support Persons and Advisors follow the non-party participation requirements below. When a party wishes to have a Support Person and/or Advisor accompany them to a meeting, the party must notify the OCRSM in advance. Parties are also responsible for making sure appropriate authorization exists (e.g., authorization related to the Family Educational Rights and Privacy Act [FERPA]) for the University to communicate the non-party participation requirements below to any Support Person or Advisor.

### D. Non-Party Participant Requirements

All Support Persons and Advisors must review the materials about the scope of their respective roles, prior to accompanying a party to any meeting or other activity. These materials may be obtained online at the OCRSM website, [www.umd.edu/ocrsm/](http://www.umd.edu/ocrsm/) or from the OCRSM directly. This is to ensure the Support Persons and Advisors are informed about the process and their respective roles. All parties, Support Persons, and Advisors are expected to understand their roles and adhere to the University's expectations regarding decorum and privacy considerations.

## III. REPORTING

**Faculty, staff, students, and third parties may report Sexual Misconduct on their own behalf or on behalf of others. ~~Complaints and other~~ Reports of Sexual Misconduct against faculty may be made to the OCRSM. Reports may also be made to any Responsible University Employee (RUE). An RUE, as defined by the Policy, includes all University administrators, supervisors in non-confidential roles, faculty members, campus police, coaches, athletic trainers,**

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resident assistants, and non-confidential first responders. RUEs are required to share all reports of Sexual Misconduct they receive promptly with the Title IX Officer or designee.

Students may also report Sexual Misconduct against faculty to the Office of Student Conduct (OSC), or to the Office of Rights & Responsibilities (R&R) in the Department of Resident Life.

Prompt reporting of Prohibited Conduct is encouraged so that the University can take immediate and corrective action to eliminate the misconduct, prevent its recurrence, and address its effects. The University will provide support and assistance to the Complainant and respond according to the steps outlined in these Faculty Procedures. As described in section IV.C, upon receipt of any report, the Title IX Officer or designee will make an immediate assessment of the risk of harm to the parties or to the University community and will take steps necessary to address any risks. These steps may include working with the Office of Faculty Affairs and other campus offices to facilitate Interim Protective Measures (as described in section IV.D) that provide for the safety of the parties and the University community, when appropriate.

A Complainant may choose to make a report to the University and pursue resolution under these Faculty Procedures, and may also choose to make a report to law enforcement. A Complainant may pursue either of these options or both options at the same time. The criminal process and the University's internal process under these Faculty Procedures are separate and independent. A Complainant who wishes to pursue criminal action should contact campus police or external law enforcement directly. See Policy section VII for more information on criminal reporting.

The University recognizes that deciding whether to report Sexual Misconduct and proceed with a formal complaint under these Faculty Procedures is a personal decision that may evolve over time. While prompt reporting is strongly encouraged, there is no time limit for reporting Sexual Misconduct. The OCRSM will coordinate with the appropriate University office to provide support and assistance to each Complainant in making important decisions related to reports of Sexual Misconduct. Consistent with the goal of safety for all University community members, the University will make every effort to respect a Complainant's autonomy in making their own personal decisions after reporting Sexual Misconduct. However, when appropriate, the University, through the OCRSM, retains the right to initiate a formal complaint on its own, independent of any individual's decision as to how they wish to proceed.

### **IV. COMPLAINT INTAKE PROCESS**

#### **A. Notification to the Complainant**

Upon receipt of a complaint, the OCRSM will ensure that the Complainant is provided with a copy of the Policy and Faculty Procedures and is informed of their rights and responsibilities. The OCRSM will provide information to the Complainant about the University's internal administrative complaint process and review with them their respective rights and responsibilities. The Complainant will be informed of available community and campus resources and services; their right to a Support Person and the Support Person's role; their right to an Advisor and the Advisor's role; their right to file a report with law enforcement; and the

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University's prohibition against retaliation. The Complainant will have an opportunity to ask questions and seek additional information.

### **B. Requests for Confidentiality**

Whenever possible, the OCRSM will take action consistent with the Complainant's expressed wishes regarding confidentiality. The University's ability to fully investigate and respond to a complaint may be limited if the Complainant requests that their name not be disclosed to the Respondent or declines to participate in an Investigation. When a Complainant requests their name or other identifiable information not be disclosed and/or that no further action be taken, the Title IX Officer or designee will seek to honor such requests, balancing the Complainant's wishes for confidentiality with the University's obligation to provide a safe and non-discriminatory environment for all members of the University community. The University retains the right to proceed with a complaint as necessary to meet its obligations, and in some cases, may not be able to honor a request for confidentiality.

### **C. Initial Assessment of Complaint**

When the University receives a complaint, the OCRSM will conduct an Initial Assessment. The Initial Assessment will determine whether the reported conduct constitutes a potential violation of the Policy, whether further action is warranted based on the reported conduct, and whether the University has jurisdiction over the parties.

The first step in the Initial Assessment is a preliminary meeting between the Complainant and the OCRSM to gather information that will enable the OCRSM to:

- Assess the nature and circumstances reported in the complaint;
- Assess the safety of the Complainant and of the University community;
- Implement any appropriate Interim Protective Measures;
- Assess for pattern evidence or other similar conduct by the Respondent when relevant to the safety assessment;
- Assess the Complainant's expressed preference regarding resolution, including any request that no further action be taken;
- Assess any request by the Complainant for confidentiality or anonymity; and
- Assess the reported conduct for possible referral to the University of Maryland Police Department (UMPD) for a timely warning under the Clery Act.

During the Initial Assessment, information will be shared with other units/administrators only as necessary to comply with Title IX requirements, and confidentiality will be maintained by the OCRSM and other administrators, to the extent possible. If communication is not necessary in order to comply with Title IX requirements, the dean, department chair, and/or other administrators will not be notified during the Initial Assessment.

At the conclusion of the Initial Assessment, the OCRSM will determine the appropriate next step(s), including but not limited to: no further action, the imposition of Interim Protective Measures, Alternative Resolution, and/or proceeding with an investigation. In cases where the Initial Assessment determines that the reported conduct does not constitute a potential violation

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under the Policy and no further action is warranted, the OCRSM will separately notify the parties of the resulting assessment and inform the Respondent of the nature of the complaint. After the parties have been notified, the OCRSM will also notify any administrators who had been contacted during the Initial Assessment of the results of the assessment.

When the Initial Assessment determines the reported conduct does not constitute a potential violation under the Policy, but may violate another University policy, the complaint may be referred to another appropriate University official for review and resolution.

When the Initial Assessment determines the alleged reported conduct does constitute a potential violation under the Policy, but reveals that the University lacks jurisdiction over the Respondent, the University will take available and reasonable steps to address the Sexual Misconduct, prevent its recurrence, and address its effects at the University.

### **D. Interim Protective Measures**

Based on the nature and circumstances of the complaint, the Title IX Officer or designee in consultation with appropriate University administrators may authorize Interim Protective Measures to ensure the safety and well-being of the Complainant and others in the University community, as appropriate. The Title IX Officer or designee will promptly inform the Respondent (if they are a member of the University community) of any Interim Protective Measures that will directly impact the Respondent and provide an opportunity for the Respondent to respond.

The OCRSM retains discretion to impose and/or modify any Interim Protective Measures based on all available information. Interim Protective Measures will remain in effect until the University's final resolution of the Sexual Misconduct complaint. Interim Protective Measures may be made permanent, as needed, after adjudication. A party may challenge the imposition of Interim Protective Measures, or a decision not to impose Interim Protective Measures, by contacting the OCRSM to address any concerns. Information about Interim Protective Measures can be found on page 11 of the Policy.

## **V. RESOLUTION PROCESSES**

### **A. Time Frame for Resolution**

Consistent with the goal of maximizing educational and working opportunities, remedying the effects of Prohibited Conduct, and promoting campus safety while minimizing the possible disruptive nature of the process, the OCRSM will strive to resolve all complaints within sixty (60) business days of receipt. In general, the investigation phase may last approximately four to five weeks and the adjudication phase may last an additional estimated four to five weeks. Good faith efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with the importance of resolving complaints in a timely and expeditious manner. The Title IX Officer may extend the general time frames for the completion of all required actions. If such an extension occurs, the parties will be notified in writing by the OCRSM.

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### B. Alternative Resolution Process

~~The Title IX Officer or designee has the discretion to determine whether a complaint is appropriate for Alternative Resolution and may propose Alternative Resolution to the Complainant as an option. The Complainant may then seek Alternative Resolution in lieu of an investigation and adjudication.~~

Alternative Resolution is a process whereby remedies and interventions may serve to address the alleged Prohibited Conduct without proceeding to an investigation and adjudication. Alternative Resolution is not appropriate for complaints involving ~~Sexual Violence, including~~ Sexual Assault **or Sexual Coercion**. Neither party is required to accept responsibility for the alleged Prohibited Conduct in order to proceed with Alternative Resolution. **Either party may request an Alternative Resolution process. At any time, either party** ~~The parties~~ may decide not to proceed with Alternative Resolution and may request an investigation and adjudication ~~at any time. The Title IX Officer retains discretion to terminate an ongoing Alternative Resolution process at any time.~~

**The Title IX Officer or designee has the discretion to determine whether a complaint is appropriate for Alternative Resolution and retains discretion to terminate an ongoing Alternative Resolution process at any time.**

The purpose of Alternative Resolution is to take appropriate action by imposing individual and community interventions and remedies designed to maximize the Complainant's access to educational, extra-curricular, and/or employment activities at the University; and/or to address the effects of the conduct on the larger University community. Any combination of interventions and remedies may be utilized, including but not limited to:

- Targeted or broad-based educational programming or training for relevant individuals or groups;
- Academic and/or housing modifications for Student Complainants;
- Workplace modifications and/or other administrative changes;
- Completion of projects, programs, or requirements designed to help the Respondent manage behavior, refrain from engaging in Prohibited Conduct, and understand why the Prohibited Conduct is prohibited; and
- Agreements to cease contact and limit access to specific University buildings or areas or forms of contact with particular persons.

The imposition of remedies or interventions obtained through Alternative Resolution may be achieved by an agreement acceptable to the parties and the University. The Title IX Officer or designee will work with the Faculty Ombuds Officer to facilitate the development of this agreement. In cases where an agreement is reached, the terms of the agreement are implemented and the matter is resolved and closed. In cases where an agreement is not reached, and the Title IX Officer or designee determines that further action is necessary, or if a Respondent fails to comply with the terms of the Alternative Resolution agreement, the matter may be referred for investigation and resolution under these Faculty Procedures.

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Where the Complainant, Respondent, and the University have reached an Alternative Resolution agreement, the parties will be provided with a copy of the agreement. The Office of Faculty Affairs will also receive a copy of the agreement. Entering into Alternative Resolution and signing an agreement does not mean that the Respondent admits responsibility; nor does it mean that there has been a finding of a Policy violation.

### C. Investigation Process

When the Initial Assessment determines the University has jurisdiction over the Respondent and the alleged conduct, and where Alternative Resolution is not appropriate or the Respondent fails to comply with the terms of an Alternative Resolution agreement, an investigation will occur.

#### 1. Notice of Investigation

In the event of an investigation, the Investigator will send a written *Notice of Investigation* and *Notice of Rights and Responsibilities* to both parties.

The *Notice of Investigation* will contain the circumstances of the alleged incident (which generally will include, to the extent known, the name of the Complainant and the date, time, and location), the Prohibited Conduct alleged as defined by the Policy, and the range of potential disciplinary actions associated with the Prohibited Conduct. Both parties will also be informed that they will have an opportunity to be heard regarding the complaint during the investigation process, including the opportunity to be heard during separate interviews with an Investigator regarding the alleged Sexual Misconduct.

#### 2. Notice of Rights and Responsibilities

Both parties will be provided with a copy of the Policy and Faculty Procedures and informed of their rights and responsibilities pursuant to the Policy. This includes but is not limited to: no contact directives (and provided a copy), prohibitions against retaliation and guidance about reporting any retaliatory conduct, **the right to the presence of a Support Person and/or an Advisor**, and available community and campus resources and services.

#### 3. Standard of Review

In making a determination about whether a Policy violation has occurred, the standard of review is preponderance of the evidence. A preponderance of the evidence means “it is more likely than not **that the violation occurred.**” **This is the same standard of review that is used in other disciplinary proceedings of the institution.** ~~Thus, a~~At the conclusion of the investigation phase, based on the information gathered, a recommended finding will be made as to whether it is more likely than not that the reported conduct occurred and that it constituted Prohibited Conduct in violation of the Policy.

#### 4. Role of the Investigator

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The Title IX Officer or designee will designate one or more Investigator(s) from the OCRSM and/or an external Investigator to conduct a prompt, thorough, fair, and impartial investigation. All Investigators will receive annual training on issues related to sexual and gender-based harassment, Sexual Assault, Dating Violence, Domestic Violence, and Stalking. The training will also include how to conduct a fair and impartial investigation that provides parties with notice and a meaningful opportunity to be heard, as well as how to protect the safety of Complainants and the University community while promoting accountability.

### 5. Overview of the Investigation

The investigation is an impartial fact-gathering process. It is an important stage in which both parties have an opportunity to be heard regarding the complaint. During the investigation the parties will each have an opportunity to meet and speak with the Investigator, provide any relevant information about the reported conduct, **submit evidence**, and identify persons they believe the Investigator should speak with **as witnesses** because they believe they have relevant information. **The Investigator will determine whether and how the evidence and witnesses submitted by the parties will be factor in to the Investigation.** The Investigator will speak separately with both parties and any other individuals who may have relevant information. The Investigator will also gather any available physical evidence or documents, including prior statements by the parties or witnesses, communications between the parties, email messages, text messages, social media materials, and other records, as appropriate and available.

#### a. Special Considerations

Information related to the prior sexual history of either party is generally not relevant to the determination of a Policy violation. However, prior sexual history between the parties may be relevant in very limited circumstances. For example, where there was a prior or ongoing consensual relationship between the parties, and where Consent is at issue in the case at hand, evidence as to the parties' prior sexual history as it relates to Consent may be relevant to assess the manner and nature of communications between the parties. As noted in the Policy, however, the mere fact of a current or previous dating or sexual relationship, by itself, is not sufficient to constitute Consent. Sexual history will never be used for purposes of illustrating either party's individual character or reputation. The Investigator will determine the relevance of prior sexual history and inform the parties if information about the parties' sexual history with each other is deemed relevant.

At the discretion of the OCRSM, multiple reports may be consolidated in one investigation if the information related to each incident is relevant in reaching a determination. Matters may be consolidated where they involve multiple Complainants, multiple Respondents, or related conduct involving the same parties, provided that it does not delay the prompt investigation and resolution of complaints.

#### b. Draft Report

At the conclusion of the investigation, the Investigator will draft a written investigation report that summarizes the information gathered (including, but not limited to, the names of witnesses and summaries of their statements), and synthesizes the areas of agreement and

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disagreement between the parties.

### **c. Notice of Opportunity to Review the Draft Investigation Report**

Before the investigation report is finalized, the parties will be given an opportunity to review and respond to the draft report. Upon receipt of notice to review the draft report, the parties will each have five (5) business days to review the report and all underlying documents and submit written comments, information, and/or questions to the Investigator. If there is any new or additional information to be provided by either party, it must be presented to the Investigator at this time. If further investigation is warranted based on the comments, information, and/or questions provided during the review period, the Investigator will continue the investigation, as needed.

## **6. Recommended Finding**

Upon timely receipt of any additional information or comments from the parties or after the five (5) business day comment period has lapsed with no comments provided, and the investigation is complete, the Investigator will finalize the investigation report.

The final investigation report will include all relevant information obtained in the course of the investigation, an analysis and proposed findings of material fact, and a recommended finding of whether or not a Policy violation occurred by a preponderance of the evidence.

## **7. Independent Review of the Finding**

The final investigation report and the recommended finding will be automatically reviewed by a Standing Review Committee (SRC). The SRC is composed of three (3) members from the University community who have had no previous involvement with the case, and have been trained to review such cases. The SRC will include at least one (1) member from the constituency (faculty, staff, or student) of each party. SRC members are obligated to disclose to the OCRSM any known conflicts prior to participating in any specific SRC review. Conflicts or familiarity with the individuals involved in the matter that are disclosed to the OSC will automatically disqualify an individual SRC member from participation in any particular review.

The SRC will review the final investigation report and consider whether the recommended finding is supported by the information obtained in the course of the investigation. The SRC will confine its consideration to a review of the written record. The SRC may speak with the Investigator when clarification about the final investigation report is needed and/or to issue specific instructions to the Investigator for further investigation. The results of any additional requested investigation will be reported to the SRC.

Once any additional investigation is complete, the SRC will issue its determination on the recommended finding. The SRC will make one of two possible decisions:

- Approve the recommended finding; or
- Reject the recommended finding.

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The SRC must issue a written decision to the OCRSM within five (5) business days of receipt of the final investigation report and/or receipt of any additional information resulting from additional requests to the Investigator by the SRC.

After the SRC issues its written determination, the OCRSM will issue a *Notice of Finding*, which will include a range of potential disciplinary actions associated with the finding. The *Notice of Finding* will be sent to the parties and the Office of Faculty Affairs, along with the SRC determination and a copy of the final investigation report, including any additional information resulting from additional investigation.

Either or both parties may appeal the finding in accordance with section VI below.

### **VI. APPEAL OF FINDING**

Either or both parties may appeal the finding. An appeal must be submitted to the OCRSM or designee in writing within five (5) business days of the date of receipt of the *Notice of Finding*. Appeals submitted after five (5) business days shall be denied. If an appeal is received on time, the other party will be notified and given five (5) business days from the date of receipt of the notice to respond. Responses shall be submitted directly to the OCRSM or designee. Appeals and responses filed by each party will be shared with the other party and considered together in one appeal review process. If neither party submits an appeal, the finding is final after five (5) business days. Appeals will be decided by an SRC Appellate Body (as defined in section VI. C below).

#### **A. Overview**

The scope of the appeal is limited to the grounds set forth below. Dissatisfaction with the investigation outcome is not a valid basis for appeal. Appeals are not intended to allow for a second review of the same facts of the case or to reconsider whether there was a Policy violation based on the same facts of the case. In most cases, appeals are confined to a review of the written record and the grounds for appeal submitted by the parties.

#### **B. Grounds for Appeal**

Grounds for appeal shall be limited to:

##### **1. Substantial Procedural Error**

Specified procedural errors or errors in interpretation of University policy that were so substantial as to effectively deny a Complainant or a Respondent notice or a fair opportunity to be heard. Mere deviations from procedures that were not so substantial as to deny a Complainant or Respondent notice or a fair opportunity to be heard will not be a basis for sustaining an appeal.

##### **2. New Evidence**

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New and significant relevant information has become available which a reasonably diligent person could not have discovered during the Investigation.

When the basis of the Appeal is new evidence, the SRC Appellate Body will determine whether the information is new and was unavailable at the time of the investigation. If the SRC Appellate Body determines that the information is not new and was available at the time of the investigation, the Appeal will be denied. If the information is determined to be new and unavailable at the time of the investigation, the SRC Appellate Body will make a determination as to whether the new information could change the outcome of the investigation. If the SRC Appellate Body determines that the new evidence could change the outcome, the case will be sent back to the Investigator for further investigation. After new evidence is considered, the OCRSM will then provide the SRC Appellate Body with a modified report and findings, as appropriate. Copies of the modified report and findings, if any, will also be provided to the parties. The modified report will be considered by the SRC Appellate Body. The SRC Appellate Body will then decide to affirm the recommendations of the modified report, reject them, or ask for additional investigation.

### **C. SRC Appellate Body**

The Standing Review Committee (SRC) Appellate Body is the designated appellate body for all appeals of findings under these Faculty Procedures. The SRC Appellate Body is composed of three (3) members (faculty, staff, and/or students), depending on the case. SRC Appellate Body members shall be members from the University community who have had no previous involvement with the case, and have been trained to review such cases. The SRC Appellate Body will include at least one (1) member from the constituency (faculty, staff, or student) of each party.

### **D. Appeal Outcome**

The SRC Appellate Body may:

- Affirm the finding;
- Reject the finding; or
- Remand the case back to the Investigator for further investigation.

The SRC Appellate Body Chair will render a written decision on the appeal to the Title IX Officer or designee, with a copy to the Senior Vice President and Provost or designee, within five (5) business days from the date of the submission of all appeal documents. The SRC Appellate Body Decision is final and may not be further appealed.

## **VII. REMEDIES AND DISCIPLINARY ACTION**

### **A. Impact Statement and Mitigation Statement**

Whenever there has been a finding of responsibility, before the University issues any remedies or imposes disciplinary action, if any, both parties have the opportunity to submit statements for

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consideration by the Office of Faculty Affairs within five (5) business days from the date of receipt of the *Notice of Finding*. In the event of an Appeal, Impact and Mitigation Statements may be submitted within three (3) business days from the date of receipt of the SRC Appellate Body Decision.

The Complainant may submit a written Impact Statement to the Office of Faculty Affairs describing the impact of the Prohibited Conduct on the Complainant.

The Respondent may submit a written Mitigation Statement to the Office of Faculty Affairs explaining any factors the Respondent believes should mitigate or otherwise be considered in determining appropriate remedies and/or recommended discipline, if any.

The parties' respective statements will be considered by the Office of Faculty Affairs and not shared with the other party.

### B. Remedies

The Title IX Officer or designee, in consultation with the Office of Faculty Affairs, will identify reasonable short-term and/or long-term remedies to address the effects of the conduct on the Complainant and prevent its reoccurrence. Such remedies seek to restore to the Complainant, to the extent possible and within reason, the benefits and opportunities lost as a result of the Prohibited Conduct. The Title IX Officer or designee may also identify remedies, such as training for specific audiences, to address the effects of the conduct on the larger University community. Remedies are separate from disciplinary action and may occur independently of or concurrently with any disciplinary action that is imposed.

Remedies for student Complainants under these Faculty Procedures may include, but are not limited to:

- **Support measures** such as extended classwork deadline, or flexible deadlines, change of venue for taking an exam, change in exam date, and/or retaking of an exam;
- **Academic accommodations** such as retroactive drop from a particular class, retroactive withdrawal from a semester, policy exemption requests, and/or tuition reimbursement; and
- **Housing accommodations.**

Other remedies for Complainants may include, but are not limited to:

- Workplace modifications and other administrative changes, no contact orders, denial of access, schedule changes, counseling, and/or referral to outside agencies.

### C. Disciplinary Action

When there is a finding of responsibility, and all appeals under these Faculty Procedures, if any, have been exhausted, the Office of Faculty Affairs, in consultation with the Title IX Officer or designee, will determine the appropriate disciplinary action, if any.

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To determine what type of disciplinary action is most appropriate, the Office of Faculty Affairs in consultation with other appropriate administrator(s) shall consider the following:

- The nature of the misconduct at issue;
- The impact of the misconduct on the Complainant;
- The impact or implications of the misconduct on the community or the University;
- Any prior Sexual Misconduct by the Respondent at the University or elsewhere that is known to the University;
- Respondent's prior disciplinary history at the University; and
- Any other mitigating, aggravating, or compelling circumstances.

Discipline shall be imposed in accordance with all procedural due process rights afforded faculty based on their status in accordance with University policy and Maryland law. All faculty disciplinary action under these Faculty Procedures shall be approved by the Senior Vice President and Provost or designee.

### **1. Notice of Disciplinary Action**

When disciplinary action is to be imposed, upon approval by the Senior Vice President and Provost or designee, the Office of Faculty Affairs will issue a *Notice of Disciplinary Action* to the Respondent.

Disciplinary action will depend on the specific circumstances in each case and may include discipline ranging from a written reprimand up to and including termination of employment. Other administrative and/or non-disciplinary remedies may also be imposed, including but not limited to, no contact directives, and/or a change in work duties, work locations, or work schedules.

Discipline shall be imposed in accordance with all procedural due process rights afforded faculty based on their status in accordance with University policy and Maryland law.

## **VIII. GRIEVANCE RIGHTS**

Faculty may grieve disciplinary action in accordance with the rights afforded to them based on their specific faculty status.

## **IX. FINAL OUTCOME**

When all the procedures and/or grievance processes afforded to both parties under these Faculty Procedures, and the rights afforded to them based on their specific employment status have been exhausted, the Senior Vice President and Provost or designee will promptly notify the Title IX Officer or designee of any modification of the final outcome. The Title IX Officer or designee will notify the parties of any modification to the final outcome, except as prohibited by Maryland and federal law.

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### **X. RECORDS RETENTION**

The OCRSM shall maintain Initial Assessment, investigation, and outcome records in accordance with the University's record retention schedule.

The Office of the Senior Vice President and Provost, the department/unit head and/or Office of the Dean will maintain records of all disciplinary action, remedies, and grievances related to a complaint and any Alternative Resolution agreements.

### **XI. POST-RESOLUTION FOLLOW-UP**

After any disciplinary action and/or remedies are issued, if the Complainant agrees, the Title IX Officer or designee may periodically contact the Complainant to ensure the Prohibited Conduct has ended and to determine whether additional remedies are necessary. The Complainant may decline future contact at any time. The Title IX Officer or designee may periodically contact the Respondent to assure compliance with the intent and purpose of any disciplinary action and/or remedies that have been imposed. Any violation by a Respondent of the intent and purpose of any disciplinary action and/or remedies imposed under the Policy, or a failure by a University employee to provide a specified disciplinary action and/or remedy should be reported to the OCRSM.

The Complainant and Respondent are encouraged to provide the Title IX Officer or designee with feedback about their experience with the process and recommendations regarding ways to improve the effectiveness of the University's implementation of the Policy and Faculty Procedures.