
Chief Executive Officer Report

TO: U.T. System Board of Regents
FROM: Giuseppe N. Colasurdo, MD, Chief Executive Officer *GN Col. 6*
DATE: October 4, 2021
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 2020-2021 academic year (Appendix A) and status updates to the 2019-2020 academic year (Appendix B) as of December 18, 2020. 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 www.uth.edu/titleix 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
2021 CEO Report
2020-2021 Academic Year: September 01, 2020 – August 31, 2021

Texas Education Code, Section 51.252: Employee Reporting Requirements	
Number of reports received under Section 51.252¹	119
a. Employee submitted reports under Section 51.252	33
b. Confidential reports ² under Section 51.252	86
Number of investigations conducted under Section 51.252	0
a. Formal investigation ongoing	0
b. Formal investigation completed (Non-Title IX) – Preliminary Determination (Preponderance of evidence <u>not</u> met) and no disciplinary referral	0
c. Formal investigation completed (Non-Title IX) – Preliminary Determination (Preponderance of evidence met) and referred to a disciplinary process	0
d. Formal investigation completed – No Preliminary Determination and referred to a disciplinary process ³	0
Disposition of disciplinary processes for reports under Section 51.252:	0
a. Disciplinary process pending	0
b. Disciplinary process completed – No Finding of Policy Violation ⁴	0
c. Disciplinary process completed – Employee Disciplinary Sanction	0
d. Disciplinary process completed – Student Disciplinary Sanction	0

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 office, 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.

Number of reports under Section 51.252 for which the institution determined <u>not</u> to initiate a disciplinary process	119
a. Confidential reports under Section 51.252	86
b. Respondent's identity is unknown	2
c. Respondent was an employee and no longer employed at the institution at the time a formal complaint was filed	1
d. Respondent's not affiliated with the university	11
e. Administrative closure due to insufficient information to investigate	10
f. Determined matter was previously investigated or alleged conduct did not meet the definition of sexual harassment, sexual assault, dating violence or stalking	3
g. Complainant requested the institution not investigate	3
h. Complainant was not participating or attempting to participate in a UTH program at the time of the alleged incident or at present	1
i. Informal resolution process ongoing	0
j. Informal resolution process completed	0
k. Preliminary review ongoing	2

Texas Education Code, Section 51.255: Failure to Report or False Reports	
Number of reports received that include allegations of an employee's failure to report or submitting a false report to the institution under Section 51.255(a)	9
Number of investigations conducted regarding Section 51.255	9
a. Initial inquiry - Preliminary Determination (Preponderance of evidence not met) and no disciplinary referral	9
b. Formal investigation ongoing	0
c. Formal investigation completed (Non-Title IX) – Preliminary Determination (Preponderance of evidence <u>not</u> met) and no disciplinary referral	0
d. Formal investigation completed (Non-Title IX) – Preliminary Determination (Preponderance of evidence met) 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):	0
a. Employee termination	0
b. Employee resignation in lieu of institutional intent to terminate, during disciplinary process	0

Appendix B
2020 CEO Report Updates⁵
2019-2020 Academic Year: January 1, 2020⁶ – August 31, 2020

Texas Education Code, Section 51.252: Employee Reporting Requirements	
Number of reports received under Section 51.252	95
a. Employee submitted reports under Section 51.252	28
b. Confidential reports under Section 51.252	67
Number of investigations conducted under Section 51.252	6
a. Formal investigation ongoing	0
b. Formal investigation completed (Non-Title IX Regs or Pre-Title IX Regs) – Preliminary Determination (Preponderance of evidence <u>not</u> met) and no disciplinary referral	2
c. Formal investigation completed (Non-Title IX Regs or Pre-Title IX Regs) – Preliminary Determination (Preponderance of evidence met) and referred to a disciplinary process	4
d. Formal investigation completed – No Preliminary Determination and referred to a disciplinary process	0
Disposition of any disciplinary processes for reports under Section 51.252:	6
a. Disciplinary process pending	0
b. Disciplinary process completed – No Finding of Policy Violation	2
c. Disciplinary process completed – Employee Disciplinary Sanction	3
d. Disciplinary process completed – Student Disciplinary Sanction	1
Number of reports under Section 51.252 for which the institution determined <u>not</u> to initiate a disciplinary process	89
a. Confidential reports under Section 51.252	67
b. Respondent's identity is unknown	1
c. Administrative closure due to insufficient information to investigate	16
d. Determined matter was previously investigated or alleged conduct did not meet the definition of sexual harassment, sexual assault, dating violence or stalking	0
e. Complainant requested the institution not investigate	1
f. Conduct did not occur on university owned or controlled premises or in a UTHealth education program or activity	1
g. Informal resolution process ongoing	3
h. Informal resolution process completed	0

⁵ The 2020 CEO Report Updates consists of the cumulative data set that originated in 2019-2020 with updated statuses of investigation or disciplinary process dispositions. For example, investigations that were ongoing or disciplinary processes that were pending as of 2020's CEO Report that have since concluded as of 2021's CEO Report will have an updated status or disposition reflected here.

⁶ January 1, 2020 is the effective date of the state statute for the purposes of complying with the Title IX Coordinator reporting requirements under TEC, Section 51.253(a).

Texas Education Code, Section 51.255: Failure to Report or False Reports	
Number of reports received that include allegations of an employee's failure to report or submitting a false report to the institution under Section 51.255(a)	0
Number of investigations conducted regarding Section 51.255	0
a. Formal investigation ongoing	0
b. Formal investigation completed (Non-Title IX Regs) – Preliminary Determination (Preponderance of evidence <u>not</u> met) and no disciplinary referral	0
c. Formal investigation completed (Non-Title IX Regs) – Preliminary Determination (Preponderance of evidence met) 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):	0
a. Employee termination	0
b. Employee resignation in lieu of institutional intent to terminate, during disciplinary process	0