

## **Interview Protocol, version 1, 28 August 2018**

### **Interview Objectives:**

- To review information and data submitted by key leaders at CCSU and seek clarity on any existing guiding policies, protocols, procedures, organization chart(s) and other pertinent information related to how their office, department or function addresses (how a decision is made to launch an investigation, the investigation process, how one determines outcomes and levels of discipline, etc.) sexual misconduct, bullying, or campus climate
- To better understand the education, training or communications programs about sexual harassment or bullying currently taking place at CCSU for students, faculty and staff.
- To gain information about best practices about the handling of, reporting about, and prevention of sexual misconduct and bullying, as well as promoting a positive campus climate, directly from those with expertise outside CCSU.
- To obtain additional contacts and resources from which we can obtain information about best practices about the handling of, reporting about, and prevention of sexual misconduct and bullying, as well as promoting a positive campus climate.
- To obtain more complete and nuanced information about best practices about the handling of, reporting about, and prevention of sexual misconduct and bullying, as well as promoting a positive campus climate than can be obtained by simply reviewing documentation.

### **Interview Protocol:**

- Interviews should be scheduled for 90 minutes in duration
- The interviewee(s) should be made aware that we may request additional interview time based upon our research and investigation should we need more information about a particular topic or area of interest
- All interviews for CCSU leaders should have 2 interviewers, preferably one from each of the work streams (Policies and Procedures, and, Training and Programmatic Initiatives)
- It is suggested that external best practices interviews have 2 interviewers, as well
- The interview team should meet, in advance, and review the questions which will be asked of the leader(s) present (to reduce any overlaps and to ensure that both interviewers obtain the information which is needed to help with our research)
- Questions should pertain to the information and data gathered and submitted on August 24
  - To help clarify the processes associated with launching, conducting, determining outcomes and discipline associated with investigations (including the appeals process)
  - Questions about communications about investigations to the general community and specific internal functions

- Questions for clarity about the information and data gathered
- Questions to close any gaps in information and data that is still needed to help us better understand the current state of existing policies, producers and programs, etc..
- Questions to help identify recommendations
- Interviews are not recorded, however, not taking is critical and all notes should be reviewed and agreed upon by both interviewers.
- Notes should be uploaded to the respective folders on the U drive as soon as possible after the completion of the interview

### **Three Interview Approaches/Questions/Information and Data to Gather**

- 1. Internal and External Best Practices Work Group Agencies**
- 2. Policies and Procedures**
- 3. Training and Programmatic Activities**

**Internal and External Best Practices Work Group Agencies**  
*(i.e. Universities, Non-Profits, Governmental Agencies, & Corporations):*

- Please describe the procedures and protocols within your organization\* for responding to a “disclosure” about sexual misconduct and bullying.
- Please describe the procedures and protocols within your organization\* for initiating an “investigation” about sexual misconduct and bullying.
- Please describe how the information pertaining to a disclosure and investigation/report about sexual misconduct and bullying are recorded and stored within your organization\*.
- Please describe how outcomes from disclosures and investigations/reports about sexual misconduct and bullying are resolved within your organization\*.
- Please describe how outcomes from disclosures and investigations/reports about sexual misconduct and bullying are shared and disseminated with individuals and groups (and the general public, if applicable) within your organization\*.
- Please describe what your organization\* is doing to prevent acts of sexual misconduct and bullying, including any specific services you provide (i.e. trainings, security, safety escorts, etc.).
- Please describe involvement of third parties for any of the processes above (if not already mentioned): i.e. unions, law enforcement, corporate offices, and/or governing boards.
- Please share about the culture of your organization\* with respect to sexual misconduct and bullying.
- Please share anything else that is relevant with respect to your organization’s\* handling of sexual misconduct and bullying that you were not able to share with the preceding questions.

**Below are questions we hope will be addressed in the answers to the questions above:**

- Clarity over when and how does a “disclosure” that is brought forward become an investigation
  - Must the investigation have the consent/participation of the victim?
- Confidential disclosure – how much information must be revealed?
- Are there intake forms for reporting?
- What assistance is offered for those reporting an incident/disclosure (i.e. help filling out forms, clarifying information).

**Below are some ideas for questions that directly address best practices in investigating, handling, educating on, and preventing cases of sexual misconduct and bullying:**

- What pieces of advice (ex. your top 5) would you recommend for creating more effective/responsive/inclusive policies, practices, programs, and training?
- What elements/factors/actions are most important for creating and sustaining a positive, inclusive campus climate?
- What policies/practices/services/training have been most important/successful/widely used in your institution?
- When designing and developing your current policies/practices/training, etc., which institutions/organizations did you look to as role models, or seek advice/guidance from?
- Can you identify and talk about any practices/policies/training/programs that you have changed or removed because they were ineffective?
  - How did you know they were not working (i.e. feedback mechanisms)?
  - What changes/improvements were made? How were these implemented?

\*Note that, for some organizations, the best practices they share may not actually be used within the organizations themselves, but, rather might represent best practices the organization is advocating for in other organizations (i.e. in the case of some non-profit organizations or government agencies)

## Policies and Procedures Work Group

1. Please describe the procedures and protocols for initiating an “investigation” about sexual misconduct and bullying. When is an investigation triggered? Once an investigation is triggered, what are the steps in the process? What is the time frame?
2. Explain difference between “Internal Complaint,” “Report,” and “Disclosure”? Who determines? How does the determination affect future actions?
  - a. Internal Complaint:
    - i. Please describe the procedures and protocols for responding to an internal complaint of sexual misconduct and bullying.
  - b. Report: Receipt of a communication and request by institution for an investigation or adjudication.
    - i. Please describe the procedures and protocols for responding to a report of sexual misconduct and bullying.
    - ii. Who and How are the requests made?
    - iii. Under which standards?
  - c. Disclosure: Receipt of communication not accompanied by request for an investigation:
    - i. Please describe the procedures and protocols for responding to a disclosure of sexual misconduct and bullying.
    - ii. How is it determined that a request for an investigation shall not be accompanied?
    - iii. Confidentiality issues when a disclosure is made instead of a report?
3. Who is considered a mandatory reporter? And are the mandatory reporters effective or fulfilling their duties? Rights to Those Who Report: How are these rights determined?
4. Who are the Confidential designated individual on campus?
5. Who are the Campus Security Authorities?
6. What happens during a disclosure? How are employees supposed to “immediately provide with the contact information, and if requested professional assistance?
7. What are the similarities and differences between student complaints and faculty/staff complaints? How Is jurisdiction of off-campus and employees complaints determined? What happens if sexual misconduct happens outside of CCSU police jurisdiction? What’s the process for minors?
8. How are parties informed of an investigation and it’s conclusion? What is the process at the end of the investigation? How are findings communicated?
9. Records Maintenance: How/Where/Who has Access? How is information collected and kept? For how long?
10. Please describe how the information pertaining to a disclosure and investigation/report about sexual misconduct and bullying are recorded and stored

11. Are you aware of any policies, procedures, and/or practices that are not being implemented at CCSU?
12. What verbal/physical conduct constitute harassment?
13. Can retaliation occur even before a complaint?
14. How is consent determined? Who has to prove the consent?
15. Sanctions: What are the standards? Who/How are they determined?
16. When: 90 days knowledge of discriminatory act (May be waived at CDO's discretion) How is discretion made?
17. No Basis to Process: How is this determined?
18. Investigatory Process: How/ Procedures?
19. Unsupportable Complaints v Supportable Complaints: How is each treated? Procedure/Standards?
20. What happens to each party during the 90 day period?

**Training and Programmatic Initiatives Work Group**  
Sexual Misconduct, Campus Climate, Bullying and Title 9

Our approach is that we have broken down our research and information gathering into two areas. Internal and external, related to training and programmatic initiatives concerning: *sexual misconduct, bullying, harassment and title 9*.

- Yvonne, Jean and Fiona – Internal practices
- Yvonne and Jean (Will develop questions for in-person interviews and for survey)
- Shelly and William – External practices

**Aspects of training and program initiatives for review with assigned tasks**

- Yvonne and Jean
  - List of training and program initiatives on Sexual Misconduct, Bullying and Campus Climate and what audience they are geared for at CCSU then compare to similar outside programs and initiatives (based on external information gathered by William and Shelly).
  - Related guidelines from areas noted:
    - For CCSU, overall
    - For CCSU, compared to the others in the State University System
    - For CCSU Offices/Functions and Departments
- Yvonne, Jean and Fiona
  - Title 9 Compliance training information and data, specifically (Since Title 9 is such an extensive area we separated it out):
    - For CCSU, overall
    - For CCSU, compared to the others in the State University System
    - For CCSU Offices/Functions and Departments
- Shelly and William – External practices and areas for review
  - Shelly
    - Best practices for training on sexual misconduct from colleges and universities, note any models that have proven success. Determine what criteria is used to evaluate and compare successful institutions, and quantifiable results.
    - How do other institutions handle training and initiatives concerning bullying, and campus climate, and how do they measure those outcomes? Behaviors, conduct cases and recidivism?
  - William
    - Related laws and guidelines from the government
    - Related laws and guidelines from the state
    - Related guidelines from the (BOR) Board of Regents

Related is: training and programmatic initiatives concerning *sexual misconduct, bullying, harassment and Title 9*

**The departments and people we will reach out to:**

■ **Internally:**

1. Diversity and Equity - Rosa Rodrigues, Sarah Dodd (Formerly with Victim Advocacy, interview in both areas)
2. HR - Anna Suski-Lenczewski
3. Student Affairs as a group - Dr. Peter Troiano
4. CCSU Office of Conduct - Stephanie Reis

**Sources of information to gather:**

■ **Externally:**

1. Information sources, such as BOR policies and guidelines/laws from federal, state and local governments, etc.
2. Best practices from other campuses - models

The method(s) by which we will reach out to each of the people/departments? Is:

- In person interviews (all team members are welcome to participate in interviews)
- By survey (using related questions we developed)
- Gather On-line, and other professional documents

For all areas, seek the rate of completion and compliance for the last 12 months (or 2017-2018)

■ Regarding “what we want to know” and how we will report information

- We will gather and utilize data from the NEASC self-study and the past school year (2017-2018) from the General Assembly report that includes departments who has done these programs and initiatives for each of the training or educational programs related to *sexual misconduct, bullying, harassment and Title 9*.
- We will ask questions we developed to determine “quality” and “effectiveness” of programs and data, and we will track outcomes on a spreadsheet for each stakeholder and audience based on fact finding



**Questions based on training and initiatives, concerning *sexual misconduct, bullying, harassment and Title IX***

1. What is the charge of your office?
2. Does your office have training programming or reporting that addresses:
  - i. Sexual Misconduct
  - ii. Bullying
  - iii. Harassment
  - iv. Title IX
3. Who established the charge?
  - i. federal/HEOA
  - ii. state
  - iii. university/system policy
4. How do you accomplish the charge?
  - i. Programmatic Initiatives
  - ii. Trainings
5. Do you follow any training models or best practices in these areas to help guide you?
6. What resources are utilized?
  - i. What modalities? On-line, in-person, etc.
  - ii. Materials? Ex. Handouts, etc.
7. What populations are the focus of your programs and initiatives?
  - i. Faculty, FT & PT?
  - ii. Staff, FT & PT?
  - iii. Student workers?
  - iv. Supervisors?
8. Does every population receive the same training?
  - i. Faculty, FT & PT?
  - ii. Staff, FT & PT?
  - iii. Student workers?
  - iv. Supervisors?
9. How did/do you determine what trainings and program initiatives would be mandated or optional?
  - i. Faculty, FT & PT?
  - ii. Staff, FT & PT?
  - iii. Student workers?
  - iv. Supervisors?
10. Do you have a list of those referenced trainings and program initiatives you require or offer to address specific topics, or concerns at specific times or based on incidents?
11. What is the Frequency of training for each?
  - i. Faculty, FT & PT?
  - ii. Staff, FT & PT?
  - iii. Student workers?
  - iv. Supervisors?

12. What are the variety of types of training offered?
13. What are the variety of types of programmatic initiatives offered?
14. How did/do you determine what trainings and program initiatives should be offered to each member of the campus community related to the referenced topics?
  - i. Faculty, FT & PT?
  - ii. Staff, FT & PT?
  - iii. Student workers?
  - iv. Supervisors?
15. How did/do you invite, recruit, and advertise for trainings and/or program initiatives?
16. How did/do you monitor and track mandated trainings and program initiatives for each population referenced?
17. The following questions deal with compliance:
  - i. What is the expectation of each referenced population with respect to compliance? (what percentage?)
  - ii. What has been the compliance rate for each population trained, for each of the last 3 years?
  - iii. What happens if people do not comply with training?
18. How do you measure success?
  - i. Compliance rate?
  - ii. Incidence rate?
  - iii. Recidivism rate?
19. Do you survey populations regularly to gather information or data to determine:
  - i. What trainings/resources they need?
  - ii. Are trainings/resources they ask for?
  - iii. The effectiveness of prior programming?