



Title IX Investigator Training for K-12 Districts & COEs

**2022 Title IX Training Academy
Module 2 (Session 2)**

October 17, 2022

Presented by:

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SESSION TWO

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Agenda

- Reminder of Investigator Role
- Build a Draft Report of Evidence and Attachments
- Share Draft Report of Evidence with the Parties and Advisors
- Prepare & Share Final Investigative Report
- Application to Hypothetical: Undisputed and Disputed Material Evidence
- Conclusion



Reminder: Title IX Investigator Roles

Investigator Role:

- Prepares and provides a ***Draft Report of Evidence and Attachments*** to Complainant/Advisor & Respondent/Advisor for review and comment; investigator gathers more evidence and/or revises, as needed
- After considering responses, prepares and provides ***Final Investigative Report*** to Parties/Advisors for review and comment; report describes relevant disputed and undisputed material facts
- Investigator does ***not*** make factual findings or decision about whether Respondent has engaged in sexual harassment

BUILD A DRAFT REPORT OF EVIDENCE AND ATTACHMENTS

Draft Report of Evidence and Attachments

- Before completing the investigation, provide a ***Draft Report of Evidence and Attachments*** to both parties & advisors via electronic format or a hard copy.
 - Parties shall have an equal opportunity to inspect and review any evidence obtained during the investigation that is directly related to the allegations, including evidence which the investigator does *not* intend to rely upon, as well as inculpatory and exculpatory evidence regardless of where it was obtained, so the parties can meaningfully respond to the evidence *before* the conclusion of the investigation.
 - Prior to completion of the final investigative report, the parties must have at least 10 days to review the evidence and submit written responses for the investigator's consideration.
- During this review process, the investigator must share any new evidence with the parties and continue the investigation related to new information, if needed.
See 34 CFR §106.45(b)(5)(i-vii)

Contents of Draft Report of Evidence and Attachments

- Cover Page
- Body of Report with Headings
 - **Brief Introduction**
 - Date of formal complaint
 - Date investigator assigned
 - Name of Complainant and Respondent, with brief summary of allegation(s) against Respondent
 - Summary of scope of the investigation consistent with Notice of Allegations
 - *Type of writing:* Clear, concise, easy to read and understand; this section of the report sets the stage and provides first impression

Contents of Draft Report of Evidence and Attachments

- Body of Report with Headings, continued
 - **Investigative Background**
 - List witnesses interviewed
 - Note unavailable witnesses & efforts to reach, refusals to participate, or decisions not to interview
 - Note advisor names, if any
 - Note any advisements, protocols, releases, and/or agreements, if any
 - List documents reviewed, released, unavailable, withheld, or not sought
 - List evidence not considered, not released, unavailable, withheld, or not sought
 - Examples may include audio/visual information, previously deleted evidence, or privileged information (e.g., mental health files, SANE evidence, etc.)

Contents of Draft Report of Evidence & Attachments

- Body of Report with Headings, continued
 - **Investigative Background**
 - Relevant Policies and Procedures/Regulations guiding the investigation
 - Summarize and/or quote relevant parts
 - Evidentiary Standard for the Complaint Process
 - Preponderance of the Evidence or Clear and Convincing Evidence
 - Independence of the Investigator
 - Timing or Duration Issues
 - Other, if needed
 - *Type of Writing*: Demonstrates impartiality, fairness, and thoroughness of your investigation methods & your consideration of issues raised; preemptively addresses various reader questions (parties, decision-maker, appeal officer, etc.)

Contents of Draft Report of Evidence & Attachments

- Body of Report with Headings, continued
 - **Evidence Regarding Allegations**
 - Complainant's Allegations & Perspective
 - Include interview summary and summary of documents provided by Complainant, if any
 - Respondent's Response & Perspective
 - Include interview summary and summary of documents provided by Respondent, if any
 - Witness Perspectives
 - Include interview summary and summary of documents provided, if any, by each witness

Contents of Draft Report of Evidence & Attachments

- Body of Report with Headings, continued
 - **Evidence Regarding Allegations**
 - Documents or Other Evidence Gathered
 - Screenshots, photographs, text messages, videos, audio recordings, etc.
 - School calendars, bell schedules, and/or campus maps
 - Student or employee handbooks
 - Closing Statement
 - “This concludes the confidential Draft Report of Evidence”
 - *Type of Writing*: Write in a simple, clear, and “readable” style **without** altering the content or the meaning of the parties’ or witnesses’ testimony; use legal thinking to help identify and summarize the relevant, directly related, and material information for the parties, Decision-Maker, and other readers

SHARE DRAFT REPORT OF EVIDENCE WITH PARTIES AND ADVISORS

Consider Consent & Release Agreements

- Consider seeking Student/Parent Permission and Consent for the District to Share Evidence with Parties and Advisors
 - Seek written consent from Complainant for the District to speak with the Respondent and both party advisors about the specific Title IX complaint process
 - Seek written consent for the District to provide the Parties and Advisors with the opportunity to review the Draft Report of Evidence and Attachments or other confidential documents
 - The goal is to seek permission to review confidential pupil records within the Title IX complaint process and to maintain confidentiality outside of the Title IX complaint process
 - Query: Response to refusals to consent? Deny access to information?

Consider Consent & Release Agreements

- Consider seeking Agreement from Advisors Not to Disclose Confidential Information Outside of the Title IX Complaint Process
 - Seek agreement with Advisors to maintain the privacy and confidentiality of the records and evidence shared with Advisors during the complaint process
 - Seek agreement with Advisors not to share the records and evidence with other witnesses during the process or with the public outside of the Title IX process. Clarify that Advisors cannot use the records or evidence for purposes not explicitly authorized by the agreement
 - The District may restrict the role of any Advisor who does not respect the sensitive and confidential nature of the complaint process or who fails to abide by the District's privacy expectations; apply restrictions equitably

Consider Redaction, Initials, or Pseudonyms

- Another tool to help protect confidentiality is to provide the Draft Report of Evidence and Attachments with:
 - Use redacted names
 - Use initials instead of full names
 - Use pseudonyms (i.e., Complainant, Respondent, Witness 1, Witness 2, etc.)
- Provide a “key” to the Parties and Advisors via a different delivery method to reduce risk of public disclosure

Consider Logistics of Electronically Sharing Evidence

- Sharing the Draft Report of Evidence and Attachments Electronically
 - The goal is to allow the review of evidence with tools to maximize the confidentiality of the information and minimize the ability to share the confidential information or documents with people other than advisors
 - Consult IT staff about electronic options available within your organization
 - Electronic options may include, but are not limited to:
 - Dropbox
 - Google Drive
 - Adobe
 - One Hub
 - Box
 - Lock Lizard
 - One Drive

Consider Logistics of Physically Sharing Evidence

- Sharing a Physical Copy of the Draft Report of Evidence and Attachments
 - The goal is to provide a physical review of evidence while maximizing confidentiality and minimizing the ability to share confidential information or documents with people other than advisors
 - Provide physical documents for review on-site during arranged times
 - Locations may include conference room, empty classroom, after hours in library, or other office space
- Allow multiple opportunities and lengths of time for review
- Retrieve the physical documents after each review, and provide the same physical documents for additional reviews

Impact of Sharing Draft Report of Evidence

- During the review the evidence, the Parties or Advisors may:
 - Notice missing information
 - Review evidence that elicits an additional response, triggers a memory, helps identify other relevant documents or additional witnesses, and/or identifies additional questions for witnesses
 - Identify and understand the evidence that will **not** be relied upon during the complaint process
 - Seek informal resolution process before the determination
 - Identify potential investigator bias, conflict of interest, or lack of impartiality
- Investigator should report any issues to the Title IX Coordinator, as appropriate

**PREPARE & SHARE FINAL
INVESTIGATIVE REPORT**

Final Investigative Report - Overview

- Prepare a **Final Investigative Report** that **fairly summarizes the relevant evidence**
 - Relevant evidence includes the **who, what, where, when, why, and how** information for each **material** allegation within the scope of the investigation
 - Relevant evidence *may* also include pointing out the weight of the evidence related to consistency/inconsistency, corroboration/lack of corroboration, plausibility/improbability, opportunity/lack of opportunity to observe, and material omissions or admissions
- The Final Investigative Report helps the Decision-Maker understand the relevant evidence in order to help the Parties engage in written cross-examination and to ultimately make factual findings & a decision

Contents of Final Investigative Report

- Similar Organization of Draft Report and duplication
- Amend Title of Cover Page
- Mostly the Same Headings as the Draft Report
 - **Introduction**
 - **Investigative Background**
 - Update the Investigative Background to include the Party's feedback and any new evidence
 - **Evidence Regarding Allegations**
 - Update the Evidence Section with any new evidence obtained by the Parties or Witnesses
 - **Fairly Summarize the Relevant Evidence for the Parties and Decision-Maker**
 - **Identify Undisputed and Disputed Material Facts**
 - Mention Investigator's observations about the weight of the evidence

Share Final Investigative Report with Parties

- Provide the **Final Investigative Report** to each Party and the Party's Advisor(s) in an electronic format or hard copy for review and written response at least 10 days prior to the time of determination of responsibility by the Decision-Maker
- Investigator reviews written responses, attaches the written responses to the report, and delivers the Final Investigative Report to the Title IX Coordinator, Decision-Maker, and the Parties
- Unless the Decision-Maker has procedural questions or minor requests for additional information from the Investigator, the investigation phase of the Title IX complaint process is complete
- The Investigator could be called as a witness in a hearing, an appeal, or for a student or employee discipline hearing

Application: Undisputed and Disputed Material Evidence

- Compare Complainant's version of events (1-7) with Respondent's version of events (A-I)
 - What material information is **not** in dispute or **UNDISPUTED**?
 - Example: The Parties both attend pull-out speech sessions at the same time.
 - Example: The Complainant and Respondent went to the library after school on August 21, 2020, and the Librarian was present when the parties were there.
 - What material information is in dispute or **DISPUTED**?
 - Example: Respondent was flirting vs. Respondent was friendly like a sibling.
 - Example: Respondent chose a table far away from the Librarian to avoid bothering the Librarian vs. Respondent did not want the Librarian to observe/hear them.
 - **Discuss Audience Identification of Undisputed and Disputed Material Facts**

Conclusion: Seek Assistance When Needed

- The Title IX regulations and the Office for Civil Rights' commentary on the regulations include extensive, complex, and legalistic principles
- When in doubt, consider seeking:
 - Additional training opportunities
 - Advice from legal counsel
 - Opportunities to shadow an experienced investigator, or
 - Legal counsel review of your Draft Report of Evidence or your Final Investigative Report
 - Outside, trained professionals to investigate for your educational entity

Question
&
Answer
Session

Disclaimer

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Thank You

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Melissa Gallegos represents and advises California school districts, community college districts, and county offices of education in all education and employment law matters, including employee evaluation, discipline and dismissal, reasonable accommodation, interactive meetings, and restraining orders. She also assists with Uniform Complaint investigations and responses; California Public Records Act responses; collective bargaining issues; and defending employers against allegations of discrimination with the Department of Fair Employment and Housing and the Equal Employment Opportunity Commission. Ms. Gallegos also has significant experience in conducting prompt, thorough, and effective investigations.

While in law school, Ms. Gallegos was Networking Co-Chair and Co-President with La Raza de Loyola, Treasurer of the Immigration Law Society, and a member of the Public Interest Law Foundation. Ms. Gallegos also served as Production Editor of the *Loyola of Los Angeles International and Comparative Law Review*. Ms. Gallegos was awarded scholarships from Loyola Law School, the Mexican American Bar Foundation, the Latina Lawyers Bar Association, and the Loyola Marymount Jesuit Community.

Events & Speaking Engagements

Ms. Gallegos has co-presented on topics such as sexual harassment, mandated reporting, and workplace investigations. She has spoken before an audience of over 400 staff and administrators at a district-wide meeting and has presented at ACSA (Association of California School Administrators) Personnel Academy.

Publications

Ms. Gallegos contributes to the firm's publications.

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California Department of Justice,
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Equal Employment Opportunity
Commission
Legal Aid Foundation of Los Angeles

ADMISSIONS

2015, California
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PRACTICE AREAS

Education

LANGUAGES

Ms. Gallegos is proficient in Spanish.

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Through the power of teamwork, diverse minds can achieve greatness together.

Jacqueline Hang represents California public school districts, community college districts, and county offices of education in all areas of general education law; employment matters such as discrimination, harassment, dismissal, and reasonable accommodation requirements; student discipline issues such as harassment and bullying charges; and First Amendment rights. Ms. Hang conducts workplace investigations for public school districts, and provides legal counsel on matters involving human resources and student services. She is also a member of the firm's Title IX group. In addition, she provides counsel for a full range of legal issues relating to charter schools, including operational compliance review and monitoring, complaint investigations, petitions and appeals, and operating agreements.

Publications

Ms. Hang contributes to the firm's school law publications.

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- Sacramento County Bar Association, Member
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