



## UNIVERSITY OPERATING PROCEDURE

### **Title:** Handling and Resolving Discrimination, Harassment, and Sexual Misconduct Complaints

#### Overview

These Procedures apply to the intake, review, investigation, and resolution by the Office of Affirmative Action and Equal Opportunity (AAEO) of disclosures and formal complaints alleging conduct prohibited by the Discrimination, Harassment, and Sexual Misconduct Policy, as well as complaints of alleged Retaliation, as defined therein.<sup>1</sup>

The University takes seriously all complaints of discrimination and harassment, including sexual misconduct, and is committed to taking all necessary steps to prevent recurrence and remedy discriminatory effects. The University of Vermont's investigation, resolution, and disciplinary processes related to discrimination and harassment are designed to:

- Consider the rights of both parties, the safety of the community, and applicable laws and University policies;
- Conduct a timely, fair, impartial, and equitable process with respect for all involved parties;
- Protect the privacy of all parties to the extent practical, while balancing the need to comply with applicable law, maintain campus safety, and provide a safe and non-discriminatory environment for all members of the campus community;
- Hold individuals found to have violated the University's policies accountable for their actions; and
- Address the effects of harassment and discrimination, and related retaliation, on the campus community.

#### Applicability of the Procedure

This UOP applies to all University of Vermont faculty, staff, students, contractors, visitors, and guests.

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<sup>1</sup> The provisions of collective bargaining agreements governing union-represented employees may modify or supersede these provisions. Unionized employees may direct questions regarding the effect of collective bargaining agreements on these provisions to their union representatives.

## Definitions

**AAEO Process Advisor:** An individual selected by either party to provide personal support throughout the disclosure, complaint, investigation, and resolution process. Advisors may have no other role, such as a witness, in the University process, and may not speak on behalf of or otherwise represent their advisees during investigatory or disciplinary meetings. While Process Advisors are not limited to members of the campus community, the University has identified several employees to serve in a voluntary capacity as [AAEO Process Advisors](#), all of whom have received dedicated training on University policies and procedures, and can assist with identifying additional appropriate resources.

**Formal Complaint:** A document filed by a Complainant who is currently participating in or attempting to participate in the education program or activity of the University, or is otherwise signed by the Title IX Coordinator, alleging a Title IX Offense against a Respondent and requesting that AAEO investigate the allegation.

For additional definitions related to these Procedures, please see: [Discrimination, Harassment, and Sexual Misconduct Policy](#)

## Procedures

### **STEP 1: AAEO INTAKE**

Upon notice to AAEO that an individual (the "Complainant") has been the subject of alleged harassment or discrimination, whether through a direct report by the complainant or another witness, through disclosure by an individual with required reporting obligations ("UVM Reporters"), or by any other means, the AAEO Intake and Outreach Coordinator ("Intake Coordinator"), or designee, will provide outreach to the Complainant. The Intake Coordinator will offer to schedule a time to meet with the Complainant and discuss the individual's needs for support, as well as options for resolution. The Intake Coordinator will also provide written information about applicable University policies, investigation and resolution options and procedures, remedial and protective measures, and other helpful resources.<sup>2</sup>

AAEO will accept disclosures from any affiliate or non-affiliate against a student, staff or faculty member, or other affiliate who is alleged to have engaged in behavior constituting harassment or discrimination as outlined in the Discrimination, Harassment, and Sexual Misconduct Policy. Disclosures may be made against individuals or units, departments, organizations recognized or affiliated with the University, or other organizational components of the University. Disclosure of allegations to AAEO may be made verbally or in writing.

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<sup>2</sup> Pursuant to federal law, for cases of alleged relationship violence, sexual assault, and gender-based stalking, these written materials shall include an explanation of Complainants' rights and options for both University and criminal action, as well as applicable support resources available on campus and in the greater Burlington community, including but not limited to counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, and student financial aid resources. In many cases, the AAEO Intake and Outreach Coordinator provides this information in an email sent to the individual's official UVM email account.

## **STEP 2: PRE-RESOLUTION REVIEW**

Following intake, if the Complainant wishes to proceed to a University review process or if the Director or designee determines the matter requires independent action<sup>3</sup>, AAEO will proceed with:

- **INVESTIGATOR MEETING**  
An AAEO Investigator will be assigned to the matter, and will invite the Complainant to provide additional information about the disclosed incident(s). The Complainant may be accompanied by an AAEO Process Advisor, as defined in the Discrimination, Harassment, and Sexual Misconduct Policy, when meeting with the assigned AAEO Investigator. The AAEO Investigator may make an audio recording of this meeting for note-taking purposes.
- **DOCUMENTATION OF COMPLAINT AND DETERMINATION OF JURISDICTION**  
A Complaint may be filed in person with the AAEO Investigator or electronically, and must contain sufficient detail to support proceeding with an AAEO resolution process. When the allegations contain a Title IX Offense, a Formal Complaint is required.

AAEO's jurisdiction is limited to alleged violations of the University's harassment and discrimination policies, including, but not limited to, discrimination based on race, color, religion, ancestry, national origin, sex, sexual orientation, disability, age, positive HIV-related blood test results, gender identity or expression, status as a disabled veteran, recently separated veteran, active duty wartime or campaign badge veteran, or Armed Forces service medal veteran (collectively "protected veterans"), as these terms are defined under applicable law, or any other factor or characteristic protected by law.

Before proceeding with a resolution process, the AAEO Investigator must determine (1) whether the Respondent was subject to the Discrimination, Harassment, and Sexual Misconduct Policy at the time of the conduct and (2) whether the conduct as alleged could be a violation thereof.

If AAEO determines that the Office has no jurisdiction or the matter is not otherwise appropriate for resolution in the discretion of the AAEO Director, AAEO staff will provide appropriate referrals to campus and off-campus resources. If new information is subsequently provided to AAEO, AAEO may reevaluate whether or not the AAEO Office has jurisdiction. When the incident constitutes a Title IX Offense, AAEO shall follow the requirements of "Dismissal of Title IX Formal Complaints; Appeal Rights" as outlined below.

- **NOTICE OF COMPLAINT AND AAEO PROCESS**  
AAEO will issue written notice to the Complainant and Respondent that an AAEO process has been initiated to resolve alleged violation(s) of University policy. The written notice will include the identities of the parties, the conduct allegedly constituting the policy violation, and the date and location of the alleged incident, if known. The written notice will also include a copy of these Procedures, and a statement indicating whether Complainant has expressed interest in Alternative Resolution (if applicable).

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<sup>3</sup> Where AAEO documents a Complaint, or otherwise proceeds with a Complaint absent the Complainant's participation, AAEO does not take the place of the Complainant.

### **Step 3: AAEO RESOLUTION**

#### **Option 2: Alternative Resolution**

- **PURPOSE**

The alternative resolution process is designed to be flexible to respond to the needs of the parties and the unique circumstances of every case. The purpose of an alternative resolution is to facilitate a dialogue that allows a Complainant to express the harm they have experienced, and the Respondent to understand the impact of their conduct on Complainant. The alternative resolution process seeks to repair harm, and educate the parties without rendering an institutional policy decision. Alternative Resolution is not a disciplinary process. The culmination of the parties' facilitated dialogue is the creation of a cooperatively designed agreement that outlines steps or actions a Respondent will take to both address the reported conduct and prevent its recurrence.

- **APPROPRIATENESS DETERMINATION**

Alternative Resolution can be pursued following Notice of Complaint (Step 2) or following creation of a Record (Step 3, Option 2).

As a threshold matter, both the Complainant and Respondent must voluntarily agree to pursue the alternative resolution process. Additionally, the Director or designee must determine that the nature of the reported conduct is appropriate for alternative resolution, considering the following factors and others as uniquely appropriate:

- The power dynamics present between the parties, including applicable University affiliation<sup>4</sup>;
- The nature of the conduct reported and whether it presents an ongoing safety risk to the UVM community;
- The level and type of harm reported, subjectively and objectively;
- The severity of conduct reported, subjectively and objectively;
- The number of people affected by the reported conduct;
- Whether the parties are willing to participate in good faith; and
- The conduct history of the Respondent.

The decision as to whether the use of the alternative resolution process is appropriate is at the sole discretion of the Director or designee.

- **INITIATION OF PROCESS**

The Director shall assign an Alternative Resolution Facilitator.<sup>5</sup> To initiate the Alternative Resolution Process, the Facilitator will provide both parties with a Notice of Rights and Options to review and sign before proceeding. Once initiated, either party can request an end to the alternative resolution process at any time prior to signing a final agreement. Information gathered during an Alternative Resolution Process cannot be used in another UVM process, including if the Alternative Resolution terminates and an Investigative Resolution is initiated, and Facilitators will not serve as witnesses in any subsequent conduct or legal proceedings, except where required by law or regulation. Alternative Resolution meetings will not be audio recorded.

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<sup>4</sup> Alternative resolution is not available to resolve any report of conduct that would constitute harassment based on a protected category by a UVM employee directed to a student.

<sup>5</sup> Alternative Resolution Facilitators will generally be AAEO staff members, however, AAEO may also elect to use the services of an outside facilitator or a non-AAEO staff member.

- **NEGOTIATION OF TERMS**

The primary form of alternative resolution used by AAEO is facilitated dialogue and negotiation between the parties. In most cases, the parties will not engage in face-to-face dialogue and will meet independently with the Facilitator. When face-to-face facilitated dialogue is mutually desired by the parties, and the AAEO Director approves, UVM prefers the use of live video conferencing.

Educational and restorative measures that may be agreed to as a result of the resolution process, with the approval of the Director, may include, but are not limited to:

- Education relating to healthy relationships;
- Education relating to drug and alcohol use;
- Participation in prevention and educational programming, such as anti-gender violence programming;
- Voluntary participation in mental health counseling;
- Regular check-in meetings with an appropriate UVM official or resource;
- Reading of impact statements and responses presented by the parties, in a supported environment;
- No-contact and/or limited no-trespass agreements;
- Voluntary restriction from participation in particular campus events or activities;
- Restorative processes;
- Other measures requested and agreed to by the parties, as appropriate and at the discretion of the Director or designee.

Alternative Resolution Agreements must be documented by the Facilitator, signed by both parties, and approved by the Director or designee.

If no agreement is reached, or either party indicates in writing to the Facilitator that they no longer wish to pursue Alternative Resolution, the matter will be referred to the Director. The Director will consider the Record of Investigation (if available), the wishes of the parties, and the interests of the campus community in determining next steps, which may include a return to or initiation of an investigative resolution process.

- **COMPLIANCE WITH RESOLUTION AGREEMENT**

Once a Resolution Agreement has been signed by both parties and approved by the Director or designee, the Complainant and Respondent will be required to comply with its terms. AAEO staff will ensure the agreed-upon terms are fulfilled by monitoring the agreement, reviewing information submitted by the parties, and in some cases, contacting third parties for verification.

When a Resolution Agreement requires a student Respondent to take active steps to fulfill a term (e.g., participation in a program or participation in an impact statement conference) by a date certain, AAEO may request that the Dean of Students place a registration or transcript hold on the Respondent's account until the term is fulfilled. AAEO will request that the hold be lifted when the term is fulfilled.

Consequences for non-compliance with the terms of a Resolution Agreement shall be agreed to by the parties and memorialized in the Agreement prior to execution. AAEO is not obligated to warn parties who are not in compliance with their Resolution Agreement, but may do so on a case-by-case basis. If AAEO believes that a party has not complied with the terms of a Resolution Agreement, AAEO will initiate appropriate steps to effectuate a non-compliance response consistent with the terms of the Resolution Agreement.

### **Option 2: Investigative Resolution**

- **INTERVIEWS AND EVIDENCE COLLECTION**

The Investigator will seek to conduct interviews with identified and relevant witnesses and the Respondent. In addition to participating in a personal interview with the Investigator, both parties may provide, if they wish, relevant evidence they would like the investigator to review, the names of potential witnesses with factual knowledge directly related to the allegations, as well as a list of relevant factual questions they would like asked of the other party.<sup>6</sup> The Investigator may make an audio recording of any and all interviews conducted for notetaking purposes.

**Please note,** the University lacks full judicial authority, such as the power to subpoena or place witnesses under oath. An individual's rights cannot be identical to the rights afforded to an accused individual in a civil or criminal legal proceeding.

- **CREATION OF RECORD**

Following all interviews and the collection of evidence, AAEO will provide both parties with a written record of the directly related evidence collected ("the Record") for review. The parties may elect to provide the Investigator with a written response to the Record, including any comments, additional directly related evidence for review, and/or questions they propose the Investigator ask of the other party or witnesses. The parties may also meet with the Investigator to do the same. All responses to the Record, written or in-person, must be submitted within ten (10) calendar days<sup>7</sup> of access to the Record being provided to the parties.

When a party's response to the Record of Investigation presents new information that is directly related to the allegations, the Investigator may conduct additional investigation, including interviews, based on this information, and will issue a supplement to the Record of Investigation to both parties containing the new information for review and response, until such time as the Investigator determines the record to be closed. The Investigator will provide the parties with five (5) calendar days to provide a response to any Record Supplement, unless a different time period is required by law or regulation. The Record of Investigation and any Record Supplements shall collectively be referred to as the Final Record of Investigation, a copy of which shall be provided to both parties.

- **REVIEW OF RECORD BY AAEO DIRECTOR**

The Investigator shall provide a copy of the Final Record of Investigation to the Director with a cover letter outlining whether the matter should be processed pursuant to the Title IX Hearing Procedures or the non-Title IX Resolution process, or, alternatively, should now be referred for Alternative Resolution based on the expressed wishes of the parties. The investigator shall simultaneously notify the parties of their closing of the record and submission of a procedural recommendation to the Director. The Director shall take one of five actions and will instruct the Investigator to notify the parties, in writing, of the decision:

- Instruct the Investigator to conduct additional investigation;
- Allow the parties to submit, within ten calendar days, a written reply to the Final Record of Investigation and then send the Final Record of Investigation, as well as those responses which are both directly related and relevant, to both parties and the Center for Student Conduct (student respondents) or Human Resource Services (employee respondents) to schedule a hearing, as detailed below (Sub-Option 1);

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<sup>6</sup> The Investigator has the sole discretion to determine what questions to pose to parties or witnesses, to limit redundancies, and to determine the overall length of any meeting. The decision to interview particular witnesses and allow or consider evidence offered by the parties is within the sole discretion and professional judgment of the Investigator.

<sup>7</sup> Where this deadline lands on a weekend or UVM Administrative Holiday, the deadline shall be the next UVM business day.

- Send the Final Record of Investigation back to the Investigator to write a Non-Title IX Report of Investigation and Determination of Policy Violation, as detailed below (Sub-Option 2);
- Refer the matter for Alternative Resolution; or
- Dismiss or reassign the Complaint as outlined in Step 2: Determination of Jurisdiction.

If there is any supplement to the Final Record of Investigation following additional investigation, the Investigator need not provide an additional cover letter unless there is a new, material issue raised regarding jurisdiction or should the parties newly request Alternative Resolution be explored.

- *Sub-Option 1: TITLE IX LIVE HEARING*

When the Director determines that the matter must proceed to a Title IX hearing, such hearing will be conducted according to the [Hearing Procedures for Title IX Offenses Involving Student Respondents](#) or the [Hearing Procedures for Title IX Offenses Involving Employee Respondents](#).

- *Sub-Option 2: NON-TITLE IX INVESTIGATIVE RESOLUTION*

When the Director determines that the matter should proceed to Non-Title IX investigative resolution, the Investigator will issue a written report setting forth findings of fact, a determination of responsibility for alleged policy violations, and the rationale for that determination utilizing the preponderance of the evidence standard. A copy of this report will be provided concurrently to both parties.

- When the Respondent is a student and has been found responsible for a policy violation, AAEO will forward a copy of the report to the Center for Student Conduct (CSC) for sanctioning and processing according to [Discrimination, Harassment, and Non-Title IX Sexual Misconduct Sanctioning Procedures for Student Respondents](#).

When the Respondent is a student and no policy violation is found following investigation, AAEO will make available its report to both parties and the Dean of Students. The investigator's conclusion that no policy violation occurred may be appealed by either party. Appeals must be submitted to the Dean of Students, or designee, in writing, according to the Appeal Procedures of the [Discrimination, Harassment, and Non-Title IX Sexual Misconduct Sanctioning Procedures for Student Respondents](#).

Additionally, if the Respondent is a student in a program with established professional standards or a member of a UVM Athletics team: At the conclusion of the applicable appeal period outlined above, the AAEO Director shall send a copy of the case file, including investigation report, any Sanctioning decision letter, and any appeal/appeal determination to the program's applicable Dean or Director for student services or the Director of Athletics, as applicable. While the decision of AAEO, CSC, and the Appellate Official shall be considered final following expiration of the applicable appeal period, the Respondent's program may also, in its discretion, review conduct under the program's established professional standards / Code of Student Athlete Conduct to determine whether any additional, program-specific disciplinary action is needed. This provision applies to all final reports, irrespective of whether a policy violation was found by AAEO.

- When the Respondent is an employee, AAEO will forward the report to the Vice President for Finance and Administration. Either party may appeal the investigator's conclusion that a policy violation did or did not occur to the VP for Finance and Administration, or designee, in writing, within five business days of the Report's issuance. The investigator's decision may be appealed for the following reasons only: (1) a procedural error unfairly and materially affected the outcome of the case, (2) material evidence has been discovered that was not reasonably available at the time of the investigation, or (3) there was a clear abuse of discretion on the part

of the Investigator, including the presence of a conflict of interest or bias against a party that affected the outcome.

If sufficient information has been submitted to support an appeal on one of the listed bases, the VP for Finance and Administration, or designee, shall then provide a copy of the written appeal and any supporting documentation to the other party. The other party may submit a written response to the appeal to the VP for Finance and Administration, or designee, within five business days of the date the appeal was sent to that party. A copy of this response, if any, will be sent to the appealing party from the VP for Finance and Administration or designee.

The VP for Finance and Administration or designee will review all submitted materials, and the pertinent case documents, and render a written decision within ten business days, absent extenuating circumstances. Should additional time be required, the VP for Finance and Administration or designee will promptly notify both parties of the revised (expected) timeframe. The VP for Finance and Administration or designee will issue a copy of the written appeal decision to parties who are UVM affiliates. The appeal decision may uphold the hearing decision, modify the hearing decision, overturn the hearing decision, or refer the case back to the Investigator, as warranted.

**When the investigation's appeal period has expired, or an appeal decision has been rendered by the for the VP Finance and Administration (if applicable):** AAEO shall send a copy of the case file, including investigation report and any appeal/appeal determination, to the administrative official immediately responsible for the Respondent's supervision, and to the appropriate Vice President, Dean or Director for the unit or college in which the Respondent works. The immediate administrative official shall determine any appropriate discipline in accordance with applicable University practices, policies, and collective bargaining agreements, including applicable grievance procedures, as detailed at <https://www.uvm.edu/hrs/handbooks-policies>, regardless of whether AAEO finds a violation of this Policy did or did not occur if unprofessional behavior is substantiated. The AAEO Director must also notify the Complainant of the final outcome, and rationale therefore, of that disciplinary process where required by federal law or regulation.

When a Complaint is made about a unit, department, recognized or affiliated organization (as defined in University policy), or an organizational component of the University, AAEO will issue the written report to the appropriate Vice President, Dean, Director, senior organization leader, or student leader, as appropriate, and any other administrative official it deems appropriate.

### **TIMEFRAME FOR AAEO PROCESS**

Typically, the AAEO process (Investigative or Alternative Resolution) will be completed within sixty (60) days from the documentation of a complaint, as outlined in Step 2, above. However, in some circumstances, it may be necessary to extend the timeframe due to the complexity of the case, availability of witnesses, the occurrence of a simultaneous criminal investigation and request from law enforcement that AAEO delay its resolution process, or other factors that cause an unavoidable delay, collectively "good cause." If good cause exists for AAEO to extend the timeframe, as determined by the Director or designee, both parties will be promptly notified of the revised (expected) timeframe. This timeframe does not include any resultant hearing or sanctioning process.

### **IMPARTIALITY**

Assigned investigator(s) or facilitator(s) shall remove themselves from resolving a case if they believe that they cannot be impartial. Additionally, either party may seek the removal of an assigned Investigator or Facilitator if they believe that the individual cannot be impartial by submitting a written statement to the Director, or designee, stating the specific reasons for their belief. This written statement must be submitted



to the Director, or designee, within 48 hours of when they become aware that a conflict exists. If the Director, or designee, determines that the assigned Investigator or Facilitator may not be impartial, a new Investigator or Facilitator will be selected by the Director and both parties will be notified.

### **ACCOMMODATIONS; RESCHEDULING REQUESTS; MODE OF PARTICIPATION**

Requests to reschedule meetings and/or extend deadlines for response must be submitted to AAEO in writing. Such requests will only be granted for good cause, in the discretion of the Director, or designee. In determining whether good cause exists, the Director, or designee, will consider whether rescheduling will unduly burden the other party or otherwise unreasonably delay resolution of the matter.

AAEO can facilitate remote participation based upon administrative need, as well as upon request.

Parties, witnesses, and other participants in the AAEO resolution process may request reasonable accommodations for a disability-related condition by informing the Investigator or Director of their need for accommodation based on a disability. AAEO will then collaborate with Student Accessibility Services (students) or the ADA/504 Coordinator (employees and non-affiliates) to determine eligibility for, and the parameters of, such accommodations.

### **ROLE OF ADVISORS IN AAEO PROCESS**

In all AAEO proceedings covered by these Procedures, each party may choose to be accompanied by a support person of their choice, who shall be referred to as an AAEO Process Advisor. AAEO Process Advisors may be attorneys retained by a party at the party's own expense, a friend or colleague, union representative, or a designated UVM employee who volunteers to serve in this capacity (see [AAEO Process Advisor](#) listing), but may not have any other role in the process (e.g. witness). Regardless of University affiliation or professional license, Process Advisors may be present only to provide support to, or otherwise privately consult with, their advisee, but may not speak on behalf of their advisee or otherwise directly participate. If a Process Advisor cannot abide by the rules for participation, they will be asked to leave.

### **COORDINATION WITH CRIMINAL PROCESS (if applicable)**

The University strongly encourages individuals who have experienced discrimination or harassment that they believe rises to the level of criminal misconduct, including hate crimes and all forms of sexual misconduct, to consider making a report to law enforcement to assure their personal and community safety, and to become informed about their options, including the option of pursuing a criminal investigation. Individuals may pursue both a criminal investigation and an AAEO resolution process, and the University can assist with making a report to Police.

AAEO will not wait for the conclusion of a criminal investigation or proceeding to begin its own process. AAEO may, however, at the discretion of the Director, comply with valid requests from law enforcement for cooperation in a criminal investigation, including temporarily delaying the AAEO process while law enforcement is gathering evidence. In assessing whether to temporarily delay the AAEO process pursuant to a request from law enforcement, the Director will consider such factors as:

- The length of the requested delay;
- The impact that such delay will cause to the involved parties and the campus community; and
- The level of impact to the criminal investigation that will occur if the requested delay is not granted.

In the event the requested delay is granted, AAEO will promptly resume and complete its process once law enforcement has completed gathering evidence, and will keep the Complainant apprised of such requests to the extent permitted by law.

## **DECISION TO PROCEED WITHOUT COMPLAINANT COOPERATION; REQUESTS FOR ANONYMITY**

If the individual subjected to alleged discrimination or harassment does not want to participate in the University process, or expresses a desire to AAEO for their identity to be kept confidential, the wishes of that individual will be followed where possible. However, the University reserves the right to investigate and/or take other appropriate action as may be necessary to protect the safety of the campus community. The decision as to whether the University will proceed under these circumstances ultimately rests with the Director, or designee<sup>8</sup>. Requests not to pursue an investigation, as well as requests for confidentiality, are weighed against the University's responsibility to provide a safe and nondiscriminatory environment for all members of the campus community, which necessarily includes consideration of, but is not limited to:

- The seriousness of the alleged conduct, including whether force was used, whether the act was perpetrated with a weapon, or the alleged conduct was committed by multiple individuals;
- The age of the individual allegedly discriminated against or harassed;
- Whether the circumstances suggest there is an increased risk of the Respondent committing additional prohibited acts, which necessarily includes whether there have been other complaints and/or disciplinary outcomes about the same individual and whether the Respondent threatened future acts;
- Whether the circumstances suggest there is an increased risk of future acts under similar circumstances at a given location or by a particular group;
- The ability of the University to respond to the report in another manner;
- Whether the University possesses other means to obtain relevant evidence;
- The parties' rights under the Family Educational Rights and Privacy Act (FERPA); and/or
- Whether the University is otherwise compelled to proceed by law.

## **DISMISSAL OF TITLE IX FORMAL COMPLAINTS; APPEAL RIGHTS**

The Director or designee may dismiss or reassign a Title IX Formal Complaint, in whole or in part, to another University process at any time during the resolution process if (1) the Complainant notifies the Director, in writing, that the Complainant would like to withdraw the complaint; (2) the Respondent is no longer enrolled or employed by the University; or (3) specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Complaint or allegations therein.

Upon dismissal of a Formal Title IX Complaint, the Director or designee will send written notice of the dismissal and the reason(s) therefore to both parties with an opportunity to appeal. Both parties may appeal to the Chief Human Resources Officer within five (5) business days. The dismissal may be appealed for the following grounds only: (1) a procedural error unfairly and materially affected the outcome, (2) material evidence has been discovered that was not reasonably available at the time of the determination, or (3) there was a clear abuse of discretion, including the presence of a conflict of interest or bias against a party that affected the outcome. If sufficient information has been submitted to support an appeal on one of the listed bases, the Chief Human Resources Officer, or designee, shall then provide a copy of the written appeal and any supporting documentation to the other party. The other party may submit a written response to the appeal to the Chief Human Resources Officer, or designee, within five business days of the date the appeal was sent to that party. A copy of this response, if any, will be sent to the appealing party from the Chief Human Resources Officer or designee. The Chief Human Resources Officer or designee will review all submitted materials, and the pertinent case documents, and render a written decision within ten business days, absent extenuating circumstances. Should additional time be required, the Chief Human Resources Officer or designee will promptly notify both parties of the revised (expected) timeframe. The Chief Human Resources Officer or designee will issue a copy of the written appeal decision to parties who are UVM

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<sup>8</sup> The Director, or designee, may consult with the University's Sexual Misconduct Response Team when the alleged discriminatory behavior, if true, would constitute sexual harassment or misconduct prohibited by UVM policy.

affiliates, in accordance with federal law. The appeal decision may uphold the decision, modify the decision, overturn the decision, or refer the case back to the Investigator, as warranted.

### **CONSOLIDATION OF COMPLAINTS; MULTIPLE POLICY VIOLATIONS**

If at any point AAEO becomes aware that University policies other than the Discrimination, Harassment, and Sexual Misconduct Policy may have been violated in relation to the matter being reviewed, these concerns may also be resolved through the processes detailed here, provided doing so does not unduly delay such process. The decision to investigate other alleged policy violations that AAEO becomes aware of is within the discretion of the Director or the Director's designee.

AAEO may also consolidate Complaints in situations that arise out of the same facts or circumstances and involve more than one Complainant, more than one Respondent, or what amount to counter-complaints by one party against the other.

Additionally, where conduct includes both Title IX Offenses and non-Title IX Offenses, AAEO may utilize the applicable Title IX resolution procedures to resolve non-Title IX Offenses or may process through concurrent or consecutive resolution processes. This decision is in the discretion of the Director or designee.

### Contacts

Questions concerning the daily operational interpretation of this UOP should be directed to the following:	
Title(s)/Department(s):	Contact Information:
Nicholas Stanton Director, Office of Affirmative Action and Equal Opportunity	<a href="mailto:nstanton@uvm.edu">nstanton@uvm.edu</a> (802) 656-3368

### Forms/Flowcharts/Diagrams

- [Online Bias, Discrimination, & Harassment Incident Reporting Form](#)

### Related Documents/Policies

- [Bias Response Program](#)
- [Discrimination, Harassment, and Sexual Misconduct Policy](#)
- [Discrimination, Harassment, and Non-Title IX Sexual Misconduct Sanctioning Procedures for Student Respondents](#)
- [Equal Opportunity/Affirmative Action Policy Statement](#)
- [Equal Opportunity in Educational Programs and Activities and Non-Harassment Policy](#)
- [Hearing Procedures for Title IX Offenses Involving Employee Respondents](#)
- [Hearing Procedures for Title IX Offenses Involving Student Respondents](#)
- [Sexual Conduct Education and Resource Website](#)
- [University Handbooks, Collective Bargaining Agreements, and Grievance Procedures for Employees](#)

## Training/Education

<b>Training Topic:</b>	UVM Resolution of Harassment and Discrimination Incidents		
<b>Training Audience:</b>	UVM Staff and Contractors responsible for execution of procedures under this procedure	<b>Delivered By:</b>	<a href="https://www.uvm.edu/aaeo/title-9-sexual-misconduct">https://www.uvm.edu/aaeo/title-9-sexual-misconduct</a>
<b>Method of Delivery:</b>	On-line Interactive Video or In Person	<b>Frequency:</b>	Annually or as assigned

## About This Procedure

<b>Responsible Official:</b>	Vice President for Finance and Administration	<b>Approval Authority:</b>	Vice President for Finance and Administration
<b>Affiliated Policy Number(s):</b>	V. 4.23.11, V. 4.24.11, V. 4.30.1	<b>Effective Date:</b>	August 14, 2020
<b>Revision History:</b>	<ul style="list-style-type: none"><li>• Interim UOP approved October 4, 2018</li><li>• January 10, 2019</li><li>• Responsible official officially changed from the Vice President for Human Resources, Diversity and Multicultural Affairs and Vice President for Finance and Administration on May 1, 2020</li><li>• December 15, 2020</li></ul>		

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*University of Vermont Policies and Operating Procedures are subject to amendment. For the official, approved, and most recent version, please visit UVM's [Institutional Policies Website](#).*