

TO: U.T. System Board of Regents
FROM: Dr. Daniel Podolsky, President
DATE: October 1, 2022
RE: Chief Executive Officer Reporting Requirements Under Tex. Educ. Code §51.253(c)

Texas Education Code (TEC), Section 51.253(c) and Texas Administrative Code, Title 19, Sections 3.6(c) and 3.19(a) require institutions of higher education to submit a Chief Executive Officer Report (“CEO Report”) to the institution’s governing body and post the report on the institution’s internet website “at least once annually,” by October of each year.

The CEO Report must contain (1) all reports received by employees under the TEC, Section 51.252 that constitutes “sexual harassment,” “sexual assault,” “dating violence,” or “stalking” (as defined in the TEC, Section 51.251), and (2) any disciplinary actions taken under TEC, Section 51.255 regarding allegations of an employee’s failure to report or submitting a false report to the institution for alleged incidents of sexual harassment, sexual assault, dating violence, or stalking. The reports received may be applicable in multiple reporting categories, and therefore, the CEO summary data reflected in the categories may not add up to the totals of other categories.

In compliance with the Chief Executive Officer’s TEC reporting requirements, the enclosed CEO Report includes all of the required reporting to the U.T. System Board of Regents for the 2021-2022 academic year (Appendix A). The CEO Report is based on the reporting requirements under TEC, Section 51.253(c) along with supplemental category breakdowns, when applicable.

The CEO Report will be posted at <https://www.utsouthwestern.edu/legal/required-documents.html>, as required by TEC, Section 51.253(c), and a copy of this CEO Report (along with an annual certification of compliance) will be submitted to the Texas Higher Education Coordinating Board (THECB) by October 31, as required annually by 19 Tex. Admin. Code Section 3.19(a).

Appendix A
2022 CEO Report
2020-2021 Academic Year: September 1, 2021 – August 31, 2022

Texas Education Code, Section 51.252: Employee Reporting Requirements	
Number of reports received under Section 51.252¹	149
a. Employee or Student submitted reports under Section 51.252	105
b. Confidential reports ² under Section 51.252	6
c. Patient Concerns addressed by Legal Risk Management	38
Number of formal investigations conducted under Section 51.252	27
a. Formal investigation ongoing (Title IX ETH-153)	--
b. Formal investigation ongoing (Sexual Misconduct ETH-154)	--
c. Formal investigation completed (Sexual Misconduct ETH-154) – no finding of policy violation and no disciplinary referral	17
d. Formal investigation completed (Sexual Misconduct ETH-154) – finding of policy violation and referred to a disciplinary process	10
e. Formal investigation completed (Title IX ETH-153) – finding of policy violation	--
f. Formal investigation completed (Title IX ETH-153) – no finding of policy violation ³	--
Disposition of disciplinary processes for reports under Section 51.252:	10
a. Disciplinary process pending	0
b. Disciplinary process completed – No Finding of Policy Violation ⁴	0
c. Disciplinary process completed – Employee Disciplinary Sanction	10
d. Disciplinary process completed – Student Disciplinary Sanction	0
Number of reports under Section 51.252 for which the institution determined <u>not</u> to initiate a disciplinary process	122
a. Confidential reports under Section 51.252	6
b. Patient Concerns addressed by Legal Risk Management	38
c. Confidential Domestic Violence Reports	39
d. Withdrawn at Complainant’s request or non-participation	27
e. Informal or other Administrative Resolution	12

¹ Not all reports of alleged sexual harassment, sexual assault, dating violence, and stalking against a student or employee are reflected in the CEO Report. Reports made by students and all other non-employees (including incidents under 19 Tex. Admin. Code Section 3.5(d)(3)) directly to the Title IX Coordinator are excluded. Further, if the Title IX Coordinator receives a report that a student or employee was a victim of sexual harassment, sexual assault, dating violence, or stalking prior to being enrolled at or employed by the institution, the report is excluded. Additionally, if a Title IX Coordinator or Deputy Coordinator determines that the type of incident described in a report, as alleged, does not constitute “sexual harassment,” “sexual assault,” “dating violence,” or “stalking” as defined in the TEC, Section 51.251, the report is excluded. When identifiable, duplicate reports were consolidated and counted as one report in the summary data. For example, two employees may witness the same incident of sexual harassment and then report it to the Title IX Coordinator. If the Title IX Coordinator can identify the two reports as being the same incident, then the incident will be counted once. It is the responsibility of the Title IX Coordinator or Deputy Title IX Coordinator to assess each report received and determine whether it is properly included in this report, and if so, to correctly identify the type of incident.

² A confidential report consists only of the “type of incident” from a confidential employee to the Title IX Coordinator; therefore, personally identifiable information is excluded under these circumstances. Examples of confidential employees may include victim advocates for students, student ombuds, or those who work in a counseling center or student health center.

³ Some investigation reports contain an investigator’s preliminary determination regarding the respondent’s responsibility. But in other instances, for example, those classified as “Title IX” investigations, the investigation report will not contain a preliminary determination because the Title IX regulations, effective August 14, 2020, prohibit investigator determinations regarding responsibility.

⁴ “No Finding of a Policy Violation” in this section refers to instances where there is no finding of responsibility after a hearing or an appeal process; investigations completed with a preponderance of evidence not met are excluded since it would not have moved forward into a disciplinary process.

Texas Education Code, Section 51.255	
Number of reports received that include allegations of an employee's failure to report or who submits a false report to the institution under Section 51.255(a)	1
Number of investigations conducted regarding Section 51.255	1
a. Formal investigation ongoing	0
b. Formal investigation completed (Non-Title IX Regs) – no finding of policy violation and no disciplinary referral	1
c. Formal investigation completed (Non-Title IX Regs) – finding of policy violation and referred to a disciplinary process	0
Any disciplinary action taken, regarding failure to report or false reports to the institution under Section 51.255(c):	
a. Employee termination	0
b. Institutional intent to termination, in lieu of employee resignation	0