COMPLIANCE REPORTS
AND INVESTIGATIONS
FY2020 Annual Data

Audit, Risk & Compliance Committee, September 2020
ANNUAL COMPARISON

- **2017:** 167 Reports, 32 Investigations
- **2018:** 148 Reports, 28 Investigations
- **2019:** 136 Reports, 15 Investigations
- **2020:** 95 Reports, 10 Investigations
Types of Issues Reported to OCE FY 20

- Title IX: 81
- Discrimination/Harassment: 111
- Retaliation: 11
- Consensual Amourous Relationship: 3
- Other: 11

Total: 217
Employee Reports

• 27 reports in FY 2020 of alleged misconduct by a faculty or staff member

• Report volume per 100 employees in FY 2020
  – W&M = 0.9 (vs. 0.6 in 2019)
  – Median = 1.4 reports*
  – Range of 0.3 – 8.4 for all sources (hotline, web form, walk in, direct email, manager submission)*

* Navex Global 2019 survey data of hotline and incident management clients
ANNUAL TITLE IX /VAWA DATA

- **FY17**
  - Discrimination/Sexual Harassment: 47
  - Stalking/Exploitation/Retaliation: 28
  - Relationship Violence: 18
  - Sexual Assault (NCSI, Fondling): 52

- **FY18**
  - Discrimination/Sexual Harassment: 60
  - Stalking/Exploitation/Retaliation: 17
  - Relationship Violence: 18
  - Sexual Assault (NCSI, Fondling): 31

- **FY19**
  - Discrimination/Sexual Harassment: 36
  - Stalking/Exploitation/Retaliation: 20
  - Relationship Violence: 11
  - Sexual Assault (NCSI, Fondling): 49

- **FY20**
  - Discrimination/Sexual Harassment: 34
  - Stalking/Exploitation/Retaliation: 17
  - Relationship Violence: 11
  - Sexual Assault (NCSI, Fondling): 30
ANNUAL TITLE IX /VAWA DATA

FY20 Title IX Response to Reports

- Investigated [9]
- No Jurisdiction [15]
- No Investigation Wanted [22]
- Non-Actionable (not enough info) [28]
- Referred to DoS, HR, Dean/Chair, 3rd Party [4]
- Informal Resolution [1]
- Protected Free Speech [2]
- Respondent Resigned Prior to Investigation [1]
FY20 TITLE IX INVESTIGATIONS

• 9 sexual misconduct investigations
• 3 substantiated/responsible for policy violation
• 3 not responsible
• 1 no finding of a policy violation of department actions
• 2 investigations ongoing
COMPLIANCE UPDATES

Audit, Risk & Compliance Committee, September 2020
• Released in May with an effective date of August 14, 2020
• Required changes versus best practices
  • Definition of Title IX Sexual Harassment
  • Live Hearing with Cross Examination
  • Evidentiary Standard
  • Other Types of Sexual Misconduct
  • Other Jurisdiction for Non-Title IX

TITLE IX FINAL REGS
• Title IX Collaborative Staff Virtual Retreat in June
• Interim Policies & Procedures
• Review by Faculty, Staff and Student Assemblies
• Finalize in January 2021

TITLE IX FINAL REGS
• Deadline Extension for Annual Security Report

• Employee Reporting System Launching in October

• FY21 Compliance Plan for November Meeting

OTHER UPDATES