

# USC'S SEXUAL MISCONDUCT RESOLUTION PROCESS





# HONORING NATIVE LANDS

We acknowledge that we are on the traditional land of the Tongva people. For thousands of years, the Tongva people lived on this land we occupy today, and were considered the most powerful indigenous peoples to inhabit the Los Angeles basin. Along with the Tongva, we also recognize the Chumash, Tataviam, Serrano, Cahuilla, Juaneno, and Luiseno People, for the land that USC also occupies around Southern California. We pay respects to their elders past and present. Please take a moment to consider the many legacies of violence, displacement, migration, and settlement that bring us here today. And please join us in uncovering such truths at any and all events.

# WHAT WE WILL COVER



- USC Policy on Discrimination, Harassment, and Retaliation
- USC Resolution Process for Sexual Misconduct
- Alcohol, Drugs, and Incapacitation
- USC Sexual Misconduct Resolution Process
- Practical Investigator Tips







USC POLICY ON PROHIBITED DISCRIMINATION, HARASSMENT, AND RETALIAION



# To Whom the Policy Applies

**√** 

Students and Post-Docs

 $\checkmark$ 

Staff

SCOPE:

✓ Faculty



**Third Parties** 

## Two Formal Resolution Tracks



If the <u>Formal Complaint</u> alleges *only* Discrimination (either Disparate Treatment or Disparate Impact), Hostile Environment Harassment (based on a protected class other than sex or gender), Quid Pro Quo Harassment (based on a protected class other than sex or gender), and/or Retaliation not relating to Sexual Harassment.

If the Formal Complaint alleges any of the following Prohibited Conduct:

 Title IX Sexual Harassment, including Sexual Assault, Dating and Domestic Violence, and Stalking; Sexual and Gender-Based Harassment; Nonconsensual Viewing, Recording and Dissemination; Exposure; Other Forms of Dating and Domestic Violence; and/or Retaliation relating to Sexual Harassment.



<u>Investigation</u> by a trained investigator free of conflict of interest or bias. During the investigation, both parties provided an equal opportunity to present witnesses, including fact and expert witnesses, and other <u>inculpatory</u> and exculpatory evidence.



**Evidence Review**: Parties may review and respond to all information gathered in the investigation that is directly related to the allegations.



<u>Investigative Report</u> issued to both parties, which includes a determination regarding responsibility.



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<u>Investigative Report</u> issued to both parties, which includes a determination whether the conduct alleged, if substantiated, requires a hearing with cross-examination.



<u>Live Hearing</u> with: (1) cross-examination by the parties' advisors, and (2) rules that limit what evidence that may be considered in making a determination of responsibility.



<u>Notice of outcome</u> issued to the parties that includes a determination regarding responsibility.



<u>Sanctioning Panel</u> convenes if there is a finding of responsibility to determine an appropriate sanction. Panel determined by status of Respondent.



<u>Appeal</u> for: (1) procedural irregularity, (2) new evidence, or (3) conflict of interest or bias. Appellate authority determined by status of Respondent.

<u>Sanctioning Panel</u> convenes if there is a finding of responsibility to determine an appropriate sanction. Panel determined by status of Respondent.



<u>Appeal</u> for: (1) procedural irregularity, (2) new evidence, or (3) conflict of interest or bias. Appellate authority determined by status of Respondent.

#### Prohibited Conduct: Title IX Sexual Harassment



Title IX's implementing regulations define Sexual Harassment as conduct on the basis of sex that satisfies one or more of the following:

A University employee conditions the provision of an aid, benefit, or service of the University on an individual's participation in unwelcome sexual conduct;

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 University's education program or activity; or

Sexual Assault, Dating Violence, Domestic Violence, Stalking, and Retaliation.

#### Prohibited Conduct: Other Forms of Sexual Misconduct



Sexual Harassment • Sexual Harassment also includes any sexual advance, request for sexual favors, or other unwelcome conduct of a sexual nature, whether verbal, non-verbal, graphic, physical, electronic, or otherwise when one or more of the following conditions are present:

Quid Pro Quo

• Submission to or rejection of such conduct is either an explicit or implicit term or condition of, or is used as the basis for decisions affecting, an individual's educational environment, employment, living environment, appointment, admission, or academic evaluation.

Hostile Environment • The conduct is sufficiently **severe**, **pervasive**, **or persistent** that it has the purpose or effect of unreasonably interfering with, limiting or depriving an individual from participating in or benefiting from the University's learning, working, or living programs under both a subjective and objective perspective.

#### Prohibited Conduct: Other Forms of Sexual Misconduct



Gender-Based Harassment  Gender-Based Harassment is any act of intimidation or hostility, whether verbal or non-verbal, graphic, physical, or otherwise based on sex or gender, sexual orientation, gender identity, or gender expression, even if the acts do not involve conduct of a sexual nature; when one or more of the following conditions are present:

Quid Pro Quo

• Submission to or rejection of such conduct is either an explicit or implicit term or condition of, or is used as the basis for decisions affecting, an individual's educational environment, employment, living environment, appointment, admission, or academic evaluation.

Hostile Environment • The conduct is sufficiently **severe**, **pervasive**, **or persistent** that it has the purpose or effect of unreasonably interfering with, limiting or depriving an individual from participating in or benefiting from the University's learning, working, or living programs under both a subjective and objective perspective.



**Sexual assault** is **having or attempting to have** sexual contact with another individual without consent or where the individual cannot consent because of age or temporary or permanent mental incapacity (see below for definition of consent and incapacitation).

#### Sexual contact includes:

- a. sexual intercourse (anal, oral, or vaginal), including penetration with a body part (e.g., penis, finger, hand, tongue) or an object, or requiring another to penetrate themselves with a body part or an object, however slight; or
- b. sexual touching of the private body parts, including, but not limited to, contact with the breasts, buttocks, groin, genitals, or other intimate part of an individual's body for the purpose of sexual gratification.



**Consent** must be affirmative. "Affirmative consent" means affirmative, conscious, and voluntary agreement to engage in sexual activity. It is positive cooperation in act and attitude made with knowledge and agreement to the nature of the act.

Consent cannot be obtained through physical force, threats, or coercion, or by taking advantage of another person's incapacitation. Coercion is conduct, including intimidation or express/implied threats of immediate or future physical, emotional, financial, or reputational harm to the Reporting Party or another, which would place a reasonable person in fear they will be injured or harmed if they do not submit.

It is the responsibility of each individual involved to ensure they have the affirmative consent of the other(s) to engage in each act of sexual activity.

#### Prohibited Conduct: Domestic Violence and Dating Violence



Domestic Violence includes any act of violence committed by a current or former spouse or intimate partner of the Reporting Party, by an individual with whom the Reporting Party shares a child in common, by a person who is cohabitating with, or has cohabitated with, the Reporting Party as a spouse or intimate partner, by a person similarly situated to a spouse of the Reporting Party under California state law, or by any other individual against an adult or minor Reporting Party who is protected from that individual's acts under California state law.

#### **Dating Violence** includes any act of violence committed by an individual:

- a. who is or has been in a social relationship of a romantic or intimate nature with the Reporting Party; and
- b. where the existence of such a relationship shall be determined based on a consideration of the following factors:
  - The length of the relationship;
  - ii. The type of relationship; and
  - iii. The frequency of interaction between the individuals involved in the relationship.

#### Prohibited Conduct: Other Forms of Sexual Misconduct



Other Forms of Dating and Domestic Violence: In addition to the definitions above, which require an act of violence to establish Dating Violence or Domestic Violence, the University also prohibits non-physical conduct that would cause a reasonable person to be fearful for their safety. Examples include economic abuse and behavior that intimidates, frightens, or isolates; conduct can involve one act or an ongoing pattern of conduct.

In evaluating non-physical conduct, the University considers whether the conduct is sufficiently severe, persistent or pervasive that it:

- (i) unreasonably interferes with, limits, or deprives an individual from participating in or benefitting from the university's education or employment programs, activities, or living environment or
- (ii) causes substantial emotional distress.

The totality of known circumstances, including the nature, frequency, intensity, location, context, and duration of the conduct, will be considered from both a subjective and objective perspective.

## **Prohibited Conduct: Stalking**



**Stalking** occurs when an individual engages in a course of conduct directed at a specific individual under circumstances that would cause a reasonable person to fear for their own safety or the safety of others or suffer substantial emotional distress.

"Course of conduct" means **two or more instances**, including but not limited to unwelcome acts in which an individual directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about an individual, or interferes with an individual's property.

"Substantial emotional distress" means significant mental suffering or anguish.

Stalking includes the concept of cyber-stalking, a particular form of stalking in which electronic media such as the internet, social networks, blogs, cell phones, texts, or other similar devices or forms of contact are used.

#### Prohibited Conduct: Other Forms of Sexual Misconduct



#### Nonconsensual Viewing, Recording, and Dissemination:

This type of conduct involves one or more of the following behaviors committed for any purpose, including sexual arousal or gratification, financial gain, or other personal benefit:

- Observing or recording by any means the nudity or sexual activity of another without the knowledge and consent of all individuals involved;
- ii. Allowing another to observe or record the nudity or sexual activity of another without that person's knowledge and consent;
- iii. Sharing images or recordings of the nudity or sexual activity of another without that person's knowledge and consent.

**Exposure**: Exposure of the genitals to another without that individual's consent under circumstances where there is not a reasonable expectation of privacy.



Retaliation means any adverse action, intimidation, threat, coercion, or discrimination against an individual taken for the purpose of interfering with any right or privilege secured by this Policy or federal, state, or local laws or ordinances, and their implementing regulations (e.g., protesting, making a report), or because the individual has made a report or Formal Complaint of Prohibited Conduct, testified, assisted, or participated or refused to participate in any manner in any investigation, proceeding or hearing under this policy.

Retaliation includes such conduct through associates or agents of a Reporting Party, Respondent, or participant in any investigation or proceeding related to this Policy.





ALCOHOL, DRUGS, AND INCAPACITATION

#### The Role of Alcohol



- Central nervous system depressant
- Impairs cognition and psychomotor skills
- Progressively impairs all body functions
- Decreases inhibitions
- Impairs perceptions
- May cause blackouts or loss of consciousness
- May cause memory loss
- Effects exacerbated when mixed with other drugs

- Intoxication breeds vulnerability
- A person may be less likely to think someone is trying to sexually assault him/her
- A person intent on harming another may not need to use physical force
- A person may not realize incident has occurred
- A person may delay in reporting for multiple reasons
- No toxicological evidence of BAC/impairment level due to delay in report



- Lack of memory
- Inability to give detail
- Person may have been unconscious or in and out of consciousness
- Delay in reporting because:
  - May not know event occurred
  - May not recognize it as lack of consent
  - Feeling of "contributory negligence"
  - Concerns over conduct policy consequences

### Incapacitation



**Incapacitation:** Consent cannot be obtained by taking advantage of another individual's incapacitation. Incapacitation is the inability, temporarily or permanently, to give consent because the individual is mentally and/or physically helpless, either voluntarily or involuntarily, or the individual is unconscious, asleep, or otherwise unaware that the sexual activity is occurring. An individual who is incapacitated is not capable of giving valid, affirmative consent.

Incapacitation means an individual cannot understand the fact, nature, or extent of the sexual activity. An incapacitated individual lacks the physical and mental capacity to make informed, reasonable judgments about whether or not to engage in sexual activity. An individual who is incapacitated may not be able to understand where they are, whom they are with, how they got there, or what is happening.

## **Evaluating Affirmative Consent**



In evaluating affirmative consent in cases involving incapacitation, the University considers the totality of available information in determining two issues:

- 1. Did the Respondent know the Reporting Party was incapacitated? or, if not,
- 2. Would a sober, reasonable individual in a similar set of circumstances as the Respondent have known that the Reporting Party was incapacitated?

## Frame Questions Appropriately



- Be aware that questions about drugs and alcohol are often subject to misinterpretation
- Explain amnesty for Reporting Party and witnesses
- Commit to clarity on why you are asking
- Explain the reasons for your questions
  - Assessing for incapacitation
  - Evaluating the "lens" through which the party or witness observed the events (opportunity to see, hear, understand, and remember)
- Explain that you will ask similar questions of all witnesses
- Invite the witness to ask questions before you go further

### **Obtain Detailed Information**



- Timeframe of consumption (first drink, last drink, spacing)
- Number of drink
- For each drink:
  - Type (beer, wine, liquor with specific brand, if possible)
  - Was it mixed with anything? Who mixed it?
  - How was it served? (Bar or restaurant will lead to more available information)

## **Obtain Detailed Information**



List of others present and when they were there

- Other factors that affect the impact of alcohol:
  - Food consumed before, during, and after and whether food intake was normal or abnormal for the person
  - Height and weight
  - Medications
  - Different sleep patterns
  - Illness
  - Low hydration
  - History of blackouts

#### **Obtain Detailed Information**



- Reporting Party's experience of their own intoxication (subjective):
  - Loss of consciousness/lack of memory get the "bookends" of memory
  - Physical impairments walking, standing, sitting, grasping, keeping head upright, ability to text, ability to remove one's own clothing, incontinence, vomiting
  - Cognitive impairments dizzy, foggy, sleepy, giggly, hyperactive, sluggish, nonsensical
  - Verbal impairments slurring, inability to talk, volume regulation
  - Any other effects



- Others' observations of Reporting Party (objective):
  - Observations of Reporting Party's consumption when, where, what, who else was there?
  - Physical impairments
  - Cognitive impairments
  - Verbal impairments
  - Any other effects



Other information that can establish timeline, assist in assessing level of impairment, and provide corroboration of either party's account:

- History of relationship between the parties
- Witness's knowledge of Reporting Party's sober behavior
- Parties' communications or interactions with each other (compare pre- and post-incident)
- Parties' descriptions of the incident to others context, content, demeanor
- Text/social media messages sent before, during, and after the incident

## Considerations



Avoid	Why?	Try this instead
Asking about intoxication on a scale (e.g. "from 1-10")	There is no universal understanding of what the numbers on the scale mean	Asking about the impacts of alcohol on a person physically, cognitively, verbally, and otherwise; Asking for specific observations regarding conduct
Committing to a determining a specific BAC	It is very difficult to pinpoint a person's BAC after the fact. Additionally, BAC is only one data point and does not correlate precisely to a person's subjective experience or objective indicia of intoxication/incapacitation.	Use BAC when it is available in medical records. Otherwise, avoid attempting to pinpoint the BAC and rely instead on the subjective and objective indicia of intoxication/incapacitation.
Failing to obtain or ignoring medical evidence or observations of first responders, when they are available	Such witnesses are (generally) sober, trained observers who are paying close attention to the parties and surroundings. Their observations are critical, but it may necessitate coordination with external law enforcement or medical personnel.	Be attendant to mentions of first responders or medical personnel and try to obtain as much information about them as you can. Witnesses may remember, for example, that the EMT was female and had short brown hair. Work with your local agencies to identify such personnel and ascertain whether they can be made available for an interview.
Failing to fully contextualize witnesses' observations through use of a timeline	Witness statements taken out of context do not help answer the critical question: whether the Respondent knew or should have known that the Complainant was incapacitated.	Create a visual timeline of events that shows the parties' alcohol consumption, witness observations, and the alleged incident. Circle or highlight the timeframe when the parties were in each other's presences.

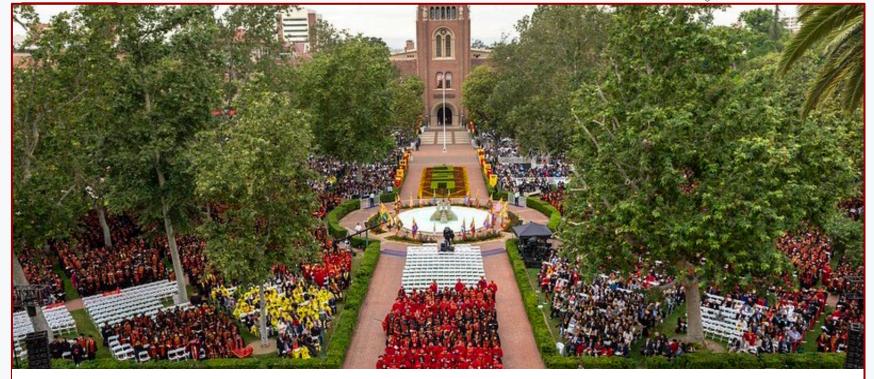
## Creating a Universal Timeline



# Using information gathered in the investigation, create a timeline that captures both parties' actions and show the timeframe when they were in the same place (below in gold)

Complainant	Source(s)		Respondent	Source(s)
Reporting Party and C "pre-gamed" at A's apartment. Drank 3 shots Jim Beam and ate chips and guacamole. Walked from A's apartment to second "pre-game" at B's apartment. Drank 2 shots of Ciroc Peach and threw up in B's sink.	C interview A interview B interview C's photos w/ date/time	8:00 PM	Respondent arrived at party by himself. Filled one 16-ounce cup with beer and drank it quickly.	R interview
		8:30 PM	Saw friends X, Y, Z. Z gave Respondent keys to his room where Z kept hard liquor. Respondent retrieved a 750 ml bottle of Fireball and drank approximately ¼ of it himself over the course of about an hour and a half. X and Y each had about 2 shot glasses full.	R interview X interview Y interview Z interview
		9:00 PM		
Reporting Party arrived at party with A, B, C. Complainant's friend D got her a 16-ounce cup of "jungle juice" which she drank slowly over the course of about an hour.	C interview A interview B interview D interview	9:30 PM		
		10:00 PM		
Reporting Party went upstairs to check out the view from the roof. As she was walking back downstairs, she took the last sip of her "jungle juice" and saw Respondent.  Reporting Party texted her mom, "addfa."	C interview C's texts C's photos w/ date/time	10:30 PM	Respondent texted Z "thanks for the fireball. Let me know where I can meet you to give you your key back." Respondent saw Reporting Party coming down the stairs.	R interview R's texts
Reporting Party reported a complete memory loss from about 10:30 until the next morning.	C interview	11:00 PM	Reporting Party and Respondent went upstairs into the bathroom. Respondent's friend W walked in as they were kissing and undressing.	R interview W interview
Reporting Party's friend A saw her leaving the bathroom with her shirt on backwards. A escorted Reporting Party home.	A interview	11:30 PM	Respondent left the bathroom and texted Z "I just got laid!"	R interview Z interview R's texts





USC RESOLUTION PROCESS FOR SEXUAL MISCONDUCT

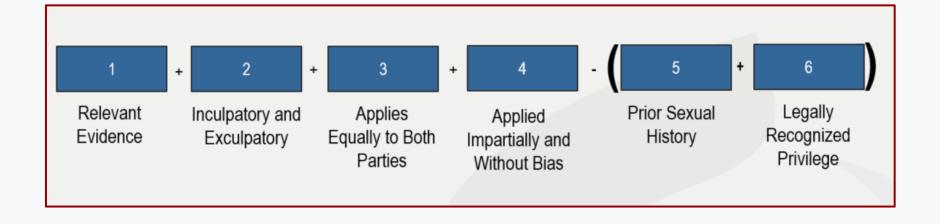
## Overview of Investigation Requirements





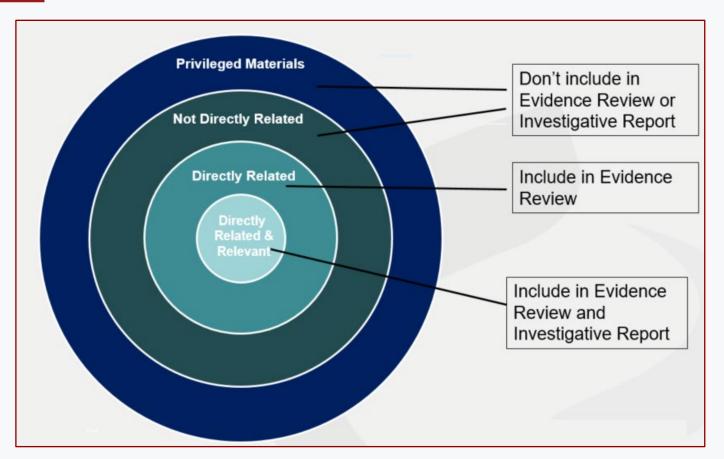
## Evidentiary Rules You Must Consider





## **Evidentiary Levels for Inclusion**







May not seek or obtain legally-privileged documents or information, unless:

The person holding such privilege has waived the privilege by:

Signing a written consent, acknowledging that any record provided to the Investigator will be available for review by the other party.

## Prior Sexual History of a Reporting Party



A Reporting Party's prior sexual history is generally not relevant, although evidence **may be admitted** if determined relevant in the following **two circumstances only**:

(1) To show that someone other than Respondent committed the alleged Sexual Misconduct; and

(2) Where Respondent alleges the sexual contact was consensual, and the evidence is offered as to the manner and nature of how the parties communicated consent in the past, as relevant in assessing whether consent occurred with respect to the alleged Sexual Misconduct at issue . . . .

# Report Initial Assessment Formal Complaint Notice Investigation **Evidence** Review Investigative Report **Hearing** Sanctioning **Panel** Appeal

### Prior Sexual History ≠ Existing Dating Relationship



"Scenarios described by commenters, where a respondent might wish to prove the [reporting party] had a motive to fabricate or conceal a sexual interaction, do not require admission or consideration of the [reporting party's] sexual behavior."

"Respondents in that scenario could probe a [reporting party's] motive by, for example, inquiring whether a [reporting party] had a dating or romantic relationship with a person other than the respondent, without delving into a [reporting party's] sexual behavior; sexual behavior evidence would remain irrelevant in such circumstances."

Title IX Regulations, May 19, 2020, §§ 106.45(b)(1)(iii) and 106.45(b)(6), Preamble at p. 30351

#### Prior or Subsequent Conduct of the Parties May be Relevant



In gathering information, the Investigator may also consider other reports of, or findings of responsibility for, the same or substantially similar conduct by the **Respondent** to the extent such information is relevant and available.

Such information may be relevant in determining motive, intent, absence of mistake, pattern, or another material fact.

For example, where there is evidence of a pattern of conduct the same or substantially similar in nature by the Respondent, either prior to or subsequent to the conduct in question, **regardless of whether there has been a finding of responsibility**, this information may be relevant and probative to the determination of responsibility and/or sanctioning, as applicable.

Similarly, prior or subsequent conduct of a **Reporting Party**, even when it involves conduct that may violate University policy, may be considered when relevant.

#### KEY SECTIONS OF INVESTIGATIVE REPORT



- Procedural background
- Overview of investigation
- Information about parties/witnesses
- Evidence review (including responses by parties)
- Potential policy violations (with elements)
- Summary of relevant evidence (no findings for SM reports)
- "The Road Map" (i.e., synthesis in narrative/chart form of disputed/not disputed evidence, including inculpatory and exculpatory)





THE INVESTIGATION: PRACTICAL CONSIDERATIONS



#### The Advisor of Choice



The parties are permitted to have an advisor of their choice accompany them to a meeting or hearing pursuant to the University's Policy on Prohibited Discrimination, Harassment, and Retaliation (Policy).

The advisor may be any person, including an attorney, but need not be an attorney. USC's practice is to communicate with the party, and copy the advisor.

A party may decline to use an advisor for all stages of the formal or alternative resolution process, with the exception of the hearing, where any questioning of the other party must be conducted by the party's advisor.

If a party does not have an advisor for the hearing, the University will provide an advisor, free of charge.

This University-appointed advisor may be, but is not required to be, an attorney, and will attend the hearing and conduct questioning on behalf of that party.

## The Role of the Advisor of Choice



1	Accompany their advisee to all meetings or proceedings related to the investigation and resolution of a report under the University's Policy.
2	May provide support and advice to the advisee at any Sexual Misconduct Process-related meetings and proceedings.
3	May receive copies of all correspondence from the EEO-TIX office to the advisee with consent from the advisee.
4	May not speak on behalf of the advisee during any interview or meeting, except at hearing and only in capacity of conducting cross-exam on behalf of advisee.
5	May not submit written position statements on behalf of the advisee to be included in the record. All statements must be made directly by the advisee.
6	May not disrupt meetings or proceedings or fail to follow the rules of the hearing, and, in such cases, the advisor can be asked to leave.
7	Must have sufficient flexibility to attend interviews, receive documentation, and attend the hearing (if desired by the advisee).
8	Should be knowledgeable about the University's relevant policies and procedures.



- While determining credibility is the role of the Hearing Officer, the following factors can guide questioning:
  - Demeanor
  - Interest
  - Detail
  - Corroboration
  - o Common sense
- Testing inherent plausibility in light of the known information, relationships, and circumstances of the disclosure



- Demeanor may be informative, not determinative
- Assessing demeanor requires individual assessment as to how demeanor supports or detracts from overall reliability of information
- Fact-finders should not place undue reliance on demeanor as an indicator of candor or evasion
- Demeanor is one factor to observe in the context of the totality of the information



- Reporting party/Respondent may be affected by emotional component of sexual assault allegations
- Range of behaviors and emotional reactions vary
- Elicit and consider information from witnesses as to demeanor after the reported incident, during the disclosure, and in response to the report
- Note changes in demeanor and explanations for significant changes
- Consider demeanor during meetings/proceedings



- If parties know each other:
  - Understand the context and history of any prior relationships
  - Understand significant events or markers in relationship
- Explore effects of incident:
  - Emotional: fear, intimidation, worry, anxiety
  - Actual: financial, time, participation in the process
- Is there any particular animus/motive/ill will for/or against any party or witness?



- How will the party/witness be impacted by their participation in the process?
  - O Was information provided "against" interests?
- How will the party/witness be impacted by any particular outcome?
  - Will information shared impact current or future relationships?

#### Corroboration



- Freeze frame and explore critical junctures
- Cross-reference Reporting Party and Respondent accounts with all other evidence and witnesses' statements
- Look to attendant details and behavior pre- and postincident by both parties
- Focus on resolution of conflicts through believable evidence and common sense
- Outline case by issue and cross reference with all available evidence, including timelines



- Consider other attendant details such as:
  - Size, age, power, authority and/or social status differential for Reporting Party and Respondent
  - Location of incident
  - Isolation of Reporting Party
  - Potential witnesses or reasons for lack of witnesses
  - Any change in either party's demeanor, personality, or routine after the incident

## **Evaluating Changes in Accounts**



- Explore all circumstances of each account
- Understand the who, what, and where of the interview
- Ask the "why" (without asking why); questions to explore:
  - State of mind
  - Life circumstances at the time
  - Perception of interviewer/process
  - Changes in interest or motivation
- Inquire directly about inconsistencies
- Attempt to reconcile where possible

## Disclosure



- A process where an individual reveals abuse or assault
- On-going, not a one time event
- Stages of Disclosure:
  - Denial
  - Tentative
  - Active
  - Recantation
  - Reaffirmation
- Triggers for Disclosure
  - Accidental e.g., person's secret is found out
  - Purposeful e.g., person makes decision to tell



- Testing inherent plausibility of the conflicting accounts in light of the known information
- How does it all fit together?
- Does it make sense in the context of:
  - o These individuals?
  - o The setting?
  - o The community?
  - o The activity?
  - o The relationships?

## **Integrated Analysis**

	Southern California
Dynamics of Sexual	Informed understanding of dynamics of sexual and gender-based harassment and
Assault	interpersonal violence.

Demeanor

Did the witness speak in a convincing manner? Were they uncertain, confused, selfcontradictory or evasive? (i.e., posture, gestures, eye contact, etc.)

How did they look, act and speak while being questioned / reporting?

Interest / Motive /

Bias

Detail

questioned? Was the ability of the witness to see, hear, know, remember, or describe those things affected by age, intoxicant, or by any physical, mental or intellectual deficiency?

Corroboration

Did the witness have any interest in the outcome of the case, bias, prejudice, or other motive that might affect their statements? Did they stand to receive a benefit? Use direct quotes from statements. How well could the witness remember and describe the things about which they were

How well did the statements of the witness square with the other evidence in the case, Were there statemeths contradicted or supported by the other party/witness



**Common Sense** Is there something missing?



- Personal Preparation: Be Objective
  - Identify and set aside personal biases and prejudices
  - Be careful to avoid making assumptions as to how a person "should" react
  - Avoid putting oneself in the shoes of the Reporting Party or the Respondent
  - Recognize emotional impact, if any, but do not allow emotion to impact fair and impartial fact-finding

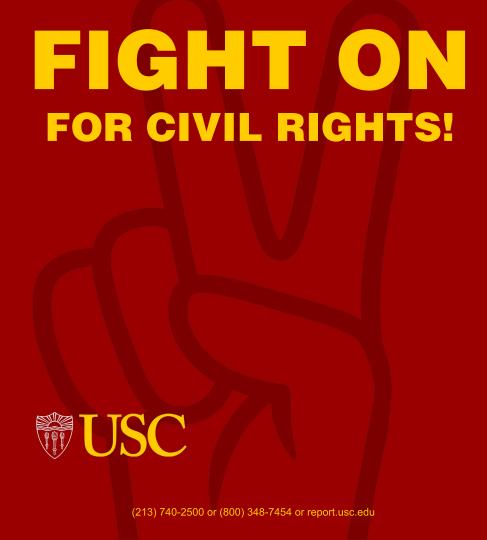


- Participation Techniques
  - Be alert to your non-verbal communication
  - Pay attention to tone of voice and volume level
  - Avoid asking questions that imply a value judgment
  - Maintain attentive posture and good eye contact
  - Exercise reflective listening in framing next question

# **Practical Investigation Tips**



- Personal Preparation: Be Professional
  - Maintain a calm, appropriate demeanor at <u>all</u> times
  - Be polite and respectful to all parties
  - Maintain balance in approach with parties
  - Maintain appropriate sensitivity to presentation of difficult information
  - Prepare for the hearing by reading and annotating all materials
    - Outline areas of inquiry in advance
    - Consider wording of questions in advance



#### FOR QUESTIONS OR MORE INFORMATION:

USC Office for Equity, Equal Opportunity, and
Title IX
(EEO-TIX)

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